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### 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 2013 to 30 June 2014 and financing for the period from 1 July 2012 to 30 June 2013

### 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 2013 to 30 June 2014, which amounts to \$308,575,800, excluding enterprise resource planning requirements in the amount of \$18,668,800, and provides for a total of 1,325 posts (taking into account the proposed abolishment of 31 posts, conversion of 57 general temporary assistance positions to posts and creation of 5 new posts) and 75 general temporary assistance positions.

#### Financial resources

(Thousands of United States dollars; budget period is from 1 July to 30 June)

Category	Expenditures (2011/12)	Apportionment (2012/13)	Cost estimates (2013/14)	Variance	
				Amount	Percentage
	(1)	(2)	(3)	(4)=(3)-(2)	(5)=(4)÷(2)
I. Post resources	201 269.6	192 114.3	219 661.3	27 547.0	14.3
II. Non-post resources					
General temporary assistance	22 077.9	18 390.3	12 526.6	(5 863.7)	(31.9)
Consultants	3 583.5	5 699.6	5 779.3	79.7	1.4
Official travel	11 632.1	9 746.7	10 994.6	1 247.9	12.8
Facilities and infrastructure	21 875.4	20 412.1	22 297.9	1 885.8	9.2
Communications	2 505.2	2 444.6	3 081.5	636.9	26.1
Information technology	21 210.7	16 729.0	17 484.8	755.8	4.5
Other supplies, services and equipment	13 446.8	15 118.8	16 749.8	1 631.0	10.8
<b>Subtotal II</b>	<b>96 331.6</b>	<b>88 541.1</b>	<b>88 914.5</b>	<b>373.4</b>	<b>0.4</b>
<b>Total, I and II</b>	<b>297 601.2</b>	<b>280 655.4</b>	<b>308 575.8</b>	<b>27 920.4</b>	<b>9.9</b>



Category	Expenditures (2011/12)	Apportionment (2012/13)	Cost estimates (2013/14)	Variance	
				Amount	Percentage
				(4)=(3)-(2)	(5)=(4)÷(2)
	(1)	(2)	(3)	(4)=(3)-(2)	(5)=(4)÷(2)
Enterprise resource planning	47 185.2	37 337.6	18 668.8	(18 668.8)	(50.0)
<b>Gross requirements</b>	<b>344 786.4</b>	<b>317 993.0</b>	<b>327 244.6</b>	<b>9 251.6</b>	<b>2.9</b>
Staff assessment income	27 789.3	28 836.4	25 047.5	(3 788.9)	(13.1)
<b>Net requirements</b>	<b>316 997.1</b>	<b>289 156.6</b>	<b>302 197.1</b>	<b>13 040.5</b>	<b>4.5</b>

### Human resources

Category	2012/13			2013/14			Change		
	Post	Position <sup>a</sup>	Total	Post	Position	Total	Post	Position	Total
	<b>Professional and higher</b>								
Under-Secretary-General	–	–	–	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–	–	–	–
D-2	8	–	8	9	–	9	1	–	1
D-1	23	3	26	27	1	28	4	(2)	2
P-5	116	5	121	119	2	121	3	(3)	–
P-4	405	31	436	410	12	422	5	(19)	(14)
P-3	290	55	345	307	33	340	17	(22)	(5)
P-2/P-1	29	4	33	28	4	32	(1)	–	(1)
<b>Subtotal</b>	<b>871</b>	<b>98</b>	<b>969</b>	<b>900</b>	<b>52</b>	<b>952</b>	<b>29</b>	<b>(46)</b>	<b>(17)</b>
<b>General Service</b>									
Principal level	30	2	32	31	1	32	1	(1)	–
Other level	336	33	369	335	22	357	(1)	(11)	(12)
National level	24	2	26	29	–	29	5	(2)	3
Field Service	29	–	29	27	–	27	(2)	–	(2)
Security Service	3	–	3	3	–	3	–	–	–
United Nations Volunteers	1	–	1	–	–	–	(1)	–	(1)
<b>Subtotal</b>	<b>423</b>	<b>37</b>	<b>460</b>	<b>425</b>	<b>23</b>	<b>448</b>	<b>2</b>	<b>(14)</b>	<b>(12)</b>
<b>Total</b>	<b>1 294</b>	<b>135</b>	<b>1 429</b>	<b>1 325</b>	<b>75</b>	<b>1 400</b>	<b>31</b>	<b>(60)</b>	<b>(29)</b>

<sup>a</sup> General temporary assistance includes one position approved in 2012/13 for the Office of Staff Legal Assistance, pursuant to General Assembly resolution 67/241.

The action to be taken by the General Assembly is set out in section IV of the present report.

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## Abbreviations

AMISOM	African Union Mission in Somalia
ASEAN	Association of Southeast Asian Nations
ASG	Assistant Secretary-General
DFS	Department of Field Support
DPKO	Department of Peacekeeping Operations
ECA	Economic Commission for Africa
ECOWAS	Economic Community of West African States
FS	Field Service
GS (OL)	General Service (Other level)
GS (PL)	General Service (Principal level)
GTA	general temporary assistance
ICAO	International Civil Aviation Organization
ICSC	International Civil Service Commission
IMIS	Integrated Management Information System
IPSAS	International Public Sector Accounting Standards
LL	Local level
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
MONUSCO	United Nations Organization Stabilization Mission in the Democratic Republic of the Congo
NATO	North Atlantic Treaty Organization
NGS	national General Service
OAS	Organization of American States
OHCHR	Office of the United Nations High Commissioner for Human Rights
OIOS	Office of Internal Oversight Services
SMART	Senior Mission Administration and Resource Training Programme
SWIFT	Society for Worldwide Interbank Financial Telecommunication
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
UNIFIL	United Nations Interim Force in Lebanon
UNISFA	United Nations Interim Security Force for Abyei
UNHCR	Office of the United Nations High Commissioner for Refugees
UNLB	United Nations Logistics Base at Brindisi, Italy
UNMIK	United Nations Interim Administration Mission in Kosovo
UNMIL	United Nations Mission in Liberia
UNMIS	United Nations Mission in the Sudan
UNMISS	United Nations Mission in South Sudan
UNMIT	United Nations Integrated Mission in Timor-Leste
UNMOGIP	United Nations Military Observer Group in India and Pakistan
UNOAU	United Nations Office to the African Union
UNOCI	United Nations Operation in Côte d'Ivoire
UNOMIG	United Nations Observer Mission in Georgia
UNOPS	United Nations Office for Project Services
UNPOS	United Nations Political Office for Somalia
UNSMIS	United Nations Supervision Mission in the Syrian Arab Republic
UNSOA	United Nations Support Office for the African Union Mission in Somalia
UNTSO	United Nations Truce Supervision Organization
USG	Under-Secretary-General
WFP	World Food Programme

## I. Introduction

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

#### 1. Financing of the support account for the period from 1 July 2012 to 30 June 2013

1. In paragraph 33 of its resolution 66/265, the General Assembly approved resources for the support account for peacekeeping operations for the period from 1 July 2012 to 30 June 2013 in the amount of \$317,993,000, inclusive of the amount of \$37,337,600 for the Umoja enterprise resource planning project, as follows:

<i>Category</i>	<i>Amount (thousands of US dollars)</i>	<i>Percentage</i>
Post resources	192 114.3	68.5
Non-post resources	88 541.1	31.5
<b>Gross requirements</b>	<b>280 655.4</b>	<b>100.0</b>
Enterprise resource planning	37 337.6	
<b>Total</b>	<b>317 993.0</b>	

2. The resources approved by the General Assembly for the support account for 2012/13 in its resolution 66/265, as well as in its resolution 67/241, included 1,294 posts and 135 12-month general temporary assistance positions.

3. As indicated in the report of the Secretary-General on the budget for the support account for 2012/13 (A/66/721), the estimates for post resources in New York took into account vacancy factors of 15.9 per cent for the Professional and higher categories and 7.9 per cent for the General Service and related categories, based on average actual incumbency levels (with regard to OIOS posts in peacekeeping missions, a vacancy factor of 25.0 per cent for all posts was applied). With regard to general temporary assistance positions, vacancy rates of 25.4 per cent for the Professional and higher categories and 6.8 per cent for the General Service and related categories were applied to the computation of salary requirements.

4. The budgeted vacancy rates above were based on the latest average actual incumbency levels at the time of the finalization of the resource proposals, in February 2012. However, taking into account the repeated requests by the General Assembly in its resolutions on the support account to fill all vacancies in an expeditious manner, the Secretariat intensified its efforts during the latter part of the 2011/12 financial period to fill its vacant posts and general temporary assistance positions. As a result, the actual vacancy rates started to steadily decrease from February 2012 onward, to reach 9.4 per cent and 8.0 per cent as at 30 June 2012 for posts in the Professional and higher categories and in the General Service and related categories, respectively, and 11.2 per cent and 2.2 per cent for general temporary assistance positions in the Professional and higher categories and in the General Service and related categories, respectively. As indicated in the report of the Secretary-General on the budget performance of the support account for peacekeeping operations for the period from 1 July 2011 to 30 June 2012 (A/67/635 and Add.1), the lower actual vacancy rates were a significant part of the reasons for the overexpenditure of \$9.8 million (5.1 per cent) in respect of post resources

recorded in the 2011/12 financial period. As at 31 January 2013, the actual vacancy rates were 10.0 per cent and 6.1 per cent for posts in the Professional and higher categories and in the General Service and related categories, respectively, and 12.2 per cent and 8.1 per cent for general temporary assistance positions in the Professional and higher categories and in the General Service and related categories, respectively. From 1 July 2012 to 31 January 2013, the vacancy rates averaged 10.3 per cent and 5.2 per cent for posts in the Professional and higher categories and in the General Service and related categories, respectively, and 12.4 per cent and 2.7 per cent for general temporary assistance positions in the Professional and higher categories and in the General Service and related categories, respectively, as summarized in tables below:

### Vacancy rates

(Percentage)

<i>Category</i>	<i>Budgeted 2012/13</i>	<i>Actual as at 31 January 2013</i>	<i>Actual average July 2012 to January 2013</i>	<i>Projected June 2013</i>
<b>Posts</b>				
Professional and higher	15.9	10.0	10.3	8.0
General Service and related	7.9	6.1	3.2	5.0
<b>General temporary assistance positions</b>				
Professional and higher	25.4	12.2	12.4	10.0
General Service and related	6.8	8.1	2.7	3.0

### Number of posts and general temporary assistance positions

<i>Category</i>	<i>Approved 2012/13</i>	<i>Funded 2012/13</i>	<i>Average incumbency July 2012 to January 2013</i>	<i>Staff on board not funded</i>
<b>Posts</b>				
Professional and higher	871	733	781	48
General Service and related	423	390	401	11
<b>Positions</b>				
Professional and higher	98	72	86	14
General Service and related	37	34	36	2
<b>Total</b>	<b>1 429</b>	<b>1 229</b>	<b>1 304</b>	<b>75</b>

5. As shown in the table above, although the General Assembly approved 1,429 posts and 12-month general temporary assistance positions for 2012/13, a provision was made in the financial resources for the equivalent of 1,229 posts and positions, whereas on average 1,304 posts and positions were encumbered during the first seven months of the financial period. As a result, 75 encumbered posts and positions were not funded. Although the Secretary-General has implemented measures to contain expenditure, it is nonetheless anticipated that by 30 June 2013 the vacancy rates will have further decreased to 8 per cent and 5 per cent for posts in the Professional and higher categories and in the General Service and related

categories, respectively, and 10 per cent and 3 per cent for general temporary assistance positions in the Professional and higher categories and in the General Service and related categories, respectively.

6. As indicated in the report of the Secretary-General on the budget performance of the support account for peacekeeping operations for the period from 1 July 2011 to 30 June 2012 (A/67/635 and Add.1), actual common staff costs recorded in 2011/12 averaged 50 per cent of net salaries, whereas they were estimated at 45 per cent of net salaries in the support account proposal for that period, which contributed to the overexpenditure of \$9.8 million in respect of post resources recorded. The higher common staff costs were attributable to higher expenditure mainly for appointment/assignment grant, repatriation grant, the computation of annual leave, education grant and contributions to the United Nations Joint Staff Pension Fund and medical insurance plans recorded in 2011/12 compared with previous financial periods. Over the period from 1 July 2012 to 30 June 2013, actual common staff costs recorded continue to average 50 per cent of net salaries and are expected to stay at that level during the remainder of the period.

7. As indicated in the same report, in order to partly offset the overexpenditure of \$9.8 million recorded in 2011/12 under post resources, valid obligations in the amount of \$1.7 million had to be de-obligated under non-post resources at the closure of the financial period, to be recorded in the 2012/13 financial period.

8. As a result of the lower vacancy rates experienced and higher common staff costs incurred during both the 2011/12 and 2012/13 financial periods, additional resources in the amount of \$15,050,200, including the 2011/12 non-post obligations recorded in 2012/13, would be required for the period from 1 July 2012 to 30 June 2013, for which the approval of the General Assembly is sought under section IV of the present report, as shown in the table below.

(Thousands of United States dollars)

<i>Category</i>	<i>Apportionment 2012/13</i>	<i>Actual expenditures as at 31 January 2013</i>	<i>Projected expenditures 2012/13</i>	<i>Variance</i>
<b>I. Post resources</b>				
International and national staff	192 114.3	119 709.7	206 129.7	(14 015.4)
<b>II. Non-post resources</b>				
General temporary assistance	18 390.3	10 773.6	19 467.3	(1 077.0)
Consultants	5 699.6	3 801.0	5 833.3	(133.7)
Official travel	9 746.8	4 883.5	9 891.5	(144.7)
Facilities and infrastructure	20 412.1	19 239.3	20 439.3	(27.2)
Communications	2 444.6	1 920.4	2 528.0	(83.4)
Information technology	16 729.0	8 987.4	16 742.4	(13.4)
Other supplies, services and equipment	15 118.7	1 583.7	14 674.1	444.6
<b>Subtotal (II)</b>	<b>88 541.1</b>	<b>51 188.9</b>	<b>89 575.9</b>	<b>(1 034.8)</b>
<b>Total (I+II)</b>	<b>280 655.4</b>	<b>170 898.6</b>	<b>295 705.6</b>	<b>(15 050.2)</b>

<i>Category</i>	<i>Apportionment 2012/13</i>	<i>Actual expenditures as at 31 January 2013</i>	<i>Projected expenditures 2012/13</i>	<i>Variance</i>
Enterprise resource planning	37 337.6	37 337.6	37 337.6	–
<b>Gross requirements</b>	<b>317 993.0</b>	<b>208 236.2</b>	<b>333 043.2</b>	<b>(15 050.2)</b>
Staff assessment	29 685.0	12 463.3	31 583.6	(1 898.6)
<b>Net requirements</b>	<b>288 308.0</b>	<b>195 772.9</b>	<b>301 459.6</b>	<b>(13 151.6)</b>

9. As the appropriation and apportionment among Member States of the resources approved for the support account for peacekeeping operations are decided by the General Assembly as part of the amounts appropriated and apportioned in the financing resolutions of each peacekeeping operation, it is not expected that the increased resources required for the support account for the 2011/12 financial period would exceed the amounts already appropriated and apportioned by the Assembly for the peacekeeping operations.

## 2. Proposed resources for the period from 1 July 2013 to 30 June 2014

10. As indicated in the report of the Secretary-General on the overview of the financing of the United Nations peacekeeping operations (A/67/723), peacekeeping mandates continue to evolve and today encompass a diverse array of tasks and activities that go well beyond the activities originally mandated to traditional peacekeeping missions. The mandates of peacekeeping operations today include stabilizing post-conflict situations, supporting political dialogue between parties, assisting national Governments in their efforts 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. The range of peacekeeping activities continues to develop or transform, as seen recently, in particular in UNSMIS, UNISFA, UNMIS and UNMISS, MINURCAT, UNOCI, MONUSCO and the support provided to AMISOM through UNSOA. While UNMIT closed at the end of 2012, the tempo of operations will remain high, and the United Nations will need to maintain its backstopping capacity for rapid deployment to additional post-conflict environments, possibly in Somalia, the Syrian Arab Republic and the Sahel. It is thus expected that, during the upcoming 2013/14 financial period, United Nations peacekeeping operations across the globe will continue to face challenges, placing varied demands on all Secretariat departments and offices funded from the support account.

11. As at January 2013, DPKO managed 15 peacekeeping operations (including UNTSO and UNMOGIP, which are funded from the biennial programme budget) and, in certain areas, provided support to peacekeeping operations supported by DFS and to AMISOM. DFS supported 15 peacekeeping operations (including UNTSO and UNMOGIP), UNSOA and one liquidating mission. It is projected that approximately three quarters (9) of the 15 peacekeeping missions supported (i.e. MINUSTAH, MONUSCO, UNAMID, UNDOF, UNISFA, UNMIL, UNMISS, UNOCI and UNTSO) will be in a state of constant change and instability during the period. DPKO and DFS will continue to implement initiatives to strengthen the direction and planning of and support for peacekeeping operations. The initiatives aimed at strengthening support

for peacekeeping include: (a) strengthening mission planning and adjusting mission footprints; (b) effective contingency plans that accurately reflect the prospects for evolving future United Nations engagement and the impact of current deployments and improving the performance of peacekeepers; and (c) pursuing continuous improvement in the areas of peacekeeping, human rights, the rule of law and management reform. Shifting strategic and operational requirements will be met within existing resources through measures aimed primarily at improving performance and achieving efficiencies. Those requirements include the increasing role of the whole spectrum of activities related to the rule of law and security institutions and focus on national capacity-building, in particular through training and mentoring; thematic support to mandate implementation in such key areas as security sector reform, the protection of civilians, child protection, gender, gender-based sexual violence, disarmament and demobilization and ammunition and weapons management and disposal; strengthened support to troop- and police-contributing countries to meet existing and emerging requirements and refine a capability-driven approach to the planning and deployment of peacekeeping operations; the demand for professional, high-grade expertise and advisory services in specialist areas, including the rule of law and military affairs, as well as the demand for new technologies; and sustained engagement with regional, subregional and treaty organizations. There will also be continued emphasis on mitigating risk and protecting the security and safety of United Nations personnel and assets, for example, through DPKO collaboration with the United Nations Operations and Crisis Centre.

12. The United Nations Operations and Crisis Centre became operational in January 2013 to capitalize on synergies within the Organization and establish a single centre under the Secretary-General's authority to provide a common operational picture to United Nations senior leaders and be the central venue at Headquarters for responding to crises in the field. It has been funded through the contribution of existing resources from the Executive Office of the Secretary-General, DPKO, DFS, the Department of Political Affairs, the Department of Safety and Security, the Department of Management, the Department of Public Information, the Office for the Coordination of Humanitarian Affairs, OHCHR and UNDP. The Peacekeeping Situation Centre represents the contribution from DPKO/DFS to support the United Nations Operations and Crisis Centre.

13. The global field support strategy remains the main initiative to introduce a new service delivery model aimed at expediting and improving support to field operations and strengthening resource stewardship and accountability while achieving greater efficiencies and economies of scale, in addition to improving the safety and living conditions of staff. DFS has been able to meet its initial targets with respect to the implementation of the strategy, currently entering its third year. With the new service delivery model, the Secretariat will be in a position to propose an optimization process that enables the Organization to reduce overall resource requirements while increasing and improving services to the field and supporting the rapid and effective deployment of new missions. Moreover, the Global Service Centre, comprising UNLB and the United Nations Support Base in Valencia, Spain, continues to play a central role in responding to the operational demands of field missions. In addition, the Regional Service Centre in Entebbe, Uganda, has been operational and producing an immediate impact. The established key back office support functions are allowing for a lighter support footprint on the ground, in particular in Southern Sudan and Abyei. The Transportation and Movements

Integrated Control Centre continues to realize significant savings through better coordination and sharing of aircraft assets among missions normally supported by a regional service centre, as well as other missions on occasion. Prior to proceeding with the proposed development of new regional service centres, focus will be placed on consolidating the gains of the Regional Service Centre in Entebbe in order to complete the transition process currently under way there, in particular in integrating human resources and finance functions transferred from the missions and in applying performance measurement methodology and tools to measure improvements in service and productivity and efficiency gains associated with those transfers. In the meantime, modularization has advanced: the design of a 200-person camp has been completed and is being deployed to various missions with modifications depending on the requirements of each mission. The costs and efficiency gains involved are reflected in the report of the Secretary-General on the overview of the financing of the United Nations peacekeeping operations (A/67/723).

14. With regard to the Department of Management, the proposed support account resource requirements would support the implementation of the following initiatives:

(a) Continuing the pilot project of the Award Review Board to review procurement challenges filed by unsuccessful vendors and conducting prompt management evaluations of contested administrative decisions to determine whether they comply with the Organization's applicable regulations, rules and policies;

(b) Ensuring the preparation of IPSAS-compliant financial statements in a timely manner and with a clean audit opinion from the Board of Auditors;

(c) Providing guidance and training to staff on IPSAS-related matters, including assistance in solving specific issues arising on the ground during the implementation of IPSAS and Umoja;

(d) Strengthening the investment and liquidity management of peacekeeping funds;

(e) Continuously supporting the roll-out of the talent management system and its electronic support tool, Inspira, in the field;

(f) Providing targeted training and guidance to mission staff on the human resources scorecard;

(g) Continuously working on the human resources reform initiatives related to the harmonization of conditions of service, continuing contracts, recruitment and career development and focusing on developing a comprehensive mobility framework;

(h) Developing standardized procedures and guidelines for emergency medical and mass casualty incident preparedness and response and improving the efficiency of its medico-administrative services through the continuing implementation of the electronic medical records and occupational health management system in the peacekeeping operations;

(i) Further strengthening the procurement function in order to expand the vendors roster to include vendors from developing countries and countries with economies in transition;

(j) Maintaining and upgrading, where necessary, the online procurement training programme for Headquarters and peacekeeping procurement staff to ensure best practices in peacekeeping procurement activities;

(k) Continuing the implementation of approved information technology systems (customer relationship management solution for troop contribution management (contingent-owned equipment application), electronic fuel management system, electronic rations management system, enterprise information portal, enterprise identity management system and electronic global warden system) in peacekeeping operations and supporting the implementation of the enterprise resource planning project, Umoja. Furthermore, the Office of Information and Communications Technology would maintain the system it developed and implemented during the current period for the executive communications capability of the United Nations Operations and Crisis Centre, referred to as the “contacts database”, leveraging existing technology and using existing resources. The database is a shared information resource across United Nations departments and the United Nations system.

15. With regard to OIOS, its Investigations Division is proposing a final structure based on the findings of the pilot project implemented pursuant to General Assembly resolution 63/287, resulting in increased support to the missions through the allocation of more field-based resident investigators. The new structure would not require any increase in staffing requirements, while missions and field activities would be supported by a proposed investigation office in Entebbe. The Internal Audit Division will refine its risk-based planning methodology to ensure that resources are focused on higher-risk areas and will continue to conduct horizontal audits to allow processes and activities to be benchmarked between missions, as well as to identify good practices that can be disseminated. The Inspection and Evaluation Division will continue to enhance methodological approaches to strengthen the evaluation function in support of doctrinal and methodological development for the evaluation of peacekeeping operations. It will be able to undertake evaluations or inspections relating to cross-cutting topics of strategic importance across missions, which would provide useful and relevant information on the efficiency and effectiveness of peacekeeping activities.

16. The support account requirements proposed for the Office of the United Nations Ombudsman and Mediation Services would allow the Office to address and resolve employment-related disputes, as well as to analyse and identify systemic issues arising in peacekeeping operations. In addition to carrying out its regular outreach and awareness-raising activities, the Office will continue to place emphasis on its capacity to respond to crisis situations through a critical response team, by using its pool of on-call ombudsmen and mediators.

17. The Ethics Office will continue its outreach activities to peacekeeping mission staff with a view to familiarizing staff with the services of the Office and encouraging them to consult on such issues as confidential ethics advice, training, protection against retaliation and the financial disclosure programme. To achieve those objectives, the Ethics Office plans to conduct field visits, hold financial disclosure workshops and explore the possibility of offering an ethics workshop to train field-based ethics trainers. The Office will also provide advice on the ethics and compliance programmes of selected vendors that have previously been sanctioned by the United Nations and conduct due diligence on the prospective

ethical and reputational risks that could arise should the United Nations consider such companies as qualified vendors.

18. The support account resources proposed for the Office of Legal Affairs would enable the Office to continue to provide legal assistance and advice on the myriad support functions relating to the Organization's peacekeeping activities and operations, including arrangements with Governments, procurement activities and contracting for logistics requirements, the resolution of disputes and claims, the implementation and enhancement of the Organization's accountability measures, the interpretation and application of the Financial Regulations and Rules and the Staff Regulations and Rules of the United Nations for proper administration and the reforms thereof, the defence of the interests of the Secretary-General and the improvement of the administrative and financial management of the Organization's peacekeeping operations and activities, by mitigating legal risk and limiting legal liability arising from such operations and activities.

19. The resources from the support account will continue to be utilized to support and strengthen the safety and security of United Nations personnel and premises in peacekeeping operations and UNSOA, through the provision of training and technical guidance to field personnel. The Department of Safety and Security will continue to prepare and distribute security policy guidance documents to peacekeeping operations and UNSOA for implementation in order to increase the efficiency and effectiveness of the Organization's security management system.

20. While the General Assembly has consistently recognized the need for adequate support from Headquarters during all phases of peacekeeping operations, including the liquidation and termination phases, and has been mindful that the level of the support account should broadly correspond to the mandate, number, size and complexity of peacekeeping missions, to date the support account has not included support for OHCHR, which is now supporting and guiding a workforce of human rights components in peacekeeping operations comprising close to 600 posts in seven peacekeeping operations. Such support comes at a time when the protection of human rights is almost systematically described by the Security Council as central to the very objectives and success of peacekeeping missions. Support account-funded resources are therefore proposed for the first time for OHCHR to strengthen its senior-level representation and strategic engagement in decision-making processes, planning and operational support related to peacekeeping and in enhancing the integration of human rights in peacekeeping missions; strengthen mission planning on human rights and provide enhanced support for human rights-related integrated mission planning processes, including mission start-up and the reconfiguration of peacekeeping operations, as needed; and further the capacity of uniformed and civilian peacekeeping personnel through guidance and training to integrate human rights protection in the conduct of their activities.

21. The number of military and police personnel in United Nations peacekeeping missions has increased in 2012/13 to approximately 110,098 and is currently projected at 99,373 in 2013/14 on the basis of current mandates decided by the Security Council. The number of civilian staff approved for United Nations peacekeeping missions and UNSOA is 23,694 in 2012/13 and is expected to decrease in 2013/14 to 21,167 (see table below).

### Overview of financial and human resources for peacekeeping operations, 2008-2013

	2008/09	2009/10	2010/11	2011/12	2012/13	2013/14 (projected)
<b>Budget levels</b> (millions of United States dollars)						
UNLB	45.8	58.0	68.2	68.5	68.6	68.9
Support account	282.4	294.0 <sup>a</sup>	306.8 <sup>a</sup>	297.6 <sup>a</sup>	280.7	308.6 <sup>a</sup>
<b>Subtotal</b>	<b>328.2</b>	<b>352.0</b>	<b>375.0</b>	<b>366.1</b>	<b>349.3</b>	<b>377.5</b>
Peacekeeping missions and UNSOA	6 974.0	7 479.2	7 391.6	7 422.0	6 937.5	6 721.5 <sup>b</sup>
<b>Total</b>	<b>7 302.2</b>	<b>7 831.2</b>	<b>7 766.6</b>	<b>7 788.1</b>	<b>7 286.8</b>	<b>7 099.0</b>
Support account and UNLB as a percentage of peacekeeping missions and UNSOA	4.7	4.7	5.1	4.9	5.0	5.6
<b>Number of missions</b>						
Peacekeeping missions and UNSOA <sup>c</sup>	17	16	16	16	14	15
<b>Number of personnel</b>						
Military and police personnel authorized by the Security Council	117 020	113 613	111 537	112 554	110 098	99 373
Civilian staff in missions	28 665	26 927	26 391	24 291	23 694	21 167 <sup>b</sup>
Support account posts	1 220	1 245	1 311	1 295	1 294	1 325

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

<sup>b</sup> Reflects preliminary estimates for the 2013/14 period pending the finalization of some budget proposals.

<sup>c</sup> Including UNMOGIP and UNTSO, which are funded from the biennial programme budget.

22. The level of the total peacekeeping budget in 2013/14 is currently estimated at \$7.1 billion (including the support account and UNLB), for 14 active peacekeeping missions and UNSOA.

23. In recent years, the level of the support account has declined, from 1,474 posts and general temporary assistance positions and approved resources of \$306.8 million (excluding provisions for enterprise resource planning) in 2010/11 to 1,429 posts and general temporary assistance positions and approved resources of \$280.7 million (excluding provisions for enterprise resource planning) in 2012/13.

24. Pursuant to the repeated requests by the General Assembly that the level of the support account be reviewed on a regular basis, and given the number, size and complexity of peacekeeping operations, a further net reduction of 29 posts and general temporary assistance positions is proposed for 2013/14, while the level of non-post resources proposed by all departments and offices, excluding staff costs under general temporary assistance, is broadly at the same level as that approved for 2012/13, with the exception of some identified priorities, which are explained in paragraphs 27 to 36 below. However, as a result of lower vacancy rates and increased common staff costs, as explained in paragraphs 3 to 6 above, the financial resources required for the support account for 2013/14 are estimated at \$308.6 million (excluding provisions for enterprise resource planning), representing

an increase of 9.9 per cent compared with the 2012/13 approved appropriation. Thus, although the Secretariat has again made efforts to streamline resource requirements as presented in the present proposal, they are offset by the increased salary requirements driven by realistic planned assumptions for incumbency and common staff costs of the Organization, as well as unavoidable increases in other costs, such as the after-service health insurance requirements, commercial rent for office space and communication charges. As a result, the proportion of the support account and the UNLB requirements proposed for 2013/14 is 5.6 per cent of the projected total resources for peacekeeping missions and UNSOA for the same period, compared with 5.0 per cent in 2012/13. Further information on the resource requirements proposed for 2013/14 compared with those approved for 2012/13 is provided in section B below.

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

25. The proposed requirements to be funded from the support account for peacekeeping operations for the 2013/14 period, excluding the provision for the enterprise resource planning project, amount to \$308,575,800, representing an increase of \$27,920,400 (9.9 per cent) compared with the approved resources for 2012/13 of \$280,655,400.

26. As indicated in paragraph 24 above, DPKO, DFS and the Department of Management, as well as OIOS, have reviewed their staffing requirements, taking into consideration the number, size and complexity of peacekeeping operations, and are proposing a net reduction of 32 posts and 12-month general temporary assistance positions in 2013/14. This net decrease of 32 posts and general temporary assistance positions represents a reduction of \$4,979,400 in financial resources requirements in 2013/14 compared with 2012/13.

27. As explained in paragraph 20 above and further detailed in section III.L, the support account proposal for 2013/14 includes, for the first time, three new posts and total resources in the amount of \$690,800 for OHCHR.

28. However, as indicated in paragraph 4 above, actual vacancy rates have steadily decreased since February 2012, and, while the estimates for staff costs in the 2012/13 proposal were based on budgeted vacancy rates of 15.9 per cent for posts in New York in the Professional and higher categories and 7.9 per cent for the General Service and related categories, actual vacancy rates are expected to reach 8 per cent and 5 per cent by 30 June 2013 for posts in the Professional and higher categories and in the General Service and related categories, respectively, and 6 per cent and 5 per cent for general temporary assistance positions in New York in the Professional and higher categories and in the General Service and related categories, respectively. As a result, additional resources amounting to \$20,531,400 would be required for 2013/14 and were included in the proposed provision. The budgeted vacancy rates applied to the computation of staff costs in 2012/13 and 2013/14 are shown in the tables in section I.D.

29. In addition, \$2,078,100 in additional resources would be required for 2013/14 to cover higher common staff costs for staff funded from the support account, which, as indicated in paragraph 6 above, now represent 50 per cent of net salaries, as opposed to the historical average of 45 per cent of net salaries.

30. Lastly, \$3,484,100 in additional resources would also be required as a result of the update of the standard salary costs used to estimate the costs of posts and general temporary assistance positions.

31. As in previous financial periods, the proposal includes requirements related to the projected after-service health insurance costs of current peacekeeping retirees for the 2013/14 period, in the amount of \$8,886,800, which represents an increase of \$402,800 over the 2012/13 financial period.

32. The triennial Working Group on Contingent-Owned Equipment to be held in New York in 2014 would require resources under official travel and other supplies, services and equipment in the amount of \$1,817,300.

33. The updated lease rate for the rental of premises, which has increased from \$14,300 for 2012/13 to \$15,900 for 2013/14, represents an increase of \$1,688,800 under non-post resources. The revised standard rates for communications services for desk and mobile phones, which were established based on the review of all information and communications technology charges, represent an increase of \$824,000.

34. As explained in paragraphs 12 and 14 (k) and in sections III.B and III.C, the proposal includes, for the first time, requirements related to the United Nations Operations and Crisis Centre for the 2013/14 period, in the amount of \$571,400.

35. As explained in section III.A, the proposal includes additional requirements related to training consultants and travel for 2013/14 for the Policy, Evaluation and Training Division of DPKO in the amount of \$318,000.

36. The main elements contributing to the increase in requirements for 2013/14 are presented in the table below.

(Thousands of United States dollars)

Approved 2012/13	280 655.4
Net reduction of 32 posts and general temporary assistance positions <sup>a</sup>	(4 979.4)
Resources for OHCHR	690.8
Reduced vacancy rates	20 531.4
Higher common staff costs	2 078.1
Updated standard salary costs	3 484.1
After-service health insurance costs	402.8
Triennial Working Group on Contingent-Owned Equipment	1 817.3
Renewed lease rate for rental of premises	1 688.8
Revised communications rates	824.0
United Nations Operations Crisis Centre and the Peacekeeping Situation Centre	571.4
Training under the Policy, Evaluation and Training Division of DPKO	318.0
Other net increases	701.8
<b>Proposed 2013/14</b>	<b>308 784.5</b>

<sup>a</sup> Excludes the first-time proposal for OHCHR.

37. The main reasons for the variances under post and non-post resources at the class level are detailed below.

#### **Post resources**

38. With regard to post resources, the increase in requirements of \$27,547,000 represents an increase of 14.3 per cent over the approved 2012/13 post resources and accounts for 98.7 per cent of the total proposed increase in support account requirements for 2013/14. The increase is attributable primarily to the impact of the adjustments made to planned vacancy rates and common staff costs applied in the computation of salary requirements, based on average actual incumbency levels and entitlements of the current and previous periods and anticipated trends compared with the rates approved for 2012/13. Furthermore, the increase can be attributed to the proposed conversion of 57 general temporary assistance positions, with the corresponding decrease reflected under the general temporary assistance resource class, and five new proposed posts. The increase has been offset with the proposed abolishment of 31 posts.

#### **Non-post resources**

39. With regard to non-post resources, the net increase in requirements of \$373,400 represents an increase of 0.4 per cent over the approved 2012/13 non-post resources and is attributable to factors described in the paragraphs below. The net increase under non-post requirements accounts for 1.3 per cent of the total proposed increase in support account requirements for 2013/14.

40. The increase in requirements under the official travel resource class (\$1,247,900, or 12.8 per cent) is attributable primarily to the attendance of representatives of 49 Member States among developing and least developed countries to participate in the triennial Working Group on Contingent-Owned Equipment to be held in New York in 2014, the inclusion for the first time of support account funding for OHCHR, the increased participation of senior DPKO and DFS Headquarters staff in the Senior Mission Administration and Resource Training Programme and organization and support for the Programme.

41. The increase in requirements under the facilities and infrastructure resource class (\$1,885,800, or 9.2 per cent) is attributable primarily to the renewed commercial lease rate for the rental of premises, from \$14,300 per staff member for 2012/13 to \$15,900 per staff member for 2013/14.

42. The increase in requirements under the communications resource class (\$636,900, or 26.1 per cent) is attributable primarily to an increase in standard charges at Headquarters for equipment and services based on a review conducted by the Office of Information and Communications Technology, which was recommended by the Advisory Committee on Administrative and Budgetary Questions (see A/66/779).

43. The increase in requirements under the information technology resource class (\$755,800, or 4.5 per cent) is attributable primarily to an underestimate of the provision included for 2012/13, whereas the estimates for 2013/14 are based on the actual cost of infrastructure services provided by the Office of Information and Communications Technology for 2012/13; software acquisition for the Peacekeeping Situation Centre and maintenance support for the United Nations Operations Crisis

Centre contacts database; and the increased number of technology applications, as well as an increase in the population of users working with those applications.

44. The increase in requirements under the other supplies, services and equipment resource class (\$1,631,000, or 10.8 per cent) is attributable primarily to conference and documentation services required for the triennial Working Group on Contingent-Owned Equipment.

45. The increase in requirements proposed for 2013/14 is offset by a reduction under the general temporary assistance resource class (\$5,863,700, or 31.9 per cent) primarily attributable to a proposed conversion of 57 general temporary assistance positions to posts and the impact of adjustments made to the planned vacancy rates and common staff costs applied to the computation of salary requirements, as indicated in the table above.

46. Pursuant to General Assembly resolution 67/246 and on the basis of the estimates presented in the fourth progress report of the Secretary-General on the enterprise resource planning project (A/67/360), it is proposed that resource requirements related to enterprise resource planning in the amount of \$18,668,800 be funded from the support account for the period from 1 July 2013 to 30 June 2014.

47. Pursuant to General Assembly resolution 67/241, resource requirements related to the support account for peacekeeping operations share of post and non-post costs for the administration of justice, in the amount of \$3,113,100, have been included in the support account proposal for the 2013/14 period.

48. Pursuant to General Assembly resolution 66/247 and the relevant recommendation contained in the related report of the Advisory Committee on Administrative and Budgetary Questions (A/66/7/Add.10), resource requirements related to the support account for peacekeeping operations share of the recurring costs of the secondary data centre, in the amount of \$370,465, have been included in the support account proposal for the 2013/14 period.

### **C. Analysis of consultancy requirements**

49. Pursuant to the request of the General Assembly in paragraph 16 of its resolution 60/268, the table below reflects the approved resources for consultants from 2008/09 to 2012/13 and the proposed resources for 2013/14. All requirements for consultants have been carefully analysed and reviewed case by case, primarily on the basis of: (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) whether the cases required technical expertise not available within the United Nations system.

50. The proposed support account consultancy provision for 2013/14 reflects requirements for specialized expertise that cannot be accommodated in-house. Details are provided in the respective Departments' resource proposal and summarized in the table below.

(Thousands of United States dollars)

<i>Department/office</i>	<i>Initiative</i>	<i>Financial resources</i>	<i>Status</i>
DPKO/Policy, Evaluation and Training Division	Specialized training programmes and conferences	393.0	continuing
	Thematic and mission evaluations	141.0	continuing
DFS/Field Personnel Division	Technical support for the field staff human resources system	36.0	continuing
DFS/Logistics Support Division	Review and update of the aviation equipment catalogue	10.0	new
	Design and digital mapping of aviation information	21.0	new
Department of Management/Office of the Under-Secretary-General	Award Review Board	97.0	continuing
Department of Management/Office of Programme Planning, Budget and Accounts	IPSAS	3 364.0	continuing
Department of Management/Office of Human Resources Management	Occupational resilience-building/peacekeeping mission readiness	8.0	continuing
Department of Management/Office of Central Support Services	Archiving and digitization	242.0	continuing
OIOS	Multidimensional mission and thematic evaluations and inspections; specialized audits; specialized investigative and audit training	362.0	continuing
Office of the United Nations Ombudsman and Mediation Services	Specialized on-call ombudsperson and mediation services	70.0	continuing
Ethics Office	Financial disclosure programme	672.0	continuing
	Corporate ethics and compliance review	132.0	continuing
	Ethics evaluation	98.0	continuing
	Specialist for an e-learning module	60.0	continuing
Office of Legal Affairs	Specialized legal counsel	55.0	continuing
Department of Public Information	Specialized communications training	17.0	continuing
<b>Total</b>		<b>5 779.3</b>	

**Budgetary provision under consultants**

(Millions of United States dollars)

	<i>2008/09 approved</i>	<i>2009/10 approved</i>	<i>2010/11 approved</i>	<i>2011/12 approved</i>	<i>2012/13 approved</i>	<i>2013/14 proposed</i>	<i>Six-year average</i>
Consultancies	6.8	6.1	3.5	6.3	5.7	5.8	5.7
Increase (percentage)	44.7	(10.3)	(42.6)	80.0	(9.5)	1.8	(1.7)
Support account total	282.4	294.0 <sup>c</sup>	306.8 <sup>c</sup>	297.6 <sup>c</sup>	280.7 <sup>c</sup>	308.6 <sup>c</sup>	295.0
Increase (percentage)	22.5	4.1	4.4	(3.0)	(5.7)	9.9	(4.4)
Consultancies as a percentage of the support account	2.4	2.1	1.1	2.1	2.0	1.9	1.9

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

## D. Budget parameters

### Post requirements

51. Standard salary costs established for New York by the Office of Programme Planning, Budget and Accounts have been applied to all posts at Headquarters, and the standard salary costs for Addis Ababa, Vienna and Nairobi have been applied to posts at UNOAU and the regional investigation hubs of OIOS at those duty stations. The computation of requirements for continuing and new posts reflects the application of budgeted vacancy rates, presented in the table below, which are based on the overall actual average vacancy rates available at the time of the finalization of the proposal and the anticipated trend in 2012/13. With regard to the continuing posts of Resident Auditor and Investigator of OIOS located in peacekeeping missions, the relevant mission-specific standard salary costs determined by the Peacekeeping Financing Division for peacekeeping operations by category and grade level have been applied.

(Percentage)

<i>Category</i>	<i>Approved vacancy rates 2012/13</i>	<i>Proposed vacancy rates 2013/14</i>
<b>Continuing posts</b>		
Professional and higher	15.9	8.0
General Service and related	7.9	5.0
<b>New posts</b>		
Professional and higher	65.0	50.0
General Service and related	50.0	35.0

### Non-post requirements

52. Budgeted vacancy rates presented in the table below have been applied to the computation of requirements for continuing and new general temporary assistance positions of 12 months' duration for posts in the Professional and higher categories and in the General Service and related categories, which are based on the overall actual average vacancy rates available at the time of the finalization of the proposal and the anticipated trend in 2012/13.

(Percentage)

<i>Category</i>	<i>Approved vacancy rates 2012/13</i>	<i>Proposed vacancy rates 2013/14</i>
<b>Continuing general temporary assistance positions</b>		
Professional and higher	25.4	6.0
General Service and related	6.8	5.0
<b>New general temporary assistance positions</b>		
Professional and higher	65.0	50.0
General Service and related	50.0	35.0

53. Pursuant to the report of OIOS on the audit of the standard costs applied to Headquarters overhead (A/60/682) and the recommendation of the Advisory

Committee on Administrative and Budgetary Questions (see A/66/779), the Secretariat has reviewed the standard costs and has applied the estimated rates per staff member, presented in the table below, in the formulation of such requirements as rental of premises, office supplies, commercial communications services and equipment, information technology equipment, service-level agreements for maintenance and repair and infrastructure support. Standard rates are derived from past expenditure patterns and current market rates.

(United States dollars)

	<i>Approved standard rates 2012/13</i>	<i>Proposed standard rates 2013/14</i>
Commercial rental rate for office space	14 300	15 900
Office supplies	500	500
Desktop repair and maintenance	1 500	1 500
Desktop computers	900	700
Laptop computers	1 500	800
Copiers/printers	3 500	1 600
Desktop and mobile phone services	1 400	1 800
Desktop phone equipment and installation	600	500
Mobile phone equipment	300	300

54. The annual rental rate of \$15,900 per staff member has been applied to all proposed posts at Headquarters, based on the current market rate for commercial space. Associated costs for the use of office space in the regional hubs in Nairobi and Vienna have been included, based on past expenditure patterns. In addition, the costs of alterations and improvements, as well as furniture, are budgeted for new posts at rates applied to corresponding post levels and the average of rates, respectively, based on the estimation guide for standard common service 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.

55. The provision for the maintenance of information technology equipment is based on the Office of Information and Communications Technology standard service-level agreement B. The provision for the cost of the central information technology infrastructure (information storage and backup, application hosting, departmental servers) per staff member is derived from past expenditure patterns.

56. 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 equipment.

57. Commercial communications costs are budgeted per newly proposed staff member on the basis of past expenditure trends, pursuant to an OIOS recommendation (see A/60/682, para. 67). A one-time charge for standard equipment (telephone sets) is budgeted 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.

58. Requirements for office supplies, the 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 the Department of Management, are centrally administered by their respective Executive Offices and are presented as such.

## E. Information on rejustification and reclassification of posts

59. 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. At the time of reporting, in view of the requirement for the rejustification of continuing posts vacant for 12 months or longer as at 30 June 2012, continuing posts vacant for 12 months or longer as at 30 June 2012 were not anticipated.

60. The General Assembly, in paragraph 19 of its resolution 57/318, 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, in the previous two years and to provide annual data thereafter. The following table reflects the proposed reclassification of posts for 2013/14:

<i>Department/office</i>	<i>Approved grade level 2012/13</i>	<i>Proposed grade level 2013/14</i>
DFS	1 P-5 Chief of Logistics Operations	1 D-1 Team Leader
OIOS	5 P-4 Investigators	5 P-5 Chief Resident Investigators
OIOS	3 GS (OL) Investigations Assistants and 1 GS (OL) Administrative Assistant	4 national GS Investigations Assistants

## II. Proposed staffing

<i>Department/office</i>	<i>Approved 2012/13</i>	<i>Proposed changes 2013/14</i>			<i>Proposed New 2013/14</i>
		<i>Abolishment</i>	<i>Reassignment</i>	<i>Conversion from general temporary assistance positions</i>	
<b>Posts</b>					
Department of Peacekeeping Operations	497	(15)	1	–	485
Department of Field Support	398	(10)	(1)	–	387
Department of Management	250	(3)	–	–	247
Office of Internal Oversight Services	99	(3)	–	51	147
Executive Office of the Secretary-General	5	–	–	–	5
Office of the United Nations Ombudsman and Mediation Services	7	–	–	2	9

<i>Department/office</i>	<i>Proposed changes 2013/14</i>					<i>New</i>	<i>Proposed 2013/14</i>
	<i>Approved 2012/13</i>	<i>Abolishment</i>	<i>Reassignment</i>	<i>Conversion from general temporary assistance positions</i>			
Ethics Office	1	–	–	–	–	–	1
Office of Legal Affairs	15	–	–	3	–	–	18
Department of Public Information	4	–	–	–	–	–	4
Department of Safety and Security	18	–	–	–	–	–	18
Secretariat of the Advisory Committee on Administrative and Budgetary Questions	–	–	–	1	–	–	1
Office of the United Nations High Commissioner for Human Rights	–	–	–	–	3	–	3
<b>Subtotal</b>	<b>1 294</b>	<b>(31)</b>	<b>–</b>	<b>57</b>	<b>5</b>	<b>–</b>	<b>1 325</b>
<i>Department/office</i>	<i>Proposed changes 2013/14</i>					<i>New</i>	<i>Proposed 2013/14</i>
	<i>Approved 2012/13</i>	<i>Discontinuation</i>	<i>Reassignment</i>	<i>Conversion to posts</i>			
<b>General temporary assistance positions</b>							
Department of Peacekeeping Operations	8	–	–	–	–	–	8
Department of Field Support	21	–	–	–	–	–	21
Department of Management	45	(4)	–	–	1	–	42
Office of Internal Oversight Services	53	–	–	(51)	–	–	2
Office of Staff Legal Assistance <sup>a</sup>	1	–	–	–	–	–	1
Office of the United Nations Ombudsman and Mediation Services	2	–	–	(2)	–	–	–
Ethics Office	1	–	–	–	–	–	1
Office of Legal Affairs	3	–	–	(3)	–	–	–
Secretariat of the Advisory Committee on Administrative and Budgetary Questions	1	–	–	(1)	–	–	–
<b>Subtotal</b>	<b>135</b>	<b>(4)</b>	<b>–</b>	<b>(57)</b>	<b>1</b>	<b>–</b>	<b>75</b>
<b>Total</b>	<b>1 429</b>	<b>(35)</b>	<b>–</b>	<b>–</b>	<b>6</b>	<b>–</b>	<b>1 400</b>

<sup>a</sup> General temporary assistance includes one position approved in 2012/13 for the Office of Staff Legal Assistance, pursuant to General Assembly resolution 67/241.

### III. Results-based-budgeting frameworks and analysis of resource requirements

#### A. Department of Peacekeeping Operations

##### (a) Human resources requirements

<i>Category</i>	<i>Approved staffing 2012/13</i>	<i>Redeployment, reassignment, reclassification, abolishment, discontinuation</i>	<i>General temporary assistance conversions</i>	<i>New posts/positions proposed</i>	<i>Total proposed 2013/14</i>	<i>Change</i>
<b>Posts</b>						
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	4	–	–	1	5	1
D-1	11	–	–	–	11	–
P-5	45	(1)	–	–	44	(1)
P-4	207	(6)	–	–	201	(6)
P-3	95	(4)	–	–	91	(4)
P-2/P-1	10	–	–	–	10	–
<b>Subtotal</b>	<b>372</b>	<b>(11)</b>	<b>–</b>	<b>1</b>	<b>362</b>	<b>(10)</b>
<b>General Service and related</b>						
Principal level	2	–	–	–	2	–
Other level	91	–	–	1	92	1
Field Service	11	(1)	–	–	10	(1)
National General Service	20	(1)	–	–	19	(1)
United Nations Volunteers	1	(1)	–	–	–	(1)
<b>Subtotal</b>	<b>125</b>	<b>(3)</b>	<b>–</b>	<b>1</b>	<b>123</b>	<b>(2)</b>
<b>Total</b>	<b>497</b>	<b>(14)</b>	<b>–</b>	<b>2</b>	<b>485</b>	<b>(12)</b>
<b>General temporary assistance positions</b>						
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	–	–	–	–	–	–
D-1	–	–	–	–	–	–
P-5	–	–	–	–	–	–
P-4	4	–	–	–	4	–
P-3	1	–	–	–	1	–
P-2/P-1	–	–	–	–	–	–
<b>Subtotal</b>	<b>5</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>5</b>	<b>–</b>

<i>Category</i>	<i>Approved staffing 2012/13</i>	<i>Redeployment, reassignment, abolishment, discontinuation</i>	<i>General temporary assistance conversions</i>	<i>New posts/ positions proposed</i>	<i>Total proposed 2013/14</i>	<i>Change</i>
<b>General Service and related</b>						
Principal level	–	–	–	–	–	–
Other level	3	–	–	–	3	–
<b>Subtotal</b>	<b>3</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>3</b>	<b>–</b>
<b>Total</b>	<b>8</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>8</b>	<b>–</b>
<b>Grand total</b>	<b>505</b>	<b>(14)</b>	<b>–</b>	<b>2</b>	<b>493</b>	<b>(12)</b>

**(b) Financial resource requirements**

(Thousands of United States dollars)

<i>Category</i>	<i>Expenditures (2011/12)</i>	<i>Apportionment (2012/13)<sup>a</sup></i>	<i>Cost estimates (2013/14)</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	80 036.0	76 907.6	83 112.6	6 205.0	8.1
II. Non-post resources					
General temporary assistance	3 911.9	1 335.8	1 580.1	244.3	18.3
Consultants	581.9	440.2	534.0	93.8	21.3
Official travel	5 287.6	4 603.1	4 882.1	279.0	6.1
Facilities and infrastructure	853.3	973.5	747.8	(225.7)	(23.2)
Communications	1 862.2	1 132.6	1 583.8	451.2	39.8
Information technology	10 797.3	2 206.4	2 611.1	404.7	18.3
Other supplies, services and equipment	1 859.4	1 690.3	1 720.3	30.0	1.8
<b>Subtotal II</b>	<b>25 153.6</b>	<b>12 381.9</b>	<b>13 659.2</b>	<b>1 277.3</b>	<b>10.3</b>
<b>Total</b>	<b>105 189.6</b>	<b>89 289.5</b>	<b>96 771.8</b>	<b>7 482.3</b>	<b>8.4</b>

<sup>a</sup> Includes costs centrally administered by the Executive Office of DPKO and DFS.**1. United Nations Office to the African Union****(a) Results-based-budgeting framework**

61. The mandate of the UNOAU was established by the General Assembly in its resolution 64/288.

62. The Office's priorities are to support the planning and strategic direction of African Union peacekeeping operations, to help build the capacity of the African Union Commission and the regional economic communities/regional mechanisms to plan, staff and deploy such operations, and to provide support to the long-term capacity-building efforts and short-term operations of the African Union, in coordination with departments within the United Nations and with other partners. As part of that support, the delivery of technical expertise and the continued facilitation

of donor coordination for the development of the African Standby Force, the provision of advice and assistance to the African Union in the overall planning and management of AMISOM with support from DPKO and DFS, and proposed operations against the Lord's Resistance Army will remain priorities for the Office. In addition, in close coordination with DPKO and DFS, the Office will assist the African Union in the joint planning efforts for the deployment of an international military force to Mali, pursuant to Security Council resolution 2085 (2012). In this respect, and in line with the priorities of the African Union strategic plans, the Office will continue to support the long-term development of the African Union's African Peace and Security Architecture.

63. Furthermore, the Office will continue to ensure efficiency gains through the implementation of the memorandum of understanding for common services with ECA and the co-location with ECA in new premises, which is expected to occur during the second quarter of 2013.

64. UNOAU comprises the Office of the Special Representative of the Secretary-General, the Office of the Chief of Staff, the Political Affairs Section, the Operational Planning and Advisory Section the Administrative Planning and Advisory Section and the Support Unit.

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*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 4 consultative mechanisms at separate levels with the African Union on peacekeeping issues are implemented and supported between the United Nations Security Council and the African Union Peace and Security Council; the Secretary-General and the Chair of the African Union Commission; the Joint Task Force on Peace and Security (relevant Under-Secretaries-General and African Union Commissioners); and peacekeeping desks of the United Nations and the African Union Commission (2011/12: 4; 2012/13: 4; 2013/14: 4)

1.2 2 consultative mechanisms are implemented with 2 key groups, United Nations agencies and African Union partners, to ensure the coordination and coherence of operational and capacity-building support for the African Union in peacekeeping-related areas (2011/12: 2; 2012/13: 2; 2013/14: 2)

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*Outputs*

- The Secretary-General and the Deputy Secretary-General each participate in 1 African Union summit
- 1 meeting between the United Nations Security Council and the African Union Peace and Security Council
- 2 meetings of the Joint Task Force on Peace and Security
- 12 presentations to the African Union Peace and Security Council on peacekeeping issues
- 1 meeting and 6 videoconferences between peacekeeping desks of the Secretariat and the African Union Commission

- 12 monthly reports on cooperation in peacekeeping between the United Nations and the African Union, 52 weekly reports on developments in peacekeeping at the African Union and 12 analytical cables to the African Union on strategic peacekeeping issues
- 24 meetings of the African Union Partners Group, 4 meetings of the Peace and Security Cluster of the Ten-Year Capacity-Building Programme for the African Union and 4 meetings of each of the 4 subclusters
- 2 information publications to inform a broad public audience of the activities of the Office in support of the African Union

*Expected accomplishments**Indicators of achievement*

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

2.1 5 pillars of the African Peace and Security Architecture are operational and the benchmarks of the African Standby Force road map III are achieved (2011/12: 4; 2012/13: 5; 2013/14: 5)

2.2 Implementation of 18 capacity-building strategies related to peacekeeping for the African Union Commission within the framework of the African Peace and Security Architecture (2011/12: not applicable; 2012/13: not applicable; 2013/14: 18)

2.3 100 per cent implementation of the AMANI Africa II cycle in accordance with the African Standby Force road map III (2011/12: not applicable; 2012/13: 100 per cent; 2013/14: 100 per cent)

2.4 AMISOM and all other ongoing African Union peacekeeping operations are fully operational within their authorized mandates (2011/12: 100 per cent; 2012/13: 100 per cent; 2013/14: 100 per cent)

2.5 50 per cent implementation of the Regional Cooperation Initiative for the Elimination of the Lord's Resistance Army, pursuant to the United Nations regional strategy to address the threat and impact of its activities (2011/12: 10 per cent; 2012/13: 30 per cent; 2013/14: 50 per cent)

*Outputs*

- 5 annual reports on the achievements of the pillars of the African Peace and Security Architecture
- Implementation of 3 roster databases for the military, civilian and police components of the African Standby Force in accordance with the African Standby Force road map III
- 12 manuals or standard operating procedures for the African Standby Force reviewed and updated
- 18 policies or guidelines produced in support of African Union Commission capacity-building strategies in 18 peacekeeping areas
- Participation in 18 trainings/workshops of the African Union/regional economic community/regional mechanism in support of peacekeeping-related operations and capacity-building

- Participation in 18 planning meetings or technical assessment missions of the African Union/regional economic community/regional mechanism in support of peacekeeping operations and capacity-building
- Support and guidance for the AMANI police and civilian command post exercise to test the readiness of the police and civilian components of the African Standby Force
- 15 planning meetings, 11 predeployment visits and 2 mission management trainings conducted in support of the implementation of the AMISOM mandate
- Participation in 10 African Union/regional economic community/regional mechanism/African Standby Force training needs/capability assessments

*External factors*

The African Union will remain committed to its strategic partnership with the United Nations; donors will provide funding to the African Union to support the implementation of the African Peace and Security Architecture; and the African Union will make timely and significant progress in meeting its strategic objectives

**(b) Human resources requirements**

<i>Category</i>	<i>Approved staffing 2012/13</i>	<i>Redeployment, reassignment, reclassification, abolishment, discontinuation</i>	<i>General temporary assistance conversions</i>	<i>New posts/positions proposed</i>	<i>Total proposed 2013/14</i>	<i>Change</i>
<b>Post</b>						
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	–	–	–	–	–	–
D-1	–	–	–	–	–	–
P-5	2	–	–	–	2	–
P-4	20	–	–	–	20	–
P-3	3	–	–	–	3	–
P-2/P-1	–	–	–	–	–	–
<b>Subtotal</b>	<b>25</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>25</b>	<b>–</b>
<b>General Service and related</b>						
Principal level	–	–	–	–	–	–
Other level	–	–	–	–	–	–
Field Service	11	(1)	–	–	10	(1)
National General Service	20	(1)	–	–	19	(1)
United Nations Volunteers	1	(1)	–	–	–	(1)
<b>Subtotal</b>	<b>32</b>	<b>(3)</b>	<b>–</b>	<b>–</b>	<b>29</b>	<b>(3)</b>
<b>Total</b>	<b>57</b>	<b>(3)</b>	<b>–</b>	<b>–</b>	<b>54</b>	<b>(3)</b>

**(c) Justification of posts****Office of the Chief of Staff***Abolishment of one post (1 FS Security Officer)*

65. The approved staffing establishment of the Office of the Chief of Staff, which in addition to other functions is responsible for security, comprises five posts (1 P-3, 3 FS and 1 NGS) funded from the support account. In view of the co-location of the Office in the new ECA premises, which is expected to occur during the second quarter of 2013, it is proposed that one post of Security Officer (FS) be abolished. Security functions will be covered by the Office in cooperation with the security staff of ECA.

**Support Unit***Abolishment of one post (1 NGS Inventory and Supply Assistant) and one United Nations Volunteer*

66. The approved staffing establishment of the Support Unit comprises 26 posts (1 P-4, 2 P-3, 8 FS and 15 NGS) and one United Nations Volunteer funded from the support account. The Unit is responsible for human resources, finance, budget, communications and information technology, general services, transport and medical services.

67. General services functions are performed by one Field Service and four national General Service posts, and information and communications technology functions are performed by five Field Service and two national General Service posts and one United Nations Volunteer. In connection with the relocation to the new office building, the Office will make increasing use of common services provided by ECA. It is therefore proposed that the post of Inventory and Supply Assistant (NGS) be abolished, as the Office will no longer maintain an inventory and supplies store, as well as that of Telecommunications Assistant (United Nations Volunteer), as the services will be covered by the Office's remaining resources.

68. It is proposed that the Support Unit report to the Chief of Staff instead of the Special Representative of the Secretary-General. The latter structure is based on the reporting lines established for Heads of Mission Support components in field missions. However, in view of the fact that the Office does not have the support structures and responsibilities of a peacekeeping mission and there is no operational need for the Unit to report directly to the Special Representative of the Secretary-General, it would be most effective for the Support Unit to report directly to the Chief of Staff, allowing for day-to-day oversight of the Unit's functions.

**(d) Financial resource requirements**

(Thousands of United States dollars)

Category	Expenditures (2011/12)	Apportionment (2012/13)	Cost estimates (2013/14)	Variance	
				Amount	Percentage
	(1)	(2)	(3)	(4)=(3)-(2)	(5)=(4)÷(2)
I. Post resources	6 885.7	6 237.3	6 408.4	171.1	2.7
II. Non-post resources					
Official travel	263.6	264.8	359.3	94.5	35.7

Category	Expenditures (2011/12)	Apportionment (2012/13)	Cost estimates (2013/14)	Variance	
				Amount	Percentage
	(1)	(2)	(3)	(4)=(3)-(2)	(5)=(4)÷(2)
Other supplies, services and equipment	575.0	474.1	417.3	(56.8)	(12.0)
<b>Subtotal II</b>	<b>838.6</b>	<b>738.9</b>	<b>776.6</b>	<b>37.7</b>	<b>5.1</b>
<b>Total</b>	<b>7 724.3</b>	<b>6 976.2</b>	<b>7 185.0</b>	<b>208.8</b>	<b>3.0</b>

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

Posts	Cost estimates	Variance	
	\$6 408.4	\$171.1	2.7%

69. The provision would cover the salaries, common staff costs and staff assessments for the 54 proposed posts. The higher requirements result from: (a) the application of lower vacancy factors to the cost estimates for the 2013/14 financial period compared with the rates factored in the resources approved for 2012/13 (see para. 28 above); and (b) the estimation of common staff costs at a higher percentage of net salaries compared with the budget for 2012/13 (see para. 29 above). The higher requirements are partly offset by the proposed reduction of two posts and one United Nations Volunteer.

Official travel	Cost estimates	Variance	
	\$359.3	\$94.5	35.7%

70. The official travel requirements are described below.

(United States dollars)

Type of travel	Amount	Output reference
Mission planning/assessment/ consultation	57 400	The Secretary-General and the Deputy Secretary-General each participate in 1 African Union summit 1 meeting between the United Nations Security Council and the African Union Peace and Security Council 2 meetings of the Joint Task Force on Peace and Security 12 presentations to the African Union Peace and Security Council on peacekeeping issues 5 annual reports on the achievements of the pillars of the African Peace and Security Architecture
Technical support	104 100	Implementation of 3 roster databases for the military, civilian and police components of the African Standby Force in accordance with the African Standby Force road map III

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

<i>Type of travel</i>	<i>Amount</i>	<i>Output reference</i>
		12 manuals or standard operating procedures for the African Standby Force reviewed and updated
		15 planning meetings, 11 predeployment visits and 2 mission management trainings conducted in support of the implementation of the AMISOM mandate
		18 policies or guidelines produced in support of African Union Commission capacity-building strategies in 18 peacekeeping areas
		Support and guidance for the AMANI police and civilian command post exercise to test the readiness of the police and civilian components of the African Standby Force
		Participation in 18 planning meetings or technical assessment missions of the African Union/regional economic community/regional mechanism in support of peacekeeping operations and capacity-building
		Participation in 18 trainings/workshops of the African Union/regional economic community/regional mechanism in support of peacekeeping-related operations and capacity-building
Seminars/conferences/workshops	60 500	12 manuals or standard operating procedures for the African Standby Force reviewed and updated
		Participation in 18 trainings/workshops of the African Union/regional economic community/regional mechanism in support of peacekeeping-related operations and capacity-building
		18 policies or guidelines produced in support of African Union Commission capacity-building strategies in 18 peacekeeping areas
		1 meeting and 6 videoconferences between peacekeeping desks of the United Nations Secretariat and the African Union Commission
Budget preparation/review	41 100	
Training	96 200	15 planning meetings, 11 predeployment visits and 2 mission management trainings conducted in support of the implementation of the AMISOM mandate
		Participation in 18 trainings/workshops of the African Union/regional economic community/regional mechanism in support of peacekeeping-related operations and capacity-building
		Participation in 18 planning meetings or technical assessment missions of the African Union/regional economic community/regional mechanism in support of peacekeeping-related operations and capacity-building
		Participation in 10 African Union/regional economic community/regional mechanism/African Standby Force training needs/capability assessments
		12 manuals or standard operating procedures for the African Standby Force reviewed and updated
<b>Total</b>	<b>359 300</b>	

71. The amount of \$57,400 is proposed for travel to undertake the following mission planning/assessment/consultation activities: meetings at Headquarters jointly organized by DPKO and the Department of Political Affairs to discuss various aspects of peacekeeping, field support and political matters concerning the African Union and upcoming African peacekeeping missions, enhance the visibility of the Office, provide strategic guidance and improve coordination between Headquarters and the field (\$52,900); and consultations with the United Nations Regional Office for Central Africa and other stakeholders on technical support for the planning and management of the African Union operations against the Lord's Resistance Army, pursuant to the United Nations regional strategy (\$4,500).

72. The amount of \$104,100 is proposed for travel to undertake the following technical support activities: the planning and management of AMISOM operations, African Union operations against the Lord's Resistance Army, and the planned ECOWAS Standby Force operations in Mali (\$82,100); the operationalization of the African Governance Architecture and the promotion of the African Charter on Democracy, Elections and Governance (\$6,700); activities in the areas of mine action, security and medical services (\$6,100); the establishment of the Continental Logistics Base in Douala, Cameroon (\$4,700); and the assessment of the capabilities of the information and communications technology infrastructure of the regional African Standby Force headquarters of the Southern African Development Community in Gaborone (\$4,500).

73. The amount of \$60,500 is proposed for travel to participate in the following seminars/conferences/workshops: the workshop organized by Headquarters for Chief Budget Officers and Chief Financial Officers to exchange knowledge on current and evolving budget and finance requirements (\$20,300); the annual electoral conference organized by the Department of Political Affairs (\$10,300); the annual logistics workshop to enable the UNOAU military logistics planner to represent United Nations best practices for capacity-building support in planning and managing the African Union peacekeeping operations (\$10,300); the biannual conference of Directors and Chiefs of Mission Support organized by DFS (\$10,200); meeting organized by DPKO on cooperation in peacekeeping between the United Nations and the African Union in the area of disarmament, demobilization and reintegration (\$3,100); the conference of integrated mission training centres (\$4,500); and the meeting of Chiefs of Public Information (\$1,800).

74. The amount of \$41,100 is proposed for travel to Headquarters to attend the budget hearings of the Advisory Committee on Administrative and Budgetary Questions on the support account and conduct related consultations.

75. The amount of \$96,200 is proposed for travel to attend training courses and workshops for the development of skills and substantive knowledge in the areas of security, administrative and technical capacity-building, procurement, investigation of incident response, communication strategy, electoral processes, strategic planning, civil-military integration and cooperation, financial operating systems and property management.

76. The higher requirements are attributable to the volume and quality of support to and consultation, coordination and cooperation with the African Union and reflects the actual expenditure for travel resources once the Office became fully operational.

	<i>Cost estimates</i>	<i>Variance</i>
<b>Other supplies, services and equipment</b>	\$417.3	(\$56.8) (12.0%)

77. The amount of \$417,300 is proposed to provide for utilities, security and maintenance services and building and maintenance supplies (\$218,300); repairs and maintenance, petrol, oil and lubricants, spare parts and insurance associated with vehicles (\$139,900); subscriptions, printing and production associated with newsletters and other publications, public information services and other administrative charges (\$34,900); and training fees, supplies and services for training workshops to be attended by staff members related to the “Safe and secure approaches to field environments” programme and focused on Somalia, management, strategic planning and humanitarian action (\$24,200).

78. The lower requirements are attributable primarily to the decrease in utilities, maintenance services and supplies in connection with the relocation of the Office to United Nations premises and to reduced training.

## **2. Office of the Under-Secretary-General**

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

79. The mandate of the Office of the Under-Secretary-General was established by the General Assembly in its resolution 47/71. The functions of the Office are set out in the Secretary-General’s bulletin on the organization of DPKO (ST/SGB/2010/1).

80. The Office of the Under-Secretary-General undertakes a broad range of activities to ensure a coordinated or integrated approach to planning, directing, managing and supporting peacekeeping operations. 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, security and organizational resilience issues related to peacekeeping operations; and facilitating the crisis response of DPKO and DFS. Pursuant to paragraph 19 of General Assembly resolution 66/265, the public affairs activities of the Department have been consolidated in the Public Affairs Section.

81. In particular, priority will be given to reviewing, reporting on and monitoring the performance of field uniformed personnel in peacekeeping operations. Consequently, it is proposed that a new Office of the Director, Evaluation of Field Uniformed Personnel, consisting of five posts (1 D-2, 2 P-5, 1 P-4 and 1 GS) be established, as detailed in paragraphs 84 to 91 below.

82. The Office of the Under-Secretary-General will also take steps to conduct periodic reviews of operational efficiency to ensure the proper verification and assessment of uniformed personnel pursuant to the report of the Senior Advisory Group on rates of reimbursement to troop-contributing countries and related issues.

83. 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, the Peacekeeping Situation Centre, the Information Management Unit and the Registry. It would also include the proposed new Office of the Director, Evaluation of Field Uniformed Personnel.

<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 Access of Member States to key public information materials in the six official languages on the United Nations peacekeeping website and related field support issues (2011/12: 1; 2012/13: 6; 2013/14: 6)

*Outputs*

- 35 briefings to the Security Council, the General Assembly and legislative bodies on developments in peacekeeping operations and on cross-cutting strategic and policy issues related to peacekeeping
- 260 meetings with or briefings to Member States, regional organizations and groups of friends/contact groups on all aspects of peacekeeping
- 2 briefings to the Special Committee on Peacekeeping Operations on new and developing policies and procedures on security and field occupational safety risk management
- 1 briefing to members of the Special Committee on Peacekeeping Operations on efforts to further support the efficiency and effectiveness of field uniformed personnel
- 5 briefings to Member States and troop-contributing countries, as requested, on issues relating to the verification and assessment of field uniformed personnel
- Quarterly press briefings by the Under-Secretary-General for Peacekeeping Operations and/or the Under-Secretary-General for Field Support on major peacekeeping issues and 100 media interviews, including on mission-specific topics, conduct and discipline and military, police and security issues
- 150 outreach activities, such as conferences, exhibits, public briefings and digital campaigns, on the peacekeeping work of the United Nations; 936 posts on the peacekeeping social media platforms (728 on Twitter and 208 on Facebook); 450 articles on United Nations peacekeeping published in United Nations media
- Prompt notifications to troop- and police-contributing countries of all casualties among uniformed personnel serving in all peacekeeping operations
- 35 briefings to troop- and police-contributing countries on operational developments in peacekeeping 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	2.1 100 per cent compliance on the part of new peacekeeping operations with initial operating requirements for situation reporting and access to internal information (2011/12: not available; 2012/13: 100 per cent; 2013/14: 100 per cent)

2.2 Deployment of public information components of peacekeeping operations, including specialist functions, within the timelines set by the Security Council or the respective mission for new peacekeeping operations (2011/12: 1; 2012/13: 1; 2013/14: 1)

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*Outputs*

- Awareness of performance requirements and standards for the United Nations peacekeeping missions conveyed in two international conferences

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*Expected accomplishments*

3.1 Increased efficiency and effectiveness of peacekeeping operations

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*Indicators of achievement*

3.1 Development of a general and/or issue-specific communications strategy for 4 multidimensional peacekeeping operations (2011/12: 4; 2012/13: 4; 2013/14: 4)

3.2 Acceptance by field missions of 80 per cent of the recommendations to support the efficiency and effectiveness of field uniformed personnel in compliance with the applicable United Nations rules, policies, practices and standards (2011/12: not applicable; 2012/13: not applicable; 2013/14: 80 per cent)

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*Outputs*

- 15 visits to peacekeeping operations to review progress and provide direction to mission leadership on issues related to the implementation of mission mandates
- 10 inputs on the peacekeeping dimension of security risk management in policies and procedures developed by the Inter-Agency Security Management Network
- 12 evaluations of field occupational safety risk management programmes in peacekeeping operations, the Global Service Centre and UNSOA
- 12 evaluations of organizational resilience management in peacekeeping operations, the Global Service Centre and UNSOA
- Updated guidelines and templates for compacts and performance assessments for heads of mission and their deputies
- 4 technical assessments, in collaboration with the Department of Public Information, of public information requirements in peacekeeping operations undergoing significant adjustments and/or facing specific public information challenges
- Training and guidance to 4 field missions on digital communication to improve the effectiveness and reach of their public information activities
- Guidance document for the preparation of general and issue-specific communication strategies, in collaboration with the Department of Public Information
- Guidance document on communications in response to crises affecting peacekeeping operations

- 1 workshop, in collaboration with the Department of Public Information and DFS, for Chiefs of Public Information or senior public information officers from all peacekeeping operations to review communication strategies and their implementation
- Situational awareness reports on developments in peacekeeping missions every working day; alerts and detailed reports as required
- Activation of crisis management arrangements in response to crises in peacekeeping missions
- 1 workshop for Chiefs of Joint Mission Analysis Centres to facilitate the sharing of experiences and best practices, provide an opportunity for the Chiefs to engage with interlocutors from United Nations Headquarters and ensure the building of dynamic professional communities
- 4 technical assessment visits to peacekeeping missions to provide technical support to Joint Operations Centres and Joint Mission Analysis Centres
- Round-the-clock operations to monitor and report on developments in peacekeeping missions
- Guidelines on the digitization of documents and the management of digital document repositories in peacekeeping operations
- Implementation of a document repository for the management of code cables specific to peacekeeping operations
- 5 reports on reviews and assessments to support the efficiency and effectiveness of field uniformed personnel in implementing mandated tasks and complying with applicable United Nations rules, policies, practices and standards in 5 peacekeeping operations, including operational performance; and follow-up reports as applicable

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*External factors*

Member States will provide the political support and capacity necessary for the implementation of mission mandates; peacekeeping partners and other entities will provide the necessary support

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**(b) Human resources requirements**

<i>Category</i>	<i>Approved staffing 2012/13</i>	<i>Redeployment, reassignment, reclassification, abolition, discontinuation</i>	<i>General temporary assistance conversions</i>	<i>New posts/positions proposed</i>	<i>Total proposed 2013/14</i>	<i>Change</i>
<b>Posts</b>						
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	1	–	–	1	2	1
D-1	2	–	–	–	2	–
P-5	5	2	–	–	7	2
P-4	11	1	–	–	12	1
P-3	21	–	–	–	21	–
P-2/P-1	4	–	–	–	4	–
<b>Subtotal</b>	<b>44</b>	<b>3</b>	<b>–</b>	<b>1</b>	<b>48</b>	<b>4</b>

<i>Category</i>	<i>Approved staffing 2012/13</i>	<i>Redeployment, reassignment, abolishment, discontinuation</i>	<i>General temporary assistance conversions</i>	<i>New posts/positions proposed</i>	<i>Total proposed 2013/14</i>	<i>Change</i>
<b>General Service and related</b>						
Principal level	2	–	–	–	2	–
Other level	23	–	–	1	24	1
<b>Subtotal</b>	<b>25</b>	<b>–</b>	<b>–</b>	<b>1</b>	<b>26</b>	<b>1</b>
<b>Total</b>	<b>69</b>	<b>3</b>	<b>–</b>	<b>2</b>	<b>74</b>	<b>5</b>
<b>General temporary assistance positions</b>						
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	–	–	–	–	–	–
D-1	–	–	–	–	–	–
P-5	–	–	–	–	–	–
P-4	1	–	–	–	1	–
P-3	–	–	–	–	–	–
P-2/P-1	–	–	–	–	–	–
<b>Subtotal</b>	<b>1</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>1</b>	<b>–</b>
<b>General Service and related</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>2</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>2</b>	<b>–</b>
<b>Grand total</b>	<b>71</b>	<b>3</b>	<b>–</b>	<b>2</b>	<b>76</b>	<b>5</b>

**(c) Justification of posts****Office of the Director, Evaluation of Field Uniformed Personnel**

*Establishment of two new posts (1 D-2 Director of Evaluation of Field Uniformed Personnel and 1 GS (OL) Administrative Assistant)*

*Reassignment of one P-5 Senior Police Liaison Officer from the Police Division of the Office of Rule of Law and Security Institutions to perform the functions of Senior Police Evaluation Officer*

*Reassignment of one P-5 Senior Military Liaison Officer from the Integrated Operational Team of the Office of Military Affairs to perform the functions of Senior Military Evaluation Officer*

*Reassignment of one P-4 Logistics Support Officer from the Integrated Operational Team of the Office of the Under-Secretary-General for Field Support to perform the functions of Mission Support Officer*

84. The range and diversity of mandated tasks assigned to uniformed personnel in peacekeeping operations have expanded considerably as United Nations peacekeepers work increasingly with numerous entities, including regional organizations, requiring greater planning coordination and standardization, as well as interoperability between peacekeeping missions. Moreover, troop and police contributors have become more diverse as new and/or emerging police- and troop-contributing countries work side by side with more established ones. Peacekeeping operations are also evolving, requiring more mobile and responsive forces, as well as more tailored and dynamic approaches to operational requirements. Those trends place increasing demands on police- and troop-contributing countries and DPKO to ensure the right combination of capabilities to effectively implement mandates in often operationally challenging environments. An independent evaluation function of field uniformed personnel is therefore needed to assist the Under-Secretary-General for Peacekeeping Operations through the provision of objective and independent reviews, analysis, advice and recommendations on the effectiveness and efficiency of uniformed personnel in the field.

85. As at October 2012, there were more than 7,000 formed police unit personnel deployed in 6 peacekeeping operations tasked with carrying out the following activities: public order management; protection of United Nations personnel and facilities; and support for police operations that require a formed response and may involve risk beyond the general capability of individual United Nations police officers. There were also more than 83,000 military personnel deployed in peacekeeping operations tasked with implementing a wide range of mandated activities based on strategic guidance documents, both mandate-specific and generic, including standard operating procedures, concepts of operations, rules of engagement and guidelines on the use of force.

86. While there have been previous attempts at evaluation and review in the Department, they have largely been ad hoc, using external consultants and managed within the Policy, Evaluation and Training Division, the Police Division of the Office of Rule of Law and Security Institutions or the Office of Military Affairs. In addition, while other evaluation functions in the Secretariat have some military capacity, they do not focus primarily on the operational preparedness and utilization of uniformed capabilities and are unable to provide the necessary strategic and

operational advice directly to the Under-Secretary-General for Peacekeeping Operations to allow for an effective review of policies and their implementation. There is currently no independent comprehensive review or assessment of or reporting on uniformed military and police personnel deployed in the field. The current practice relies on recommendations or findings of end-of-assignment reports, field visits and technical and needs assessments that are collated in a matrix monitored by the Office of Military Affairs and the Office of Rule of Law and Security Institutions, complementing thematic evaluation mechanisms.

87. An independent advisory function that can better prepare and support United Nations uniformed personnel, working closely with troop- and police-contributing countries, would be needed to ensure the continued improvement of the performance of United Nations peacekeeping operations. The creation of a new independent evaluation function of field uniformed personnel would yield the following benefits:

(a) An independent, objective, strategic and operational analytical capacity that would enable more effective and efficient planning and support to senior leadership in developing, in consultation with police- and troop-contributing countries, a more targeted and effective management of the use of uniformed personnel;

(b) An effective monitoring and evaluation mechanism to ensure that military and police elements are able to meet shared objectives as stipulated in United Nations documents including principles and values, as well as political/strategic level direction in peacekeeping missions and to contribute to continuous improvement of peacekeeping operations and strategic and operational planning and direction, both mission-specific and overall;

(c) Close cooperation with police- and troop-contributing countries in enhancing the understanding of guidance and policies on mission-specific preparation, operational readiness, quality assurance and United Nations directives;

(d) Identification of lessons learned that contribute to more targeted and evidence-based policies and guidance from the Secretariat on effective mandate implementation.

88. The proposed Office of the Director, Evaluation of Field Uniformed Personnel, would be headed by a newly established post of Director (D-2) and assisted by two Senior Evaluation Officers (P-5) and one Mission Support Officer (P-4) reassigned from other offices, as listed above, and a newly established post of Administrative Assistant (GS (OL)).

89. The Director, Evaluation of Field Uniformed Personnel, would report directly to the Under-Secretary-General for Peacekeeping Operations, oversee the work of the Office and plan and execute a work programme to review and analyse the use of uniformed resources in peacekeeping missions against the requirements set out by the Secretariat in the relevant operational documents, including concepts of operations, operational plans and orders. The Administrative Assistant (GS (OL)) would provide administrative support to the Office.

90. The proposed Senior Police Evaluation Officer (P-5) and Senior Military Evaluation Officer (P-5) would be responsible for providing objective and independent reviews, analysis, advice and recommendations on the effectiveness and efficiency of formed police units and coordinating cells of formed police units in the field and of military personnel in the field, respectively. They would provide

the required guidance, including to troop- and police-contributing countries, on policies for the deployment of uniformed personnel, concepts of operations, standard operating procedures and directives on the use of force.

91. The proposed Mission Support Officer (P-4) would review, assess, report and advise on logistics support requirements relating to military and police uniformed personnel in the field and their implementation by peacekeeping missions. The incumbent would advise the Director on a broad range of logistics matters, including on logistics management, structures, rotation plans, staffing levels, living and working conditions, safety and security, morale and discipline, and would act as the principal liaison between the field missions and the Office on such matters. The incumbent would also assess the support provided by Headquarters and missions' military and police components to troop- and police-contributing countries.

**(d) Justification of general temporary assistance positions**

**Front office of the Chief of Staff**

*Organizational Resilience Officer (P-4 position, continuation)*

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

92. The approved staffing establishment of the Office of the Chief of Staff comprises 16 posts (1 D-2, 2 P-5, 3 P-4, 4 P-3 and 6 GS (OL)) and two general temporary assistance positions (1 P-4 and 1 GS (OL)), funded from the support account.

93. Organizational resilience management is the framework for standardization, integration, training, implementation and continuous improvement with regard to field mission emergency preparedness, response and recovery plans in the areas of crisis management, business continuity, information technology disaster recovery, medical emergency preparedness, security and staff/victim support. The organizational resilience management approach is a means to eliminate or reduce unnecessary or undesirable emergency planning and resource redundancy and improve field operations' preparedness before and response and recovery after a critical incident of any type. Organizational resilience management builds upon previous work on business continuity and medical preparedness carried out from 2009 to 2011.

94. The Department of Safety and Security has led efforts to develop an overarching crisis response structure, while the Department of Management has led those to develop business continuity plans and programmes. Those efforts provide the chapeau under which the Departments develop their respective crisis response and business continuity plans and programmes. While the Department of Management and the Department of Safety and Security establish the overall structure for crisis response and business continuity, they are not responsible for or have the capacity to develop departmental or mission-level plans. In addition to developing such plans for DPKO and DFS at Headquarters, the Departments are responsible for engaging with the field operations that they support in order to oversee the development and integration of field operation and departmental organizational resilience plans and ensure that they are compliant and integrated with broader Secretariat policies and systems. Such plans include the resolution of such issues as the contingency chain of command, decisions regarding contingency locations, the identification of critical and essential immediate- and medium-term functions and the designation of staff to perform them, and the identification and

establishment of required delegations of decision-making authority and the appropriate contingency transfer of financial and administrative authority, as well as the required training and accountability mechanisms.

95. All current and future field operations are required to implement organizational resilience management. To assist those operations, the Organizational Resilience Officer (P-4), in close collaboration with relevant staff and sections of both DPKO and DFS, reviews emergency plans, identifies required areas of integration and redundancy, oversees and assesses field operation exercises and identifies lessons learned for further dissemination. To continually assist field operations with the development and implementation of organizational resilience management, the Organizational Resilience Officer delivers training courses on the subject to field mission focal points and provides direct on-site assistance, following processes adopted over the past three years for the development, implementation and exercise of business continuity planning. Within the Secretariat, the implementation of organizational resilience management has begun at Headquarters; preparations for implementation in the field took place in 2011/12, with actual implementation in the field carried out in 2012/13 and continuing thereafter.

96. Accordingly, it is proposed that two general temporary assistance positions, of Organizational Resilience Officer (P-4) and Administrative Assistant (GS (OL)), be continued.

**(e) Financial resource requirements**

(Thousands of United States dollars)

Category	Expenditures (2011/12)	Apportionment (2012/13)	Cost estimates (2013/14)	Variance	
				Amount	Percentage
	(1)	(2)	(3)	(4)=(3)-(2)	(5)=(4)-(2)
I. Post resources	10 109.2	9 805.8	11 738.6	1 932.8	19.7
II. Non-post resources					
General temporary assistance	791.6	532.1	588.9	56.8	10.7
Official travel	554.7	498.2	498.2	–	–
Facilities and infrastructure	853.3	973.5	747.8	(225.7)	(23.2)
Communications	1 862.2	1 132.6	1 583.8	451.2	39.8
Information technology	10 797.3	2 206.4	2 611.1	404.7	18.3
Other supplies, services and equipment	634.3	301.4	334.6	33.2	11.0
<b>Subtotal II</b>	<b>15 493.4</b>	<b>5 644.2</b>	<b>6 364.4</b>	<b>720.2</b>	<b>12.8</b>
<b>Total</b>	<b>25 602.6</b>	<b>15 450.0</b>	<b>18 103.0</b>	<b>2 653.0</b>	<b>17.2</b>

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

Posts	Cost estimates	Variance	
	\$11 738.6	\$1 932.8	19.7%

97. The provision would cover the salaries, common staff costs and staff assessments for the 74 proposed posts. The higher requirements result from: (a) the

application of lower vacancy factors to the cost estimates for the 2013/14 financial period compared with the rates factored in the resources approved for 2012/13 (see para. 28 above); (b) the estimation of common staff costs at a higher percentage of net salaries compared with the budget for 2012/13 (see para. 29 above); and (c) the proposed five additional posts.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>General temporary assistance</b>	\$588.9	\$56.8	10.7%

98. The requirements would provide for the proposed continuation of two general temporary assistance positions and the replacement of staff on maternity or sick leave (12 person-months for the Professional category and 12 person-months for the General Service (Other level) category). The higher requirements result from: (a) the application of lower vacancy factors to the cost estimates for the 2013/14 financial period compared with the rates factored in the resources approved for 2012/13 (see para. 28 above); and (b) the estimation of common staff costs at a higher percentage of net salaries compared with the budget for 2012/13 (see para. 29 above).

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Official travel</b>	\$498.2	–	–

99. 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	288 200	4 technical assessments, in collaboration with the Department of Public Information, of public information requirements in peacekeeping operations undergoing significant adjustments and/or facing specific public information challenges
Technical support	84 800	4 technical assessment visits to peacekeeping missions to provide technical support to Joint Operations Centres and Joint Mission Analysis Centres
Seminars/conferences/workshops	111 900	10 inputs on the peacekeeping dimension of security risk management in policies and procedures developed by the Inter-Agency Security Management Network Activation of crisis management arrangements in response to crises in peacekeeping missions
Others	13 300	Situational awareness reports on developments in peacekeeping missions every working day; alerts and detailed reports as required Guidelines on the digitization of documents and the management of digital documents repositories in peacekeeping missions
<b>Total</b>	<b>498 200</b>	

100. The amount of \$288,200 is proposed for travel to undertake the following mission planning/assessment/consultation activities: supporting the staff exchange

programme of the Department between Headquarters and the field, in which four staff members from Headquarters would serve in peacekeeping operations for a period of three months while four corresponding staff members from the missions would serve at Headquarters (\$131,600); engaging with senior leadership in peacekeeping missions (\$120,400); and strengthening public information capacity in field operations (\$36,200).

101. The amount of \$84,800 is proposed for travel to undertake the following technical support activities: evaluating the effectiveness of the field safety programme in selected peacekeeping missions (\$30,800); and providing support to Joint Operations Centres and Joint Mission Analysis Centres and ensuring DPKO and DFS situational awareness of all peacekeeping operations (\$54,000).

102. The amount of \$111,900 is proposed for travel to participate in the following seminars/conferences/workshops: various conferences/seminars in Africa, Europe and North America with regional groups, organizations and other entities representing DPKO, including the Summit of la Francophonie, the European Union-United Nations steering committee meeting and the United Nations-NATO meeting (\$76,700); plenary and steering group sessions of the Inter-Agency Security Management Network (\$31,700); as well as a conference in Geneva organized by the European Union Situation Centre, with the participation of other regional situation centres, to enhance the ability of the Peacekeeping Situation Centre to facilitate DPKO/DFS crisis response and improve understanding of national/regional approaches to crisis management, with a view to informing DPKO/DFS policies and standard operating procedures (\$3,500).

103. The amount of \$13,300 is proposed for travel to carry out research for assessment reports (\$11,300) and inspect the sensitive information storage facilities and sensitive information handling procedures of NATO in view of the anticipated NATO-United Nations exchange of identical letters on agreement on exchange of information (\$2,000).

	<i>Cost estimates</i>	<i>Variance</i>
<b>Facilities and infrastructure</b>	\$747.8	(\$225.7) (23.2%)

104. The amount of \$747,800 is proposed to provide for office supplies, centrally administered by the Executive Office on behalf of both DPKO (\$241,100) and DFS (\$230,500); the rental of photocopiers for both Departments (\$202,800); the restoration of the current office space of UNOAU in connection with the planned relocation to a new building in Addis Ababa (\$44,400); and the rental of premises shared between the Partnerships Team and UNDP in Brussels under a memorandum of understanding (\$29,000).

105. The lower requirements are attributable to the fact that UNOAU will relocate from a commercial leased building to United Nations office space with no cost currently allocated to the Office.

	<i>Cost estimates</i>	<i>Variance</i>
<b>Communications</b>	\$1 583.8	\$451.2 39.8%

106. The amount of \$1,583,800 is proposed to provide for recurring requirements, 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 \$829,600 and \$754,200 for DPKO and DFS, respectively.

107. The higher requirements are attributable to an increase in common service rates for mobile phones and desk phones.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Information technology</b>	\$2 611.1	\$404.7	18.3%

108. The amount of \$2,611,100 is proposed to provide for recurring requirements, 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 the Office of Information and Communications Technology, in the amounts of \$739,500 and \$691,500 for DPKO and DFS, respectively; the acquisition of standard information technology equipment, including new and replacement desktop computers, laptop computers and network printers, for both Departments (\$255,500); and the Departments' support account share (\$924,600) of central information technology infrastructure costs (information storage and backup, application hosting, departmental servers and other services) as derived from past expenditure patterns.

109. The higher requirements are mainly attributable to an underestimate of the provision included for 2012/13, whereas the estimates for 2013/14 are based on the actual cost of infrastructure services provided by the Office of Information and Communications Technology for the 2012/13 financial period.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Other supplies, services and equipment</b>	\$334.6	\$33.2	11.0%

110. The amount of \$334,600 is proposed for subscriptions to various magazines, books, journals and periodicals and for online external advertising (\$230,100); the uploading of web content to the peacekeeping website and its translation into the six official languages, pursuant to General Assembly resolution 65/311 (\$70,000); and the common services costs under a memorandum of understanding for the Partnerships Team to share office space with UNDP in Brussels (\$34,500).

111. The higher requirements are due to the common services costs under a memorandum of understanding for the Partnerships Team to share office space with UNDP in Brussels established for 2013/14.

### 3. Office of Operations

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

112. The mandate of the Office of Operations was established by the General Assembly in its resolution 47/71. The functions of the Office are set out in the Secretary-General's bulletin on the organization of DPKO (ST/SGB/2010/1).

113. The priorities of the Office of Operations are: to undertake strategic planning, develop integrated strategies and provide strategic direction on cross-cutting, mission-specific and political issues; to deliver day-to-day integrated operational support to new and ongoing peacekeeping operations, including guidance on policy and operational issues; to devise, promote agreement on and implement integrated solutions to the political and operational challenges of peacekeeping operations and support them vis-à-vis the parties to the conflict and other interested stakeholders; to engage with Member States, in particular members of the Security Council and troop- and police-contributing countries, and other relevant groups on issues of concern; lead the integrated mission planning process for new operations and coordinate transitions in existing operations, including consolidation and exit strategies; and ensure the unity of command and integration of effort of DPKO and DFS in terms of the political direction, planning and operational management of peacekeeping missions, through the provision of an overall political, strategic and operational framework and through the integrated operational teams.

114. The Office comprises four regional divisions: the Africa I Division, the Africa II Division, the Asia and Middle East Division and the Europe and Latin America Division. The regional divisions include a total of eight integrated operational teams.

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*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 Security Council resolutions incorporate recommendations aimed at establishing peacekeeping operations or making major adjustments to existing peacekeeping operations, the support to AMISOM and an operation in Mali (2011/12: 100 per cent; 2012/13: 100 per cent; 2013/14: 100 per cent)

1.2 100 per cent of reports of the Secretary-General to the Security Council reflect briefings with troop-contributing countries and Member States (2011/12: 100 per cent; 2012/13: 100 per cent; 2013/14: 100 per cent)

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*Outputs*

- 40 multidimensional substantive reports of the Secretary-General to the Security Council
- 40 letters from the Secretary-General to the President of the Security Council
- 130 advisory notes for briefings to and engagement with Member States and peacekeeping partners
- 40 consultations with troop- and police-contributing countries providing updates on political and operational developments in all peacekeeping operations and those related to support to AMISOM and an operation in Mali
- 50 oral briefings and 51 weekly briefing notes to the Security Council on peacekeeping issues, including updates on political and operational developments in all peacekeeping operations and support to AMISOM and an operation in Mali

- Briefings/consultations in response to all requests by the General Assembly, permanent missions, 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 all peacekeeping operations

*Expected accomplishments*

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

*Indicators of achievement*

2.1 Fulfilment of Security Council time requirements for the establishment of new or the adjustment of existing peacekeeping operations (2011/12: 100 per cent; 2012/13: 100 per cent; 2013/14: 100 per cent)

*Outputs*

- 4 integrated concepts of operations, in line with Security Council mandates, for new and existing peacekeeping operations requiring significant adjustments

*Expected accomplishments*

3.1 Increased efficiency and effectiveness of peacekeeping operations

*Indicators of achievement*

3.1 Issuance of 3 frameworks for peacekeeping operations (2011/12: 6; 2012/13: 3; 2013/14: 3)

3.2 Implementation of 16 bilateral or multilateral field programmes in collaboration with peacekeeping partners and other entities (2011/12: 16; 2012/13: 16; 2013/14: 16)

*Outputs*

- Integrated guidance to all peacekeeping operations on strategic, policy and political operational matters
- Progress reviews against priority results identified in integrated strategic frameworks, including challenges and recommendations, completed by 7 integrated mission task forces, in collaboration with field presences
- 10 integrated assessment reports on peacekeeping operations to review and make recommendations on mission concepts, as well as approaches, challenges or opportunities in the area of mandate implementation
- 35 integrated technical assessments and/or issue-specific assessment visits, which form inputs to or result in reports that provide overall guidance on and assist peacekeeping operations and support for AMISOM with planning and mandate implementation issues
- 1 workshop on integrated mission planning for at least 30 field and Headquarters personnel, conducted jointly with other departments and agencies, funds and programmes
- 6 advisory notes on United Nations/African Union cooperation in peacekeeping, including the operationalization of the African Standby Force and the second triennial review of the Ten-Year Capacity-Building Programme for the African Union
- 1 web-based, searchable database, “gap map”, to help identify and communicate military and police capability gaps in peacekeeping missions

*External factors*

Parties to the conflict 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 UNSOA

**(b) Human resources requirements**

<i>Category</i>	<i>Approved posts 2012/13</i>	<i>Redeployment, reassignment, abolishment, discontinuation</i>	<i>General temporary assistance conversions</i>	<i>New posts proposed</i>	<i>Total proposed 2013/14</i>	<i>Change</i>
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	1	–	–	–	1	–
D-1	4	–	–	–	4	–
P-5	10	(1)	–	–	9	(1)
P-4	21	–	–	–	21	–
P-3	13	–	–	–	13	–
P-2/P-1	5	–	–	–	5	–
<b>Subtotal</b>	<b>54</b>	<b>(1)</b>	<b>–</b>	<b>–</b>	<b>53</b>	<b>(1)</b>
<b>General Service and related</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>74</b>	<b>(1)</b>	<b>–</b>	<b>–</b>	<b>73</b>	<b>(1)</b>

**(c) Justification of posts****Asia and Middle East Division**

*Redeployment of one post (1 P-3 Political Affairs Officer) from the Asia Integrated Operational Team to the Middle East Integrated Operational Team*

*Redeployment of one post (1 P-4 Political Affairs Officer) from the Asia Integrated Operational Team to the West Africa Integrated Operational Team of the Africa II Division*

*Abolishment of one post (1 P-5 Senior Political Affairs Officer)*

115. The approved staffing establishment of the Asia and Middle East Division comprises 19 posts (1 D-1, 3 P-5, 4 P-4, 4 P-3, 2 P-2 and 5 GS (OL)) funded from the support account. The Division provides political and strategic direction and day-to-day operational support to the peacekeeping operations located in the Middle East, in Western Sahara and in Asia. In particular, three Political Affairs Officers (1 P-5, 1 P-4 and 1 P-3) provide support to UNMIT. With the closure of UNMIT in 2012, it is proposed that one post (P-3) be redeployed from the Asia Integrated Operational Team to the Middle East Integrated Operational Team in the same Division to provide support to the expected increase in workload stemming from the volatility in the Middle East region, that one post (P-4) be redeployed to the West Africa Integrated Operational Team of the Africa II Division to address emergent planning issues in the Sahel and that one post (P-5) be abolished.

116. With the closure of UNMIT, it is also proposed that the total number of integrated operational teams of the Division be reduced from three to two by merging the Asia and UNAMA integrated operational teams. The Middle East Integrated Operational Team would continue to provide political direction and operational support to UNIFIL, UNDOF, UNTSO and MINURSO.

117. As indicated above, it is proposed that one post of Political Affairs Officer (P-4) be redeployed from the Asia and Middle East Division to the Africa II Division. The post would be located in the West Africa Integrated Operational Team, which is the principal entry point for political and integrated planning and operational issues related to UNOCI and UNMIL, as well as more recently the increasing peacekeeping-related aspects of the situation in Mali.

118. The West Africa Integrated Operational Team has been entrusted with new responsibilities pursuant to Security Council resolutions 2056 (2012) and 2071 (2012) related to the planning of and preparation for an international military intervention in Northern Mali. The increasingly complex political and security situation in West Africa and the volatility of the situation on the ground and in the subregion have an impact on UNOCI and UNMIL and require the further development, review and implementation of transition strategies for those missions. To absorb the resulting workload increase, the additional Political Affairs Officer (P-4) redeployed from the Asia and Middle East Division would function as a desk officer responsible for the situation in Mali while serving as a backup resource for UNOCI and UNMIL and on cross-cutting issues in the subregion.

**(d) Financial resource requirements**

(Thousands of United States dollars)

Category	Expenditures (2011/12)	Apportionment (2012/13)	Cost estimates (2013/14)	Variance	
				Amount	Percentage
	(1)	(2)	(3)	(4)=(3)-(2)	(5)=(4)÷(2)
I. Post resources	10 398.2	11 606.6	12 636.9	1 030.3	8.9
II. Non-post resources					
General temporary assistance	926.3	–	–	–	–
Official travel	959.7	797.6	793.7	(3.9)	(0.5)
<b>Subtotal II</b>	<b>1 886.0</b>	<b>797.6</b>	<b>793.7</b>	<b>(3.9)</b>	<b>(0.5)</b>
<b>Total</b>	<b>12 284.2</b>	<b>12 404.2</b>	<b>13 430.6</b>	<b>1 026.4</b>	<b>8.3</b>

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

Posts	Cost estimates	Variance
	\$12 636.9	\$1 030.3      8.9%

119. The provision would cover the salaries, common staff costs and staff assessments for the 73 proposed posts. The higher requirements result from: (a) the application of lower vacancy factors to the cost estimates for the 2013/14 financial period compared with the rates factored in the resources approved for 2012/13

(see para. 28 above); and (b) the estimation of common staff costs at a higher percentage of net salaries compared with the budget for 2012/13 (see para. 29 above). The additional requirements are partly offset by the proposed reduction of one post.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Official travel</b>	\$793.7	(\$3.9)	(0.5%)

120. 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	772 800	Integrated guidance to all peacekeeping operations on strategic, policy and political operational matters Briefings/consultations in response to all requests by the General Assembly, permanent missions, 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 all peacekeeping operations
Seminars/conferences/workshops	20 900	Integrated guidance to all peacekeeping operations on strategic, policy and political operational matters
<b>Total</b>	<b>793 700</b>	

121. The amount of \$772,800 is proposed for travel to undertake the following mission planning/assessment/consultation activities: participation of the integrated operational teams in reviews and assessments of progress made on the ground by peacekeeping operations with respect to mandate tasks and provision of strategic guidance on policy matters (\$571,800); and political consultations on peacekeeping operations in all regions with United Nations, non-United Nations and national stakeholders, the African Union, the European Union, the Bretton Woods institutions and government authorities (\$201,000).

122. The amount of \$20,900 is proposed for travel to participate in the following seminars/conferences/workshops: “desk-to-desk” meetings between the United Nations, the African Union and the regional economic communities, in the framework of the Ten-Year Capacity-Building programme for the African Union, on the prevention and management of conflicts.

#### **4. Office of Military Affairs**

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

123. The mandate of the Office of Military Affairs was established by the General Assembly in its resolution 61/279. The roles and responsibilities of the Office are set out in the Secretary-General’s bulletin on the organization of DPKO (ST/SGB/2010/1).

124. With a view to enhancing the effectiveness of military activities in peacekeeping, the priorities of the Office are: to provide technical advice to the heads of military components and oversight, including the analysis of specific

military plans and operations; to assess potential threats to military operations; to support, monitor and guide all military components of peacekeeping operations; to develop relevant military policy and guidance documents; and to maximize military capability and its timely deployment to peacekeeping operations. The Office will continue to improve dialogue with Member States, troop-contributing countries and regional organizations in order to further strengthen its partnerships and enhance its contributions to peacekeeping.

125. The Office of Military Affairs comprises the Office of the Military Adviser, the Current Military Operations Service, the Force Generation Service and the Military Planning Service.

<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 80 per cent of recommendations on military issues in the establishment or adjustment of peacekeeping operations (2011/12: 80 per cent; 2012/13: 80 per cent; 2013/14: 80 per cent)

*Outputs*

- 8 presentations to Member States, regional organizations and peacekeeping institutes on contributions to peacekeeping, enhanced effectiveness of peacekeeping operations, the protection of civilians and evolving operational requirements, to encourage support for strategic and operational courses of action in peacekeeping operations
- 33 briefings, requested by the Security Council, on new or anticipated developments, crisis situations and changes to the mandate of peacekeeping
- 10 strategic analysis reports on the military aspects of significant operational developments in peacekeeping operations and on evolving conflict areas
- 24 briefings to troop-contributing countries on the military aspects of peacekeeping operations, anticipated developments, crisis situations, threat and risk assessments, changes of mandate, capability studies, operations and plans, rules of engagement, statement of force and unit requirements and force generation

<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 Military plans for new or significantly adjusted peacekeeping operations prepared within 7 days of the adoption of the relevant Security Council resolution (2011/12: 7 days; 2012/13: 7 days; 2013/14: 7 days)  2.2 Readily deployable nucleus of Headquarters military personnel in peacekeeping operations established within 15 days of a Security Council resolution or related decision (2011/12: not available; 2012/13: 15 days; 2013/14: 15 days)

*Outputs*

- 5 strategic military concepts of operations, statements of force requirements and rules of engagement for new or significantly adjusted peacekeeping operations

- 5 military advisory briefings to existing, emerging and new troop-contributing countries on specific operational requirements for new or significantly adjusted peacekeeping operations
- Deployment of organized key nucleus of military staff and/or military staff support team to new and existing missions for up to 90 days

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
3.1 Increased efficiency and effectiveness of peacekeeping operations	3.1 Implementation by peacekeeping operations of 100 per cent of military-related recommendations from end-of-assignment and after-conference/action reports, visits and study and assessment reports endorsed by the Under-Secretary-General for Peacekeeping Operations (2011/12: not available; 2012/13: 100 per cent; 2013/14: 100 per cent)

*Outputs*

- 14 strategic or oversight assessment reports on military components of peacekeeping operations
- 12 predeployment and assessment reports of troop-contributing country capacities
- 12 updated threat assessments reports for military operations in peacekeeping settings
- 1 conference of heads of military components from all peacekeeping operations
- 1 guidance material to troop-contributing countries on international humanitarian law; 2 guidance materials on the use of force during civil disturbances and on the use of interpreters in the context of military components of peacekeeping missions; and 1 comprehensive report on military capability gaps

*External factors*

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

**(b) Human resources requirements**

<i>Category</i>	<i>Approved staffing 2012/13</i>	<i>Redeployment, reassignment, abolishment, discontinuation</i>	<i>General temporary assistance conversions</i>	<i>New posts/positions proposed</i>	<i>Total proposed 2013/14</i>	<i>Change</i>
<b>Posts</b>						
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	1	–	–	–	1	–
D-1	1	–	–	–	1	–
P-5	11	(1)	–	–	10	(1)
P-4	87	(2)	–	–	85	(2)
P-3	16	(2)	–	–	14	(2)

Category	Approved staffing 2012/13	Redeployment, reassignment, abolishment, discontinuation	General temporary assistance conversions	New posts/positions proposed	Total proposed 2013/14	Change
P-2/P-1	–	–	–	–	–	–
<b>Subtotal</b>	<b>116</b>	<b>(5)</b>	–	–	<b>111</b>	<b>(5)</b>
<b>General Service and related</b>						
Principal level	–	–	–	–	–	–
Other level	17	–	–	–	17	–
<b>Subtotal</b>	<b>17</b>	–	–	–	<b>17</b>	–
<b>Total</b>	<b>133</b>	<b>(5)</b>	–	–	<b>128</b>	<b>(5)</b>
<b>General temporary assistance positions</b>						
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	–	–	–	–	–	–
D-1	–	–	–	–	–	–
P-5	–	–	–	–	–	–
P-4	–	–	–	–	–	–
P-3	–	–	–	–	–	–
P-2/P-1	–	–	–	–	–	–
<b>Subtotal</b>	–	–	–	–	–	–
<b>General Service and related</b>						
Principal level	–	–	–	–	–	–
Other level	2	–	–	–	2	–
<b>Subtotal</b>	<b>2</b>	–	–	–	<b>2</b>	–
<b>Total</b>	<b>2</b>	–	–	–	<b>2</b>	–
<b>Grand total</b>	<b>135</b>	<b>(5)</b>	–	–	<b>130</b>	<b>(5)</b>

(c) **Justification of posts****Office of the Military Adviser**

*Reclassification of four seconded officer posts (1 P-4 Assessments Officer, 1 P-4 Planning Officer, 1 P-4 Military Personnel Officer and 1 P-4 Special Assistant to Chief of Staff) to civilian posts*

126. The approved staffing establishment of the Office of Military Affairs, detailed in the preceding section, comprises 133 posts funded from the support account, of which 110 Professional posts are reserved for seconded military officers. The three-year average rotation for seconded officers is not conducive to strong institutional memory and can result in the duplication of effort, steep learning curves during

rotations and the loss of management continuity, adversely affecting the effectiveness of the Office, recognized in an OIOS report in 2010. The amount of resources expended during each recruitment and induction period is a constant challenge. While remaining within the approved post structure, the reclassification to the civilian category of four seconded officers would allow the Office to streamline management processes, improve compliance with administrative procedures and staff requirements, improve threat assessments, mission planning and the force generation process in the long term and comply with the demands of troop-contributing countries. It would also help to preserve institutional knowledge and improve information exchange, producing greater accountability.

### **Integrated Operational Team**

*Reassignment of one post (1 P-5 Senior Military Liaison Officer) to the newly proposed Office of the Director, Evaluation of Field Uniformed Personnel, to perform the functions of Senior Military Evaluation Officer (P-5)*

127. The approved staffing establishment of the Office of Military Affairs comprises 13 specialist posts (5 P-5 and 8 P-4), funded from the support account, which support the integrated operational teams in the Office of Operations.

128. As explained in paragraphs 84 to 91 above, it is proposed that one post of Senior Military Liaison Officer (P-5) be reassigned to the newly proposed Office of the Director, Evaluation of Field Uniformed Personnel, under the Office of the Under-Secretary-General. The post to be reassigned would be one of the specialist posts in the Office of Military Affairs that supports the integrated operational teams in the Office of Operations, assigned to the Europe and Latin America Division. With the current and planned adjustments to the military component of MINUSTAH, as well as the expected situation in the country in 2013, both the Office of Operations and the Office of Military Affairs assessed that the Integrated Operational Team would be adequately supported by a Military Liaison Officer (P-4).

*Abolishment of two posts (2 P-4 Military Liaison Officers)*

129. It is proposed that two specialist posts of Military Liaison Officer (P-4) be abolished. As a result of changes in the seconded specialist requirements of the integrated operational teams in the Office of Operations, the abolishment of one post of Military Liaison Officer currently assisting the Chief of Staff of the Office of Military Affairs in drafting the standard operational procedures of the internal organizational matters of the Office of Military Affairs, which are near completion, is proposed. The functions will be absorbed by the remaining capacity of the Office. The second specialist post proposed for abolishment is currently supporting the UNAMID Integrated Operational Team of the Africa I Division of the Office of Operations, more specifically on military deployment issues. With the nearly full deployment and reconfiguration of the military component of UNAMID, the military personnel in the UNAMID Integrated Operational Team will shift their focus from military deployment to supporting the Mission's current operations. It has therefore been determined that the functions of the post could be absorbed by the remaining military capacity of the UNAMID Integrated Operational Team, with the support of the military liaison officers assigned to the UNMISS/UNISFA Integrated Operational Teams of the Africa I Division.

### **Military Planning Service**

#### *Abolishment of one post (P-3 Planning Officer)*

130. The approved staffing establishment of the Military Planning Service comprises 33 posts (1 P-5, 26 P-4, 3 P-3 and 3 GS (OL)) and one general temporary assistance position (GS (OL)) funded from the support account. The Military Planning Service is responsible for developing military strategic and operational plans for the military components of current and future peacekeeping operations, in close consultation with the Office of Operations and other relevant entities within the United Nations system. Progress in and the adjustment in size of some peacekeeping operations have reduced the need for contingency planning; the total number of military planning activities is therefore expected to decrease in 2013/14. The functions of the post could be absorbed by the remaining capacity of the Service.

### **Force Generation Service**

#### *Abolishment of one post (P-3 Planning Officer)*

131. The approved staffing establishment of the Force Generation Service comprises 29 posts (1 P-5, 16 P-4, 4 P-3 and 8 GS (OL)) funded from the support account. The Force Generation Service manages the generation of military personnel and the rotation and repatriation processes for both formed units and individuals deployed as part of the military component of United Nations peacekeeping operations. In view of the closure of UNMIT and the adjustment in size of MINUSTAH, UNIFIL, UNMIL, UNOCI and UNAMID, it is expected that the number of force generation activities will decrease in 2013/14, and it is thus proposed that one post of Planning Officer (P-3) be abolished.

## **(d) Justification of general temporary assistance positions**

### **Military Planning Service**

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

### **Current Military Operations Service**

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

132. The rotation of seconded military officers, who normally serve an average of three years (one third of the officers on secondment rotate every year), results in the continued need for highly competent administrative assistance to provide support within the budgetary and human resources of each Service. The workload involves the orientation of new officers regarding the standard United Nations procedures for correspondence, the drafting of reports, official travel and mandatory United Nations training. While the overall staffing plan and job opening campaigns are prepared by Administrative Officers, assistance is required in order to initiate, process, monitor, review and follow up on actions related to the administration of human resources activities. This includes recruitment (especially in the selection process), performance reviews and separation of staff, with the preparation of standard evaluation and interview reports, and the provision 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 to the implementation of OIOS recommendations, the management of staffing tables and the tracking of travel funds.

133. Given the number of Professional staff who require administrative assistance and the high level of administrative support required as a result of the rotational nature of the service provided by the seconded military officers (a ratio of 1:10 in the Military Planning Service and 1:6 in the Current Military Operations Service), it is proposed that two general temporary assistance positions of Team Assistant (GS (OL)) be continued. The additional capacity would provide the necessary support and would enable the Professional staff currently carrying out administrative duties owing to a lack of support staff to focus on substantive issues.

**(e) Financial resource requirements**

(United States dollars)

Category	Expenditures (2011/12)	Apportionment (2012/13)	Cost estimates (2013/14)	Variance	
				Amount	Percentage
	(1)	(2)	(3)	(4)=(3)-(2)	(5)=(4)-(2)
I. Post resources	25 891.9	22 704.5	24 360.2	1 655.7	7.3
II. Non-post resources					
General temporary assistance	172.3	185.8	192.4	6.6	3.6
Official travel	803.6	628.0	613.3	(14.7)	(2.3)
<b>Subtotal II</b>	<b>975.9</b>	<b>813.8</b>	<b>805.7</b>	<b>(8.1)</b>	<b>(1.0)</b>
<b>Total</b>	<b>26 867.8</b>	<b>23 518.3</b>	<b>25 165.9</b>	<b>1 647.6</b>	<b>7.0</b>

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

	Cost estimates	Variance
<b>Posts</b>	\$24 360.2	\$1 655.7 7.3%

134. The provision would cover the salaries, common staff costs and staff assessments for the 128 proposed posts. The higher requirements result from: (a) the application of lower vacancy factors to the cost estimates for the 2013/14 financial period compared with the rates factored in the resources approved for 2012/13 (see para. 28 above); and (b) the estimation of common staff costs at a higher percentage of net salaries compared with the budget for 2012/13 (see para. 29 above). The higher requirements are partly offset by the proposed reduction of five posts.

	Cost estimates	Variance
<b>General temporary assistance</b>	\$192.4	\$6.6 3.6%

135. The requirements would provide for the proposed continuation of two general temporary assistance positions. The higher requirements result from: (a) the application of lower vacancy factors to the cost estimates for the 2013/14 financial period compared with the rates factored in the resources approved for 2012/13 (see

para. 28 above); and (b) the estimation of common staff costs at a higher percentage of net salaries compared with the budget for 2012/13 (see para. 29 above).

	<i>Cost estimates</i>	<i>Variance</i>
<b>Official travel</b>	\$613.3	(\$14.7) (2.3%)

136. 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	307 300	8 presentations to Member States, regional organizations and peacekeeping institutes on contributions to peacekeeping, enhanced effectiveness of peacekeeping operations, the protection of civilians and evolving operational requirements, to encourage support for strategic and operational courses of action in peacekeeping operations 10 strategic analysis reports on the military aspects of significant operational developments in peacekeeping operations and on evolving conflict areas 5 strategic military concepts of operations, statements of force requirements and rules of engagement for new or significantly adjusted peacekeeping operations 14 strategic or oversight assessment reports on military components of peacekeeping operations
Technical support	271 300	12 predeployment and assessment reports of troop-contributing country capacities 5 military advisory briefings to existing, emerging and new troop-contributing countries on specific operational requirements for new or significantly adjusted peacekeeping operations 14 strategic or oversight assessment reports on military components of peacekeeping operations
Seminars/conferences/workshops	34 700	1 guidance material to troop-contributing countries on international humanitarian law; 2 guidance materials on the use of force during civil disturbances and on the use of interpreters in the context of military components of peacekeeping missions; and 1 comprehensive report on military capability gaps
<b>Total</b>	<b>613 300</b>	

137. The amount of \$307,300 is proposed for travel to carry out the following mission planning/assessment/consultation activities: discussing the different military aspects of peacekeeping operations with ASEAN, the Collective Security Treaty Organization, the European Union, NATO, OAS, ECOWAS, and Member States in East Asia with a view to strengthening partnerships and enhancing contributions to peacekeeping (\$59,000); assessing military information on risks to military operations and on evolving conflict areas (\$51,900); conducting technical

assessment missions in peacekeeping missions to revise military concepts of operations, force requirements and rules of engagement (\$100,200); and reviewing missions' capability to assess requirements for the reconfiguration of the force posture and changes in the requirements of military components (\$96,200).

138. The amount of \$271,300 is proposed for travel to undertake the following technical support activities: predeployment visits to review contributions pledged by troop-contributing countries and assist them with major equipment, self-sustainment and military personnel matters (\$112,500); provision of mission-specific advice, including on operational matters, and assistance to troop-contributing countries (\$78,000); and provision of oversight and strategic guidance to Force Commanders of peacekeeping missions on military-related aspects of peacekeeping operations, including crisis response, drawdown and the reconfiguration of military components and transitional issues (\$80,800).

139. The amount of \$34,700 is proposed for travel to participate in the following seminars/conferences/workshops: carrying out consultations for the development of a policy paper on the use of the military in civil disturbances (\$11,000); consulting with the Office for the Coordination of Humanitarian Affairs and relevant organizations on the implementation of international humanitarian law to clarify field requirements (\$10,800); preparing guidance materials on the use of interpreters in United Nations peacekeeping missions (\$10,700); and attending a seminar on capability gaps identification (\$2,200).

140. The lower requirements are attributable primarily to reduced travel as a result of the maximization of videoconferencing and other communications technology.

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

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

141. The mandate of the Office of Rule of Law and Security Institutions was established by the General Assembly in its resolution 61/279. The functions of the Office are set out in the Secretary-General's bulletin on the Organization of DPKO (ST/SGB/2010/1).

142. The Office of Rule of Law and Security Institutions undertakes a broad spectrum of activities mandated by the Security Council and the General Assembly to support peacekeeping operations and ensure a coordinated approach to the strengthening of the rule of law and security institutions. Together with the Bureau for Crisis Prevention and Recovery of UNDP, the Office represents the Department as co-lead of the global focal point arrangement for police, justice and corrections in post-conflict and other crisis situations and, as such, will give priority to increasing coherence and efficiency in delivering support to the field. The Office also leads other system-wide initiatives through inter-agency processes in the areas of disarmament, demobilization and reintegration; mine action; and security sector reform. Priority areas of engagement relating to peacekeeping include: coordinated programming; integrated strategic planning, assessment and direction with regard to the rule of law and security institutions; the planning of and support to the transition of peacekeeping operations; regional and cross-cutting initiatives; the development of policy, technical guidance and training materials and the delivery of training programmes in specialized areas; the targeted recruitment of experts and the development and deployment of rapidly deployable capacities.

143. The Office of Rule of Law and Security Institutions comprises the Office of the Assistant Secretary-General; the Police Division; the Mine Action Service; the Criminal Law and Judicial Advisory Service; the Disarmament, Demobilization and Reintegration Section; and the Security Sector Reform Unit.

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*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 Security Council resolutions reflect the activities to be carried out by police, judicial affairs and corrections officers (2011/12: 100 per cent; 2012/13: 100 per cent; 2013/14: 100 per cent)

1.2 Security Council resolutions incorporate specific recommendations by the Secretary-General on security sector reform, disarmament, demobilization and reintegration, mine action and explosive remnants of war in the establishment or adjustment of peacekeeping operations (2011/12: 100 per cent; 2012/13: 100 per cent; 2013/14: 100 per cent)

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*Outputs*

- 10 presentations to Member States, intergovernmental bodies, groups of friends, regional groups and specialized institutions on the improved delivery of mandates in the field in the context of a partnership approach in the areas of the rule of law and security institutions
- Inputs to 40 reports of the Secretary-General and other documents issued by the Security Council and legislative bodies on police, justice and corrections, disarmament, demobilization and reintegration, mine action and/or security sector reform
- 48 briefings on peacekeeping operations to legislative bodies, Member States, intergovernmental bodies, groups of friends and troop- and police-contributing countries in the areas of police (20), justice and corrections (10), disarmament, demobilization and reintegration (10) and security sector reform (8), including on the operationalization of the global focal point arrangement for police, justice and corrections in post-conflict and other crisis situations
- Presentations to 4 Member States to increase strategic awareness about all police issues in peacekeeping operations and to encourage contributions from police officers to peacekeeping operations
- 18 briefings to police-contributing countries, groups of friends and/or regional organizations on policy and training issues, special initiatives and/or cross-cutting police and other law enforcement matters in peacekeeping operations
- 6 briefing notes on developments in disarmament, demobilization and reintegration in field operations
- Multi-donor report on mine action covering activities in up to 8 field operations
- Report of the Secretary-General to the General Assembly on assistance in mine action

<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 deployment of police to new, adjusted or transitioning peacekeeping operations within 30 days of the adoption of the relevant Security Council resolution (2011/12: 60 days; 2012/13: 30 days; 2013/14: 30 days)</p> <p>2.2 Initial deployment of standing justice and corrections capacity to new, adjusted or transitioning peacekeeping operations within 45 days of the adoption of the relevant Security Council resolution (2011/12: 45 days; 2012/13: 45 days; 2013/14: 45 days)</p> <p>2.3 Initial deployment of personnel specializing in mine action and security sector reform to adjusted or transitioning peacekeeping operations within 30 days of the adoption of the relevant Security Council resolution (2011/12: 30 days; 2012/13: 30 days; 2013/14: 30 days)</p>

*Outputs*

- 8 briefings to Member States, agencies, funds and programmes, regional and subregional organizations and specialized institutions or organizations on the implementation of standing capacities, the provision of resources, the division of labour and the development of specialists and rapidly deployable capacities needed in the areas of the rule of law and security institutions, and on the global focal point arrangement for police, justice and corrections
- 11 end-of-assignment reports on lessons learned and best practices, as well as the identification of ongoing support (4 police, 3 justice and 3 corrections components) for new or existing peacekeeping operations
- 30 briefings to Member States on police issues in peacekeeping operations, including on requirements for the rapid deployment of highly qualified police personnel
- 2 assessments of mine action components of new or reconfigured peacekeeping operations

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
3.1 Increased efficiency and effectiveness of peacekeeping operations	<p>3.1 Police, justice, corrections, disarmament, demobilization and reintegration, security sector reform and mine action components reflected in 5 integrated mission plans (2011/12: 5; 2012/13: 3; 2013/14: 5)</p> <p>3.2 Vacancy rate for police in field operations reduced from 18 per cent to 16 per cent (2011/12: 20 per cent; 2012/13: 18 per cent; 2013/14: 16 per cent)</p> <p>3.3 Contingency mine action plans developed or updated by 2 peacekeeping operations (2011/12: 2; 2012/13: 2; 2013/14: 2)</p>

*Outputs*

- 1 conference of heads of police components from all peacekeeping operations

- 2 conferences of heads of rule of law and security institutions components in the field to provide guidance, exchange information, share best practices, review strategic objectives, enhance coordination and ensure clarity as to their roles and responsibilities
- 3 strategic notes in the areas of the rule of law and security institutions, including the prioritization of early peacebuilding tasks and transition plans in peacekeeping operations where relevant, strategic coordination with UNDP, other United Nations entities and Member States on the global focal point arrangement for police, justice and corrections
- 45 technical or strategic support, review or assessment reports on the implementation of rule-of-law and security institutions mandates, including through the global focal point arrangement for police, justice and corrections where applicable (10 police; 7 justice and 7 corrections; 6 security sector reform; 7 disarmament, demobilization and reintegration; 8 mine action), and review programmes in peacekeeping operations where relevant, including from 1 joint inter-agency assessment for disarmament, demobilization and reintegration
- New or updated police operational plans, standard operating procedures and concepts of operations for 5 police components of peacekeeping operations, as appropriate
- Individual police officers and/or members and equipment of formed police units of 47 Member States certified for deployment to peacekeeping operations through assessment/selection and testing, and inspection sessions
- 2 guidance materials and training tools for justice and corrections personnel
- 1 standard operating procedure, 1 study on lessons learned and/or 1 guidance note on key operational aspects of disarmament, demobilization and reintegration
- 6 co-chaired videoconferences with inter-agency groups on disarmament, demobilization and reintegration to develop guidance and share best practices and information
- 1 pilot training module on security sector reform for peacekeeping experts based on 1 integrated technical guidance note on security sector reform
- 1 training course for 25 security sector reform practitioners on security sector issues, including experts from the United Nations roster of security sector reform experts
- 1 training course for 25 defence sector reform practitioners, including experts from the United Nations roster of security sector reform experts
- 1 report on lessons-learned and best practices in security sector reform, including defence sector reform elements
- 1 technical assessment mission to provide technical assistance to field operations in the areas of physical security and stockpile management
- 1 joint inter-agency assessment mission to review the transition of mine action programme ownership from the United Nations to national authorities
- 5 visits to Member States contributing to the United Nations roster of security sector reform experts, in particular those underrepresented in the roster

## External factors

Member States, United Nations partners and other relevant entities will provide the support, coordination and collaboration required to implement mission mandates; and conditions on the ground in peacekeeping operations will allow assessment, assistance or support missions to be conducted

**(b) Human resources requirements**

<i>Category</i>	<i>Approved staffing 2012/13</i>	<i>Redeployment, reassignment, reclassification, abolishment, discontinuation</i>	<i>General temporary assistance conversions</i>	<i>New posts/positions proposed</i>	<i>Total proposed 2013/14</i>	<i>Change</i>
<b>Posts</b>						
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	–	–	–	–	–	–
D-1	2	–	–	–	2	–
P-5	10	(1)	–	–	9	(1)
P-4	45	(4)	–	–	41	(4)
P-3	26	(1)	–	–	25	(1)
P-2/P-1	–	–	–	–	–	–
<b>Subtotal</b>	<b>83</b>	<b>(6)</b>	<b>–</b>	<b>–</b>	<b>77</b>	<b>(6)</b>
<b>General Service and related</b>						
Principal level	–	–	–	–	–	–
Other level	17	–	–	–	–	–
<b>Subtotal</b>	<b>17</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>17</b>	<b>–</b>
<b>Total</b>	<b>100</b>	<b>(6)</b>	<b>–</b>	<b>–</b>	<b>94</b>	<b>(6)</b>
<b>General temporary assistance positions</b>						
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	–	–	–	–	–	–
D-1	–	–	–	–	–	–
P-5	–	–	–	–	–	–
P-4	2	–	–	–	2	–
P-3	1	–	–	–	1	–
P-2/P-1	–	–	–	–	–	–
<b>Subtotal</b>	<b>3</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>3</b>	<b>–</b>

Category	Approved staffing 2012/13	Redeployment, reassignment, reclassification, abolition, discontinuation	General temporary assistance conversions	New posts/ positions proposed	Total proposed 2013/14	Change
<b>General Service and related</b>						
Principal level	-	-	-	-	-	-
Other level	-	-	-	-	-	-
<b>Subtotal</b>	-	-	-	-	-	-
<b>Total</b>	<b>3</b>	-	-	-	3	-
<b>Grand total</b>	<b>103</b>	<b>(6)</b>	-	-	97	<b>(6)</b>

(c) **Justification of posts****Police Division**

*Abolishment of five posts (3 P-4 Police Liaison Officers, 1 P-4 Compliance and Monitoring Officer and 1 P-3 Police Communications Adviser)*

*Reassignment of one post (1 P-5 Senior Police Liaison Officer) to the newly proposed Office of the Director, Evaluation of Field Uniformed Personnel, to perform the functions of Senior Police Evaluation Officer (P-5)*

144. The approved staffing establishment of the Police Division comprises 63 posts (1 D-1, 6 P-5, 33 P-4, 14 P-3 and 9 GS (OL)) funded from the support account, of which 10 Professional posts (3 P-5 and 7 P-4) are specialist posts of Police Liaison Officers, whose functions are to support the integrated operational teams in the Office of Operations. Three of the posts at the P-4 level no longer support the integrated operational teams and were returned to the Police Division, where the incumbents currently develop core training materials and specialized training packages to better align them with new policies, directives, guidelines and standard operating procedures adopted by the Division in order to address the gaps identified in the report of the Secretary-General on the United Nations police (A/66/615) in the areas of guidance development, curriculum development and training, and specialist thematic policing. Through a better alignment of resources and a clearer division of labour among the existing resources within the Division, it has been determined that those functions could be carried out by the Standing Police Capacity, located at UNLB. It is therefore proposed that the 3 Police Liaison Officer posts at the P-4 level be abolished.

145. The principal function of the post of Compliance and Monitoring Officer (P-4) is to assist in ensuring that peacekeeping operations and special political missions comply with the regulatory statutes provided by the Police Division and to develop proper compliance and audit guidance for the Division and the field missions. After a review of the capacity and activities of the Division, it was determined that those functions could be carried out by the Standing Police Capacity. It is therefore proposed that the post of Compliance and Monitoring Officer (P-4) be abolished.

146. The General Assembly, in its resolution 66/265, endorsed the recommendation of the Advisory Committee for Administrative and Budgetary Questions (see A/66/779, para. 79) that a review of the long-term need for a Police Communications

Adviser in the Police Division be undertaken. After careful review, it is proposed that the post of Police Communications Adviser (P-3) be abolished. Any arising needs will be met through existing capacities in the Police Division, including its Standing Police Capacity, and in close coordination with the Public Affairs Section.

147. As explained in paragraphs 84 to 91 above, it is proposed that one post of Senior Police Liaison Officer (P-5) be reassigned to the newly proposed Office of the Director, Evaluation of Field Uniformed Personnel, under the Office of the Under-Secretary-General. The post proposed for reassignment is one of the specialist posts in the Police Division that support the Integrated Operational Team in the Office of Operations, specifically assigned to UNMIT. As the mission is closing, the post as such is no longer needed.

**(d) Justification of general temporary assistance positions**

**Criminal Law and Judicial Advisory Service**

*Judicial Affairs Officer (1 P-4 position, continuation)*

*Judicial Affairs Officer (Islamic Law) (1 P-4 position, continuation)*

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

148. The current staffing establishment of the Criminal Law and Judicial Advisory Service comprises 13 continuing posts (1 D-1, 2 P-5, 6 P-4, 2 P-3 and 2 GS (OL)) and three general temporary assistance positions, funded from the support account. The workload of the Service is distributed among three teams: the policy cell, the justice team and the corrections team.

149. Four Judicial Affairs Officers currently serve as desk officers for two to four missions each, working in coordination with the integrated operational teams of DPKO. The tasks of the desk officers (focal points) include participating in technical assessment missions, providing periodic written guidance to mission components, developing operational plans for new peacekeeping operations, assisting operations in developing annual workplans and budgets and helping to mobilize extrabudgetary resources for programme implementation.

150. It is proposed that the general temporary assistance position of Judicial Affairs Officer (P-4) be continued, given substantial demand from MINUSTAH and, more broadly, the international community for support for the Haitian authorities in rebuilding the justice sector. As part of this effort, the Judicial Affairs Officer has played a key role in formulating strategy papers for rule-of-law reform in Haiti and by mobilizing a considerable amount of resources for the implementation of such strategies. The agreement by the Government of Haiti to deploy seconded justice experts within the Ministry of Justice and Public Security creates an additional need for support from Headquarters in identifying and selecting qualified candidates to fill these positions. As strengthening the rule of law has been identified as a priority in Haiti, the Judicial Affairs Officer would be dedicated fully to the mission and would provide expert guidance and advice, including through the annual review/evaluation of the performance of its justice component, leading to earlier law and order and a timelier exit from peacekeeping activities. The increased frequency and quality of technical justice guidance would reduce the amount of resources required at the mission level. By improving the frequency, quality and consistency of the reviews/evaluations of the mission's justice component, the Judicial Affairs Officer

would ensure that MINUSTAH receives regular professional feedback and guidance on the implementation of its programmes, so that field activities are tailored to mandate implementation.

151. The Criminal Law and Judicial Advisory Service is responsible for providing support to peacekeeping operations in which Islamic law is applied. In addition, the Service provides support on justice issues related to Somalia, UNAMID, UNISFA and, recently, UNSMIS. In these contexts, the applicability of Islamic law (which can take a variety of forms) is one of the most fundamental issues affecting prospects for sustainable peace. The Service provides expert guidance and advice to peacekeeping missions operating in Islamic law contexts, which improves the overall ability to support the justice components of peacekeeping operations. Given the fact that the current general temporary assistance position is the only capacity with Islamic law expertise within the Department at Headquarters, it is proposed that the general temporary assistance position of Judicial Affairs Officer (Islamic Law) (P-4) be continued. In addition to carrying out mission-specific tasks, the Officer ensures that the Islamic law perspective is included in the Service's guidance and training materials. While the Service has substantial expertise in civil law and common law, it would have no expertise in Islamic law without the proposed resource.

152. The corrections team supports corrections programmes in eight peacekeeping operations and has recently provided support to UNSMIS. In addition to performing other support functions, the corrections team interacts with Member States that provide seconded corrections officers to peacekeeping operations; solicits offers of secondment; screens, interviews and selects the officers proposed; and manages the selection and rotation of this category of seconded staff.

153. More than 300 individual seconded corrections officers are deployed or extended each year. The recruitment process involves developing job profiles in specialized areas of expertise; organizing periodic official briefings to Member States; sending formal notices to Member States interested in contributing seconded corrections and judicial staff; receiving and screening applications; arranging and conducting telephone interviews; and maintaining an electronic database of the status of applications and of corrections officers seconded to peacekeeping operations. During the 2009/10 to 2011/12 periods, 200, 295 and 350 interviews were conducted, respectively. Such interviews involve at least two Professional staff members serving on the interview panels. Furthermore, the recruitment and deployment of 40 seconded justice officers is supported; the deployment process is similarly labour-intensive.

154. The continuation of the position of Corrections Officer (Force Generation) is thus essential to managing the recruitment, deployment and extension processes efficiently and effectively in order to ensure that the seconded corrections and judicial positions in peacekeeping operations, steadily increasing in number, are promptly filled. It is therefore proposed that one general temporary assistance position of Corrections Officer (Force Generation) (P-3) be continued.

**(e) Financial resource requirements**

(Thousands of United States dollars)

Category	Expenditures (2011/12) (1)	Apportionment (2012/13) (2)	Cost estimates (2013/14) (3)	Variance	
				Amount (4)=(3)-(2)	Percentage (5)=(4)÷(2)
I. Post resources	17 605.8	16 299.5	16 937.7	638.2	3.9
II. Non-post resources					
General temporary assistance	580.1	456.1	589.7	133.6	29.3
Consultants	–	21.6	–	(21.6)	(100.0)
Official travel	1 051.4	852.0	852.0	–	–
Other supplies, services and equipment	48.1	27.5	26.4	(1.1)	(4.0)
<b>Subtotal II</b>	<b>1 679.6</b>	<b>1 357.2</b>	<b>1 468.1</b>	<b>110.9</b>	<b>8.2</b>
<b>Total</b>	<b>19 285.4</b>	<b>17 656.7</b>	<b>18 405.8</b>	<b>749.1</b>	<b>4.2</b>

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

	Cost estimates	Variance	
<b>Posts</b>	\$16 937.7	\$638.2	3.9%

155. The provision would cover the salaries, common staff costs and staff assessments for the 94 proposed posts. The higher requirements result from: (a) the application of lower vacancy factors to the cost estimates for the 2013/14 financial period compared with the rates factored in the resources approved for 2012/13 (see para. 28 above); and (b) the estimation of common staff costs at a higher percentage of net salaries compared with the budget for 2012/13 (see para. 29 above). The higher requirements are partly offset by the proposed reduction of six posts.

	Cost estimates	Variance	
<b>General temporary assistance</b>	\$589.7	\$133.6	29.3%

156. The requirements would provide for the proposed continuation of three general temporary assistance positions. The higher requirements result from: (a) the application of lower vacancy factors to the cost estimates for the 2013/14 financial period compared with the rates factored in the resources approved for 2012/13 (see para. 28 above); and (b) the estimation of common staff costs at a higher percentage of net salaries compared with the budget for 2012/13 (see para. 29 above).

	Cost estimates	Variance	
<b>Official travel</b>	\$852.0	–	–

157. 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	342 700	<p>3 strategic notes in the areas of the rule of law and security institutions, including the prioritization of early peacebuilding tasks and transition plans in peacekeeping operations where relevant, including strategic coordination with UNDP, other United Nations entities and Member States on the global focal point arrangement</p> <p>45 technical or strategic support, review or assessment reports on the implementation of rule-of-law and security institutions mandates, including through the global focal point arrangement where applicable (10 police; 7 justice and 7 corrections; 6 security sector reform; 7 disarmament, demobilization and reintegration; and 8 mine action), and review programmes in peacekeeping operations where relevant, including from 1 joint inter-agency assessment for disarmament, demobilization and reintegration</p> <p>2 assessments of mine action components of new or reconfigured peacekeeping operations</p> <p>New or updated police operational plans, standard operating procedures and concepts of operations for 5 police components of peacekeeping operations, as appropriate</p> <p>11 end-of-assignment reports on lessons learned and best practices, as well as the identification of ongoing support (5 police, 3 justice and 3 corrections components) for new or existing peacekeeping operations</p> <p>18 briefings to police-contributing countries, groups of friends and/or regional organizations on policy and training issues, special initiatives and/or cross-cutting police and other law enforcement matters in peacekeeping operations</p> <p>Presentations to 4 Member States to increase strategic awareness about all police issues in peacekeeping operations and to encourage contributions from police officers to peacekeeping operations</p> <p>8 briefings to Member States, agencies, funds and programmes, regional and subregional organizations and specialized institutions or organizations on the implementation of standing capacities, the provision of resources, the division of labour and the development of specialists and rapidly deployable capacities needed in the areas of the rule of law and security institutions, and on the global focal point arrangement</p>
Technical support	492 300	Individual police officers and/or members and equipment of formed police units of 47 Member States certified for deployment to peacekeeping operations through assessment/selection and testing, and inspection sessions
Seminars/conferences/workshops	17 000	3 conferences to provide guidance, exchange information, share best practices, review strategic objectives, enhance coordination and ensure clarity on the roles and responsibilities among heads of field components in the areas of police, the rule of law and security institutions
<b>Total</b>	<b>852 000</b>	

158. The amount of \$342,700 is proposed for travel to undertake the following mission planning/assessment/consultation activities: consulting with Special Representatives of the Secretary-General on the rule of law and security sector reform and providing guidance and assistance (\$48,300); reviewing and evaluating the justice and corrections programmes in peacekeeping missions and assisting with the further planning of those programmes (\$81,500); discussing with Special Representatives of the Secretary-General, Force Commanders and other senior staff the strategic direction of mine action support, in line with mission mandates, to strengthen synergies between mine action and security sector reform (\$8,200); discussing with national authorities the technical assessment of the mine action component of UNISFA, including support to the Joint Border Verification and Monitoring Mechanism, which is a component of the mission (\$8,900); evaluating the disarmament, demobilization and reintegration/demobilization, disarmament, repatriation, resettlement and reintegration programmes and suggesting changes in approach (\$35,200); reviewing the implementation of joint activities with United Nations agencies and the World Bank on disarmament, demobilization and reintegration (\$21,300); reviewing the police operations plans, standard operating procedures and concepts of operations for the police component of peacekeeping missions to better align them with mandates (\$45,000); assisting missions in undertaking a study on lessons learned in policing and law enforcement and, as required, providing strategic advice in the areas of vetting, elections, counter-terrorism efforts, community-oriented policing and strategic planning (\$48,500); providing briefings to the African Union Commission and its regional economic mechanisms, the European Union Commission and host States on the organizational and policy issues relating to United Nations police in peacekeeping operations, emerging issues affecting policing and law enforcement in peacekeeping and conflict situations and the need to generate specialized police individuals and units for mission deployment (\$36,200); and reaching out to key Member States and other organizations with mutual interests on policy issues relating to justice and corrections in peacekeeping operations, emerging issues within the areas of peacekeeping and conflict situations affecting the rule of law and the need to generate specialized justice and corrections expertise for deployment to peacekeeping operations (\$9,600).

159. The amount of \$492,300 is proposed for travel to undertake the following technical support activities: providing missions with technical and managerial support on their mine action programme (\$67,300); supporting missions planning for the disarmament, demobilization and reintegration/demobilization, disarmament, repatriation, resettlement and reintegration transition (\$22,400); conducting evaluations, together with missions and/or providing focused technical support in the areas of planning and/or implementation of security sector reform programmes or projects with a view to identifying specific requirements for further Headquarters support (\$41,700); undertaking predeployment visits to police-contributing countries to conduct assessments of individual police officers and formed police units (\$360,900).

160. The amount of \$17,000 is proposed for travel to participate in the following seminars/conferences/workshops: the meeting of the 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 (\$5,200); coordination meetings with the World Bank to exchange lessons learned on joint initiatives in field operations with a view to improved guidance on disarmament, demobilization and reintegration processes in missions, as well as

increased coordination in several countries/areas (\$4,400); the conference of the International Corrections and Prisons Association, to exchange best practices, learn about innovations in the field and identify unique expertise (\$1,900); and the workshop on Islamic Law in a peacekeeping setting organized by the NATO School Oberammergau and the International Institute of Higher Studies in Criminal Sciences (\$5,500).

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Other supplies, services and equipment</b>	\$26.4	(\$1.1)	(4.0%)

161. The amount of \$26,400 is proposed for the translation of the Office's guidelines into French and Arabic, technical training and induction materials, campaign recruitment materials and supplies related to the production of magazines, leaflets and guidance publications.

## 6. Policy, Evaluation and Training Division

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

162. The mandate of the Policy, Evaluation and Training Division was established by the General Assembly in its resolution 61/279. The functions of the Division are set out in the Secretary-General's bulletin on the organization of DPKO (ST/SGB/2010/1).

163. The Policy, Evaluation and Training Division is an integrated resource for both DPKO and DFS that provides an institutional capacity for strengthening peacekeeping through the formulation of cross-cutting peacekeeping policy and guidance, the capture and sharing of best practices, the setting of training standards for peacekeeping personnel, the evaluation of programme performance towards mandate implementation, and strategic cooperation within the United Nations and with external partners. The Division's priorities are focused largely on the reform agenda of DPKO and DFS, in particular those issues outlined in the New Horizon initiative and the global field support strategy. The Division provides technical and operational support to Member States and peacekeeping operations in the area of training and serves as the secretariat for the Special Committee on Peacekeeping Operations. It also provides operational support to DPKO and DFS, Member States and all peacekeeping operations in several thematic areas, including the protection of civilians, sexual and gender-based violence, gender, HIV/AIDS, child protection and civil affairs.

164. The Division comprises the Office of the Director, the Integrated Training Service and the Policy and Best Practices Service.

#### *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 All formal and informal reporting requested by Member States to the Special Committee on Peacekeeping Operations is provided (2011/12: 100 per cent; 2012/13: 100 per cent; 2013/14: 100 per cent)

1.2 The report of the Secretary-General on the implementation of the recommendations of the Special Committee on Peacekeeping Operations responds fully to all matters in the report of the Special Committee (2011/12: 100 per cent; 2012/13: 100 per cent; 2013/14: 100 per cent)

*Outputs*

- 3 presentations to Member States in their capitals to advise on cross-cutting and emerging policy issues in peacekeeping
- 2 informal briefings to the Special Committee on Peacekeeping Operations and 10 bilateral briefings to Member States, as requested, on peacekeeping partnerships and related issues
- 13 briefings, and a report to the Special Committee on Peacekeeping Operations, on priority policy and reform issues, including capability development and training, the protection of civilians, command and control, early peacebuilding in peacekeeping operations, civil affairs, peacekeeping partnerships, child protection, gender, conflict-related sexual violence, HIV/AIDS and transitions
- 7 briefings to Member States and think tanks on the status and future of the implementation of the New Horizon initiative and cross-cutting thematic issues, including the protection of civilians, capability development, gender mainstreaming and conflict-related sexual violence
- 4 opening statements by the Under-Secretaries-General for Peacekeeping Operations and Field Support during the debates of the Fourth Committee and the Special Committee on Peacekeeping Operations
- 4 briefings to the Security Council on the protection of civilians, child protection, HIV/AIDS, gender and conflict-related sexual violence
- 5 workshops/briefings for technical experts from Member States and partners to develop new or updated guidance, training and policy on Security Council resolution 1325 (2000), key roles of civil affairs officers, knowledge management, child protection and emerging policy issues

*Expected accomplishments*

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

*Indicators of achievement*

2.1 The European Union provides enabling or support capacities to the early deployment of 1 new or significantly adjusting peacekeeping operation (2011/12: not applicable; 2012/13: 1; 2013/14: 1)

*Outputs*

- Implementation of actions to be taken by DPKO and DFS under the action plan to enhance European Union support for United Nations peacekeeping operations

*Expected accomplishments*

3.1 Increased efficiency and effectiveness of peacekeeping operations

*Indicators of achievement*

3.1 100 per cent of training standards are available to all troop- and police-contributing countries and peacekeeping operations (2011/12: 100 per cent; 2012/13: 100 per cent; 2013/14: 100 per cent)

3.2 100 per cent of new or revised official peacekeeping guidance documents are available to all staff in peacekeeping operations on the peace operations intranet policy and practice database (2011/12: 100 per cent; 2012/13: 100 per cent; 2013/14: 100 per cent)

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*Outputs*

- 5 presentations to national/regional peacekeeping training institutions, think tanks and peacekeeping policy institutes on cross-cutting thematic issues, policy development and implementation activities and emerging strategic issues that have an impact on peacekeeping
- 10 briefings to international financial institutions, international and regional organizations and non-governmental organizations, as requested, on peacekeeping partnerships and related issues
- Agreement with the World Bank on joint initiatives or pilot projects to be undertaken in 2 peacekeeping operations
- 1 guidance note regarding collaboration between United Nations peacekeeping operations and UNDP on peacekeeping issues
- 6 evaluation reports, comprising 4 mission-focused and 2 thematic evaluations
- 6 discussion papers and speeches on cross-cutting emerging policy challenges in peacekeeping
- 6 reports on lessons learned across missions with regard to policy, reform and operational issues in line with the New Horizon initiative and other departmental priorities
- 3 additional communities of practice for peacekeeping operations and 1 review of the functions of civilian and military best practices officers
- 1 technical guidance material developed on cross-cutting peacekeeping issues
- 16 technical reports related to the implementation of guidance and lessons learned by peacekeeping operations, including with respect to sexual violence in conflict, quick-impact projects, civil affairs, the protection of civilians, gender and HIV/AIDS
- 1 operational guidance on the implementation of Security Council resolutions 1820 (2008), 1888 (2009) and 1960 (2010) disseminated to peacekeeping missions
- 3 workshops for mission thematic advisers and focal points for the purpose of knowledge-sharing and training
- Quarterly summary of key lessons learned and best practices for senior management in peacekeeping operations and 35 e-newsletters to peacekeeping operations on new knowledge management products
- 3 training-of-trainers courses for 75 peacekeeping trainers from Member States, 6 training recognition visits, 2 mobile training support activities, and training development in support of the predeployment training provided by Member States to military and police personnel for United Nations peacekeeping operations
- Peacekeeping-specific training courses on senior leadership, management and administration for 120 peacekeeping personnel, including 2 senior mission leaders' courses, 2 senior leadership programmes and 1 Senior Mission Administration and Resource Training programme
- 1 workshop for integrated mission training centre personnel of all peacekeeping operations and 4 training activities, including evaluation, monitoring and delivery, to provide support and policy guidance on training to peacekeeping operations, and 24 predeployment courses for 400 civilian peacekeeping personnel

- Technical and methodological support to Member States, missions, DPKO and DFS offices and other partners, for the development and delivery of specialized and substantive training curricula and materials for peacekeeping personnel with a view to improving the planning, management, support and conduct of peacekeeping operations
- 3 peacekeeping predeployment training standards produced and made available to all peacekeeping training institutions

*External factors*

Member States will provide the policy guidance and direction necessary for the implementation of the Division's activities

**(b) Human resources requirements**

<i>Category</i>	<i>Approved staffing 2012/13</i>	<i>Redeployment, reassignment, reclassification, abolition, discontinuation</i>	<i>General temporary assistance conversions</i>	<i>New posts/ positions proposed</i>	<i>Total proposed 2013/14</i>	<i>Change</i>
<b>Posts</b>						
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	1	–	–	–	1	–
D-1	2	–	–	–	2	–
P-5	7	–	–	–	7	–
P-4	23	(1)	–	–	22	(1)
P-3	16	(1)	–	–	15	(1)
P-2/P-1	1	–	–	–	1	–
<b>Subtotal</b>	<b>50</b>	<b>(2)</b>	<b>–</b>	<b>–</b>	<b>48</b>	<b>(2)</b>
<b>General Service and related</b>						
Principal level	–	–	–	–	–	–
Other level	14	–	–	–	14	–
<b>Subtotal</b>	<b>14</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>14</b>	<b>–</b>
<b>Total</b>	<b>64</b>	<b>(2)</b>	<b>–</b>	<b>–</b>	<b>62</b>	<b>(2)</b>
<b>General temporary assistance positions</b>						
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	–	–	–	–	–	–
D-1	–	–	–	–	–	–
P-5	–	–	–	–	–	–
P-4	1	–	–	–	1	–

Category	Approved staffing 2012/13	Redeployment, reassignment, reclassification, abolishment, discontinuation	General temporary assistance conversions	New posts/ positions proposed	Total proposed 2013/14	Change
P-3	-	-	-	-	-	-
P-2/P-1	-	-	-	-	-	-
<b>Subtotal</b>	<b>1</b>	-	-	-	<b>1</b>	-
<b>General Service and related</b>						
Principal level	-	-	-	-	-	-
Other level	-	-	-	-	-	-
<b>Subtotal</b>	-	-	-	-	-	-
<b>Total</b>	<b>1</b>	-	-	-	<b>1</b>	-
<b>Grand total</b>	<b>65</b>	<b>(2)</b>	-	-	<b>63</b>	<b>(2)</b>

(c) **Justification of posts****Policy and Best Practices Service***Abolishment of one post (1 P-3 Coordination Officer)*

165. The approved staffing establishment of the Policy and Best Practices Service comprises 21 posts (1 D-1, 2 P-5, 8 P-4, 6 P-3, 1 P-2 and 3 GS (OL)) and one general temporary assistance position (P-4) funded from the support account. The Service consists of eight teams, including the Guidance Team, comprising four posts (1 P-4 and 3 P-3) funded from the support account. The Guidance Team develops and manages the operational guidance architecture for United Nations peacekeeping and is responsible for managing the central system that supports the development, approval and dissemination of all guidance and doctrinal materials to all field operations, as well as the production of several cross-cutting guidance documents each year, and supports the development of specialist guidance by functional areas. After a review of the capacity and the activities of the Service, it was determined that one post of Coordination Officer (P-3) in the Team could be abolished; although this would require a reprioritization of work priorities and plans, the bulk of the post's functions could be absorbed across the Service.

**Integrated Training Service***Abolishment of one post (1 P-4 Training Officer)*

166. The approved staffing establishment of the Integrated Training Service comprises 31 posts (1 D-1, 2 P-5, 11 P-4, 10 P-3 and 7 GS (OL)) funded from the support account. The Service comprises the Member States Support Team, consisting of 9 posts (1 P-5, 4 P-4, 3 P-3 and 1 GS (OL)) funded from the support account. The Team is responsible for providing direct support to all Member States by setting cross-cutting predeployment training standards and conducting regional training-of-trainers courses, mobile training teams and training recognition activities. The Team is also directly responsible for supporting the development of training standards by other DPKO/DFS offices, as well as participating in and

assisting peacekeeping training institutions with courses, workshops and exercises. After a review of the capacity and the activities of the Service, in particular the training-of-trainers activities and consultation workshops, and in view of the upcoming revision of the scheduling of some training activities, it was determined that one post of Training Officer (P-4) could be abolished and the work redistributed among the remaining capacity of the Service.

**(d) Justification of general temporary assistance positions**

**Policy and Best Practices Service, Protection Coordination Team**

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

167. The Protection Coordination Team of the Policy and Best Practices Service comprises one post (P-4) and one general temporary assistance position (P-4), funded from the support account.

168. The Team has developed a framework to guide senior mission leadership in developing comprehensive strategies for the protection of civilians, has supported the Integrated Training Service in designing training modules on the protection of civilians and has developed a detailed matrix outlining the resources and capabilities required for the implementation of civilian protection mandates. As a result of the close scrutiny that DPKO, DFS and Member States have recently given to the implementation of civilian protection mandates, a much greater demand for Headquarters support for the missions has emerged, along with a significant need to support development and coordination on the issue at Headquarters. In particular, peacekeeping missions with civilian protection mandates are now developing comprehensive strategies on the issue, in cooperation with the United Nations agencies, funds and programmes in the mission area. This is a complex undertaking, involving all mission components, and focused support from Headquarters is required. Furthermore, there is a need to coordinate work on civilian protection with the functions carried out within DPKO and with other departments in relation to child protection and sexual and gender-based violence. These are important elements of the Department's overall effort to protect civilians in the context of peacekeeping operations and need to be taken forward in a coherent manner.

169. In addition to coordination, there is a requirement for substantive work on the protection of civilians. As DPKO and DFS continue to gather important lessons learned in this area, there is a need to continue to conceptualize and develop instructions for both Headquarters and mission staff on the protection of civilians. Another area requiring additional development is the role that peacekeeping operations play in supporting host nations to protect civilians, which is ultimately the host nations' responsibility. This is an important issue given the fact that the host authorities will be solely responsible for the protection of civilians once a peacekeeping operation's mandate concludes. To this end, it is critical that more thought be put into the additional measures that peacekeeping operations can take so that host nations can protect civilians within their borders.

170. Protecting civilians in post-conflict situations, where mandated, is critical to the legitimacy and credibility of United Nations peacekeeping operations and, ultimately, of the Organization as a whole. In situations in which a peacekeeping operation fails to protect civilians, both the local community and international opinion can rapidly turn against the mission, significantly diminishing its chances

for successful mandate implementation. The impact on the mission goes beyond its civilian protection function; the failure to establish a dedicated capacity to assist both Headquarters and the missions with the implementation of civilian protection mandates can also be measured in terms of human lives and security. Direct support for missions mandated to protect civilians will mean that they are better prepared to prevent threats to civilians from growing to unmanageable proportions and better prepared to intervene when those threats manifest themselves.

171. In this context, it is proposed that the general temporary assistance position of Coordination Officer (P-4) in the Protection Coordination Team be continued to ensure that the eight missions with civilian protection mandates will receive adequate Headquarters support based on lessons learned, including in developing their comprehensive civilian protection strategies, establishing early warning and information-gathering mechanisms and creating internal mechanisms for the coordination of the protection of civilians. This would minimize the ad hoc approaches to this complex mandated task and ensure that efforts to protect civilians are addressed in a systematic manner based on lessons learned to date.

(e) **Financial resource requirements**

(Thousands of United States dollars)

Category	Expenditures (2011/12) (1)	Apportionment (2012/13) (2)	Cost estimates (2013/14) (3)	Variance	
				Amount	Percentage
				(4)=(3)-(2)	(5)=(4)÷(2)
I. Post resources	9 145.2	10 253.9	11 030.8	776.9	7.6
II. Non-post resources					
General temporary assistance	1 441.6	161.8	209.1	47.3	29.2
Consultants	581.9	418.6	534.0	115.4	27.6
Official travel	1 654.6	1 562.5	1 765.6	203.1	13.0
Other supplies, services and equipment	602.0	887.3	942.0	54.7	6.2
<b>Subtotal II</b>	<b>4 280.1</b>	<b>3 030.2</b>	<b>3 450.7</b>	<b>420.5</b>	<b>13.9</b>
<b>Total</b>	<b>13 425.3</b>	<b>13 284.1</b>	<b>14 481.5</b>	<b>1 197.4</b>	<b>9.0</b>

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

Posts	Cost estimates	Variance	
	\$11 030.8	\$776.9	7.6%

172. The provision would cover the salaries, common staff costs and staff assessments for the 62 proposed posts. The higher requirements result from: (a) the application of lower vacancy factors to the cost estimates for the 2013/14 financial period compared with the rates factored in the resources approved for 2012/13 (see para. 28 above); and (b) the estimation of common staff costs at a higher percentage of net salaries compared with the budget for 2012/13 (see para. 29 above). The higher requirements are partly offset by the proposed reduction of two posts.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>General temporary assistance</b>	\$209.1	\$47.3	29.2%

173. The requirements would provide for the proposed continuation of one general temporary assistance position. The higher requirements result from: (a) the application of lower vacancy factors to the cost estimates for the 2013/14 financial period compared with the rates factored in the resources approved for 2012/13 (see para. 28 above); and (b) the estimation of common staff costs at a higher percentage of net salaries compared with the budget for 2012/13 (see para. 29 above).

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Consultants</b>	\$534.0	\$115.4	27.6%

174. The consultancy requirements are as follows:

(United States dollars)

<i>Expertise</i>	<i>Amount</i>	<i>Output reference</i>
Training	332 600	<p>Technical and methodological support to Member States, missions, DPKO and DFS offices and other partners, for the development and delivery of specialized and substantive training curricula and materials for peacekeeping personnel with a view to improving the planning, management, support and conduct of peacekeeping operations</p> <p>3 training-of-trainers courses for 75 peacekeeping trainers from Member States, 6 training recognition visits, 2 mobile training support activities, and training development in support of the predeployment training provided by Member States to military and police personnel for United Nations peacekeeping operations</p> <p>Peacekeeping-specific training courses on senior leadership, management and administration for 120 peacekeeping personnel, including 2 senior mission leaders' courses, 2 senior leadership programmes and 1 Senior Mission Administration and Resource Training programme</p> <p>1 workshop for integrated mission training centre personnel of all peacekeeping operations and 4 training activities, including evaluation, monitoring and delivery, to provide support and policy guidance on training to peacekeeping operations, and 24 predeployment courses for 400 civilian peacekeeping personnel</p> <p>3 peacekeeping predeployment training standards produced and made available to all peacekeeping training institutions</p>
Thematic/mission evaluations	141 000	6 evaluation reports, comprising 4 mission-focused and 2 thematic evaluations

<i>Expertise</i>	<i>Amount</i>	<i>Output reference</i>
Seminars/conferences	60 400	Technical and methodological support to Member States, missions, DPKO and DFS offices and other partners, for the development and delivery of specialized and substantive training curricula and materials for peacekeeping personnel with a view to improving the planning, management, support and conduct of peacekeeping operations
<b>Total</b>	<b>534 000</b>	

175. The amount of \$332,600 is proposed for the engagement of consultants with technical expertise to develop and deliver training programmes on substantive areas of peacekeeping operations for DPKO (\$91,900), DFS (\$72,500) and Member States and field operations (\$168,200), such as management and administration and the general topics of ethics, management, leadership, integrity awareness and supervision.

176. The amount of \$141,000 is proposed for the engagement of consultants with technical expertise for 4½ person-months, including \$87,021 for travel, to undertake four mission-focused and two thematic evaluations supported by staff members who will provide functional expertise in their respective areas. Thematic evaluations are conducted in response to priority issues, identified by DPKO and DFS and/or raised by Member States through committees, that require attention or new initiatives that can benefit from the evaluation of their cross-cutting aspects. While the evaluations are internal, the findings and conclusions are shared with Member States and relevant Secretariat departments and incorporated into published reports and policy/guidance development. The evaluations will provide DPKO and DFS with a comprehensive assessment and internal evaluation mechanism to assist with and contribute to peacekeeping mission management.

177. The amount of \$60,400 would cover external consultants to function as facilitators at DPKO/DFS annual conferences.

178. The higher requirements are attributable to: (a) the need to update and further develop the operational training guidance for military and police peacekeepers, as well as the core predeployment training material, which were developed in 2008; (b) the proposed development of an e-learning tool for civil affairs; and (c) the design of a training programme to fill skills gaps as a result of the realignment of functions in the Field Personnel Division.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Official travel</b>	\$1 765.6	\$203.3	13.0%

179. 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	387 600	<p>5 presentations to national/regional peacekeeping training institutions, think tanks, and peacekeeping policy institutes on cross-cutting thematic issues, policy development and implementation activities, and emerging strategic issues that have an impact on peacekeeping</p> <p>6 evaluation reports, comprising 4 mission-focused and 2 thematic evaluations</p> <p>16 technical reports related to the implementation of guidance and lessons learned by peacekeeping operations, including with respect to sexual violence in conflict, quick-impact projects, civil affairs, the protection of civilians, gender and HIV/AIDS</p> <p>6 reports on lessons learned across missions with regard to policy, reform and operational issues in line with the New Horizon initiative and other departmental priorities</p> <p>Agreement with the World Bank on joint initiatives or pilot projects to be undertaken in 2 peacekeeping operations</p> <p>10 briefings to international financial institutions, international and regional organizations and non-governmental organizations, as requested, on peacekeeping partnerships and related issues</p>
Technical support	7 700	<p>16 technical reports related to the implementation of guidance and lessons learned by peacekeeping operations, including with respect to sexual violence in conflict, quick-impact projects, civil affairs, the protection of civilians, gender and HIV/AIDS</p>
Seminars/conferences/workshops	12 900	<p>16 technical reports related to the implementation of guidance and lessons learned by peacekeeping operations, including with respect to sexual violence in conflict, quick-impact projects, civil affairs, the protection of civilians, gender and HIV/AIDS</p> <p>6 reports on lessons learned across missions with regard to policy, reform and operational issues in line with the New Horizon initiative and other departmental priorities</p>
Training	1 357 400	<p>Technical and methodological support to Member States, missions, DPKO and DFS offices and other partners, for the development and delivery of specialized and substantive training curricula and materials for peacekeeping personnel with a view to improving the planning, management, support and conduct of peacekeeping operations</p> <p>3 training-of-trainers courses for 75 peacekeeping trainers from Member States, 6 training recognition visits, 2 mobile training support activities, and training development in support of the predeployment training provided by Member States to military and police personnel for United Nations peacekeeping operations</p>

<i>Type of travel</i>	<i>Amount</i>	<i>Output reference</i>
		Peacekeeping-specific training courses on senior leadership, management and administration for 120 peacekeeping personnel, including 2 senior mission leaders' courses, 2 senior leadership programmes, and 1 Senior Mission Administration and Resource Training programme
		1 workshop for integrated mission training centre personnel of all peacekeeping operations and 4 training activities, including evaluation, monitoring and delivery, to provide support and policy guidance on training to peacekeeping operations, and 24 predeployment courses for 400 civilian peacekeeping personnel
		3 peacekeeping predeployment training standards produced and made available to all peacekeeping training institutions
<b>Total</b>	<b>1 765 600</b>	

180. The amount of \$387,600 is proposed for travel to undertake the following mission planning/assessment/consultation activities: delivering policy presentations to peacekeeping operations, national/regional peacekeeping training institutions, think tanks and peacekeeping policy institutes on cross-cutting and emerging issues, as well as policy development and implementation activities in peacekeeping (\$49,200); conducting mission or thematic evaluations (\$132,800); ensuring that the guidance, policy and lesson-learning efforts directed by the Policy and Best Practices Service are most responsive to the needs of field operations in such areas as HIV/AIDS prevention policies, sexual violence in conflict, child protection, the protection of civilians, gender, and civil affairs (\$146,700); conducting a workshop on the operational impact and field relevance of the New Horizon reforms (\$8,600); supporting the United Nations-World Bank partnership in thematic areas (\$29,900); and meeting with Member State Governments, Europe-based representatives of international organizations, non-governmental organizations, the World Bank and the United Nations-European Union steering committee on crisis management to support the development of partnerships and coordinate partnership relations (\$20,400).

181. The amount of \$7,700 is proposed for travel to provide technical support to and assist the newly established child protection capacity in UNOCI.

182. The amount of \$12,900 is proposed for travel to participate in the following seminars/conferences/workshops: the global Uniformed Services Task Force on HIV/AIDS; the annual Challenges Forum, which brings together the Member States most directly engaged in peacekeeping policy, providing an opportunity to communicate the latest innovations in DPKO/DFS and to undertake informal dialogue with those countries actively engaged in and supporting peacekeeping; the "Being a peacekeeper" regional round table to be held in Latin America as part of ongoing efforts to expand the base of contributors; and a consultation with Member States to take place in Europe on capabilities and command and control issues related to peacekeeping.

183. The amount of \$1,357,400 is proposed for travel to undertake the following training activities: DPKO training (\$110,300); DFS training (\$198,800); facilitating

training courses and developing standardized training materials for Member States and field operations (\$943,000); and facilitating DPKO and DFS annual conferences (\$105,300). The training activities would include training-of-trainers courses for peacekeeping trainers from Member States, senior leadership courses, management and administration courses, support for predeployment peacekeeping training exercises organized by Member States for military and police personnel, participation in peacekeeping training conferences organized by Member States and international organizations, lectures at peacekeeping training centres organized by Member States and international organizations, and 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 in the areas of training, evaluation, mission exercise processes, mission management and leadership, codes of conduct and standards of behaviour. This would involve providing support for 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.

184. The higher requirements are attributable to the participation of senior staff from Headquarters at the Senior Mission Administration and Resource Training programme and the travel of staff from Headquarters to organize and support the programme.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Other supplies, services and equipment</b>	\$942.0	\$54.7	6.2%

185. The amount of \$942,000 is proposed to provide for the cost of training materials and supplies related to DPKO training (\$39,500); DFS training (\$183,000); workshops and training courses for Member States and field operations (\$486,200); DPKO/DFS annual/biannual training conferences (\$33,300); and the translation and printing of guidance and best practices documents, such as policies, standard operating procedures, guidelines, manuals, after-action reviews, studies on lessons learned, and peacekeeping practice notes (\$200,000).

186. The higher requirements are attributable to an increase in the number of courses to address the increased need for staff in logistics and information technology to develop their technical skills and keep abreast of new standards and new technology. In addition, the variance results from the participation of DPKO and DFS staff in additional OHRM-sponsored training courses, such as Skillport.

## B. Department of Field Support

### (a) Human resources requirements

<i>Category</i>	<i>Approved staffing 2012/13</i>	<i>Redeployment, reassignment, abolishment, discontinuation</i>	<i>General temporary assistance conversions</i>	<i>New posts/positions requested</i>	<i>Total proposed 2013/14</i>	<i>Change</i>
<b>Posts</b>						
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	3	–	–	–	3	–
D-1	7	1	–	–	8	1
P-5	37	(4)	–	–	33	(4)
P-4	83	(3)	–	–	80	(3)
P-3	106	–	–	–	106	–
P-2/P-1	5	(1)	–	–	4	(1)
<b>Subtotal</b>	<b>241</b>	<b>(7)</b>	<b>–</b>	<b>–</b>	<b>234</b>	<b>(7)</b>
<b>General Service and related</b>						
Principal level	18	–	–	–	18	–
Other level	139	(4)	–	–	135	(4)
<b>Subtotal</b>	<b>157</b>	<b>(4)</b>	<b>–</b>	<b>–</b>	<b>153</b>	<b>(4)</b>
<b>Total</b>	<b>398</b>	<b>(11)</b>	<b>–</b>	<b>–</b>	<b>387</b>	<b>(11)</b>
<b>General temporary assistance positions</b>						
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	–	–	–	–	–	–
D-1	1	–	–	–	1	–
P-5	1	–	–	–	1	–
P-4	1	–	–	–	1	–
P-3	13	–	–	–	13	–
P-2/P-1	–	–	–	–	–	–
<b>Subtotal</b>	<b>16</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>16</b>	<b>–</b>

<i>Category</i>	<i>Approved staffing 2012/13</i>	<i>Redeployment, reassignment, reclassification, abolishment, discontinuation</i>	<i>General temporary assistance conversions</i>	<i>New posts/positions requested</i>	<i>Total proposed 2013/14</i>	<i>Change</i>
<b>General Service and related</b>						
Principal level	–	–	–	–	–	–
Other level	5	–	–	–	5	–
<b>Subtotal</b>	<b>5</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>5</b>	<b>–</b>
<b>Total</b>	<b>21</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>21</b>	<b>–</b>
<b>Grand total</b>	<b>419</b>	<b>(11)</b>	<b>–</b>	<b>–</b>	<b>408</b>	<b>(11)</b>

**(b) Financial resource requirements**

(Thousands of United States dollars)

<i>Category</i>	<i>Expenditures (2011/12)</i>	<i>Apportionment (2012/13)</i>	<i>Cost estimates (2013/14)</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	62 444.7	56 971.2	61 437.6	4 466.4	7.8
II. Non-post resources					
General temporary assistance	3 142.6	3 023.0	3 472.0	449.0	14.9
Consultants	385.4	41.8	67.0	25.2	60.3
Official travel	2 325.2	1 034.7	1 730.6	695.9	67.3
Communications	–	554.2	624.3	70.1	12.6
Information technology	–	5 394.2	6 070.6	676.4	12.5
Other supplies, services and equipment	15.5	51.8	1 327.8	1 276.0	2 463.3
<b>Subtotal II</b>	<b>5 868.7</b>	<b>10 099.7</b>	<b>13 292.3</b>	<b>3 192.6</b>	<b>31.6</b>
<b>Total</b>	<b>68 313.4</b>	<b>67 070.9</b>	<b>74 729.9</b>	<b>7 659.0</b>	<b>11.4</b>

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

187. The mandate of the Office of the Under-Secretary-General for Field Support was established by the General Assembly in its resolution 61/279. The functions of the Office are set out in the Secretary-General's bulletin on the organization of DFS (ST/SGB/2010/2).

188. In its resolution 64/269, the General Assembly emphasized that the implementation of the global field support strategy would improve the operational effectiveness of field missions. The strategy is a transformational road map for introducing a new service delivery model, with the primary goal of improving support to field missions, which would, in turn, lead to efficiency gains. The strategy, which will be entering its fourth year of implementation during the 2013/14 period, drives the work of the Department, its structure and the estimated

level of the resources that it requires at Headquarters to deliver effective support during the reporting period.

189. Through the global field support strategy, the Department envisages a reduced overall departmental footprint and the realignment of its structure through the transfer of transactional support activities currently carried out at Headquarters to the Global Service Centre and the reprofiling of current departmental resources to establish capacities for improved governance, planning and service delivery. The realignment, to be achieved within existing resources, is expected to yield an overall reduction in the number of posts in the Department as functions are streamlined and the alignment of roles and responsibilities is reinforced.

190. The Office of the Under-Secretary-General includes the front office and the Office of the Assistant Secretary-General, which comprises the Senior Leadership Appointments Section, the Programme Implementation Coordination Team for the global field support strategy, the integrated operational team officers assigned on an as-needed basis to DPKO, the Conduct and Discipline Unit, the Audit Response and Boards of Inquiry Section, the Field Procurement and Liaison Team, the Risk Management Team and the UNSOA Headquarters Support Team.

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*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 Positive comments from the legislative bodies and the General Assembly on the global field support strategy and its phased implementation (2011/12: 100 per cent; 2012/13: 100 per cent; 2013/14: 100 per cent)

1.2 Endorsement by the General Assembly of recommendations of the Secretary-General on measures to reform support for peacekeeping (2011/12: 100 per cent; 2012/13: 100 per cent; 2013/14: 100 per cent)

1.3 Conduct and discipline are addressed in all reports of the Secretary-General to the Security Council on peacekeeping operations, as appropriate (2011/12: 100 per cent; 2012/13: 100 per cent; 2013/14: 100 per cent)

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*Outputs*

- 95 briefings to the General Assembly, legislative bodies, the Security Council and regional organizations on resource management and field support issues
- 10 presentations on peacekeeping resource management and field support issues at conferences, seminars and other public forums
- 8 visits to Member States to discuss resource management and field support issues
- Annual progress report, including proposals, to the General Assembly on the implementation of the global field support strategy
- 49 consolidated responses to the reports of the United Nations oversight bodies and 10 consolidated reports on the status of the implementation of some 1,000 recommendations made by the oversight bodies

- 4 reports containing the findings and recommendations made by boards of inquiry
- 10 briefings to Member States and non-governmental organizations on the comprehensive strategy to eliminate sexual exploitation and abuse and other types of misconduct in peacekeeping operations
- 2 meetings of the Inter-Agency Standing Committee Task Force on Protection from Sexual Exploitation and Abuse

<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 Comprehensive support package for AMISOM fully in place in compliance with Security Council-mandated timelines for African Union deployments (2011/12: 100 per cent; 2012/13: 100 per cent; 2013/14: 100 per cent)  2.2 Comprehensive mission support plans in place to enable the United Nations to support new or expanded field operations within the timelines prescribed by the Security Council

*Outputs*

- 12 briefings to permanent missions on the support services delivered to AMISOM
- 3 comprehensive mission support plans prepared

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
3.1 Increased efficiency and effectiveness of peacekeeping operations	3.1 All allegations of serious misconduct reported by peacekeeping operations are recorded in the misconduct tracking system within 7 days of receipt (2011/12: 7 days; 2012/13: 7 days; 2013/14: 7 days)  3.2 Incoming boards of inquiry reports reviewed and processed within 10 days of receipt and referred to the attention of relevant stakeholders through the boards of inquiry tracker database (2011/12: not available; 2012/13: 10 days; 2013/14: 10 days)

*Outputs*

- 10 visits to field operations to provide direction to mission leadership on resource management and mission support issues related to mission mandate implementation
- 24 consultations with heads of mission on resource management and mission support issues related to mandate implementation
- 10 visits to the field to review progress on the implementation of the global field support strategy
- 28 consultations with Chiefs/Directors of Mission Support to review and assess performance
- 3 outreach visits to expand the candidate pool for senior mission appointments, with particular attention to meeting the organizational objectives relating to gender and geographical distribution

- Strategic risk management guidance provided to field operations, based on the analysis of the findings and recommendations contained in 116 reports of the oversight bodies
- 2 workshops for audit focal points and board of inquiry officers in field operations on ways to improve the follow-up of audit recommendations
- 3 visits to field operations to conduct a review of their internal control frameworks, based on high-risk areas identified in reports of oversight bodies
- 3 visits to field operations to review board of inquiry procedures and provide guidance on noted weaknesses and to review outstanding recommendations and assist with their closure
- 3 visits to peacekeeping operations to provide technical assistance and advice to senior management and conduct and discipline personnel on the implementation of the strategy to address sexual exploitation and abuse and other forms of misconduct
- Analysis of the relevant investigation reports and referral for appropriate disciplinary action by the United Nations or Member States of some 300 allegations of misconduct reported to have been committed in peacekeeping operations
- Recording in the misconduct tracking system and tracking of the investigations of some 250 category I and 700 category II allegations of misconduct
- Review of an average of 10 staff selection cases submitted for clearance before appointment in a peacekeeping operation per day
- Monitoring of approximately 200 delegations of procurement authority to staff assigned to peacekeeping operations
- 2 visits to field operations to advise on the exercise of the delegation of procurement authority

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*External factors*

Support from Member States is provided for the implementation of mission mandates and for the concept, as well as the implementation, of the global field support strategy in a phased approach; support from troop- and police-contributing countries is provided in preventing misconduct and processing misconduct cases; and investigation reports from external investigation entities are received in a timely manner

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**(b) Human resources requirements**

<i>Category</i>	<i>Approved staffing 2012/13</i>	<i>Redeployment, reassignment, abolition, discontinuation</i>	<i>General temporary assistance conversions</i>	<i>New posts/positions proposed</i>	<i>Total proposed 2013/14</i>	<i>Change</i>
<b>Posts</b>						
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	–	–	–	–	–	–
D-1	1	1	–	–	2	1
P-5	16	(3)	–	–	13	(3)

<i>Category</i>	<i>Approved staffing 2012/13</i>	<i>Redeployment, reassignment, abolishment, discontinuation</i>	<i>General temporary assistance conversions</i>	<i>New posts/positions proposed</i>	<i>Total proposed 2013/14</i>	<i>Change</i>
P-4	15	(2)	–	–	13	(2)
P-3	9	–	–	–	9	–
P-2/P-1	1	–	–	–	1	–
<b>Subtotal</b>	<b>42</b>	<b>(4)</b>	<b>–</b>	<b>–</b>	<b>38</b>	<b>(4)</b>
<b>General Service and related</b>						
Principal level	1	–	–	–	1	–
Other level	16	–	–	–	16	–
<b>Subtotal</b>	<b>17</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>17</b>	<b>–</b>
<b>Total</b>	<b>59</b>	<b>(4)</b>	<b>–</b>	<b>–</b>	<b>55</b>	<b>(4)</b>
<b>General temporary assistance positions</b>						
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	–	–	–	–	–	–
D-1	1	–	–	–	1	–
P-5	1	–	–	–	1	–
P-4	1	–	–	–	1	–
P-3	–	–	–	–	–	–
P-2/P-1	–	–	–	–	–	–
<b>Subtotal</b>	<b>3</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>3</b>	<b>–</b>
<b>General Service and related</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>
<b>Grand total</b>	<b>63</b>	<b>(4)</b>	<b>–</b>	<b>–</b>	<b>59</b>	<b>(4)</b>

(c) **Justification of posts****Reorganization of the Offices of the Under-Secretary-General and the Assistant Secretary-General**

191. As the global field support strategy, Umoja and IPSAS are entering critical stages of implementation, it is proposed that the Offices of the Under-Secretary-General and the Assistant Secretary-General be reorganized in order to strengthen the Department's capacity to deliver strategic and operational leadership in all DFS activities.

192. The Under-Secretary-General for Field Support is mandated to lead, with guidance from Member States, strategic policy development and implementation related to the delivery of field support to peacekeeping operations. The Assistant Secretary-General for Field Support is responsible for the day-to-day operations of DFS, the integration of the Department's support lines and the monitoring and evaluation of the work of the Department's divisions. Whereas the Under-Secretary-General ensures the overall strategic coherence between the work of DFS and guidance from Member States in support of mission mandate delivery, the Assistant Secretary-General focuses more on the day-to-day operational exigencies.

193. The approved staffing establishment of the front office of the Under-Secretary-General comprises 10 posts (1 P-5, 2 P-4, 1 P-3 and 6 GS (OL)), funded from the support account. The Office currently manages the implementation of the global field support strategy; supervises the Department's four functional divisions and the Global Service Centre, which includes UNLB and the United Nations Support Base in Valencia. In sharpening the focus on day-to-day activities, the Assistant Secretary-General would supervise the four functional divisions and the Director of the Global Service Centre.

194. In this context, it is proposed that a strategic support team and an operational support team be established within existing resources in the Offices of the Under-Secretary-General and the Assistant Secretary-General, respectively, in order to strengthen the management of DFS and the stewardship of human and financial resources.

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

#### *Establishment of a Strategic Support Team*

*Redeployment of five posts (1 P-4 Programme Officer, 1 P-4 Administrative Officer, 1 P-3 Programme Officer, 1 GS (OL) Team Assistant and 1 GS (OL) Administrative Assistant) from the front office of the Under-Secretary-General*

195. It is proposed that five posts (2 P-4, 1 P-3 and 2 GS (OL)) be redeployed from the front office of the Under-Secretary-General to establish the Strategic Support Team, which would report directly to the Under-Secretary-General to support the strategic development and management oversight of DFS. Its principal function would be to ensure that the leadership of DFS benefits from a two-way interaction with the Department staff, mission-level leadership, DPKO and the Departments of Political Affairs and Management, other United Nations entities and Member States. It would ensure that strategic decisions taken by the Under-Secretary-General are systematically based on department-wide information-gathering and analysis; department-wide activities and efforts benefit from clear strategic guidance, robust management oversight and senior-level decision-making led by the Office of the Under-Secretary-General; and accountability is strengthened throughout the Department and within United Nations peacekeeping missions with a view to the efficient use of resources and consistency with Member State guidance.

### **Front office**

#### *Abolishment of one post (1 P-5 Senior Programme Officer)*

196. Through the global field support strategy, the Department envisages a reduced overall departmental footprint and the realignment of its structure through the

transfer of transactional support activities currently carried out at Headquarters to the Global Service Centre and the reprofiling of current departmental resources to establish capacities for improved governance, planning and service delivery. In this context, a realignment of the current resources of the Office of the Under-Secretary-General, including the Office of the Assistant Secretary-General, and the Logistics Support Division was undertaken. The realignment, which is being achieved within existing resources, would result in an overall reduction in the number of posts in the Department as functions are streamlined and the alignment of roles and responsibilities is reinforced. The realignment of the existing resources would achieve greater efficiency owing to improved strategic and policy coherence throughout DFS. In this context, it is proposed that a post of Senior Programme Officer (P-5) be abolished, which will not have an adverse impact on the continuity of the implementation of the Office's mandates and outputs.

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

#### *Establishment of an Operational Support Team*

*Reassignment and reclassification of one post (P-5 Chief of Logistics Operations) from the Logistics Support Division to perform the functions of Team Leader (D-1) in the Operational Support Team*

*Reassignment of one post (P-4 Logistics Support Officer) from the Integrated Operational Team of the Office of the Assistant Secretary-General to perform the functions of Mission Support Officer (P-4) in the Office of the Director, Evaluation of Field Uniformed Personnel*

*Redeployment of two posts (1 P-5 Senior Support Officer and 1 P-4 Administrative Officer) from the Integrated Operational Team to the Operational Support Team*

*Redeployment of one post (GS (OL) Administrative Assistant) from the front office of the Assistant Secretary-General to the Operational Support Team*

197. The current staffing establishment of the front office of the Assistant Secretary-General comprises five continuing posts (1 P-4, 1 P-3 and 3 GS (OL)), funded from the support account.

198. In paragraph 31 of its resolution 66/265, the General Assembly approved a general temporary assistance position (D-2 Director) in DFS for a period of six months to strengthen the capacity of the Office of the Assistant Secretary-General to integrate at the departmental level all operational activities across the four divisions of DFS, the Global Service Centre and the Regional Service Centre in Entebbe. This capacity was also intended to support the Assistant Secretary-General in the performance of his responsibilities to coordinate and ensure coherence between mission support in field operations and the overarching DFS strategy and oversight functions.

199. It is proposed that the Operational Support Team be established to perform this function, through the proposed reassignment, reclassification and redeployment of four posts (1 D-1, 1 P-5, 1 P-4 and 1 GS (OL)) from the Logistics Support Division and from within the Office of the Assistant Secretary-General. The Operational Support Team would report directly to the Assistant Secretary-General and would enhance the ability of the Department to deliver higher-quality service to field missions at a lower cost, consistent with the global field support strategy. For this purpose, it would provide support to the Assistant Secretary-General in

strengthening the capacity of the Office to provide more integrated support to peacekeeping missions. It would also ensure that the priorities and immediate exigencies of mission start-up, sustainment and drawdown are understood at the division level in order to provide an overall coherent response.

200. Accordingly, it is proposed that the post of Chief of Logistics Operations (P-5) be reassigned to the Office of the Assistant Secretary-General and be reclassified at the D-1 level to perform the functions of Director, Operational Support Team. While the Chief of Logistics Operations is responsible only for the coordination of current logistics operations, the proposed Director of the Operational Support Team would deliver operational guidance and support across all of the functional areas of DFS. The proposed reclassification is based on the expansion of responsibilities and the Director's role both in leading the Operational Support Team and in overseeing the work of the remaining specialist officers in the integrated operational teams.

201. The proposed reassignment of one post of Logistics Support Officer (P-4) to the proposed Office of the Director, Evaluation of Field Uniformed Personnel, in DPKO is described in paragraph 91 above.

### **Integrated Operational Team**

*Abolishment of three posts (1 P-5 Senior Support Officer, 1 P-5 Senior Administrative Officer and 1 P-4 Administrative Officer)*

202. The approved staffing establishment of the integrated operational teams in the Office of the Under-Secretary-General for Field Support, embedded in the Office of Operations of DPKO, comprises 12 posts (9 P-5 and 3 P-4) funded from the support account. The specialist officers in the integrated operational teams integrate operational support to field missions on day-to-day mission-specific issues that cut across specialist functional areas (military, police and field support), as well as political guidance.

203. In the context of the realignment exercise described in the paragraphs above, it is proposed that one post of Senior Support Officer (P-5), one post of Senior Administrative Officer (P-5) and one post of Administrative Officer (P-4) be abolished, as they are no longer needed to undertake the functions of consulting and liaising with the functional divisions, which would be performed by the remaining existing resources within the Office.

204. As proposed above, in order to establish the Operational Support Team in the Office of the Assistant Secretary-General, one post of Senior Support Officer (P-5) and one post of Administrative Officer (P-4) would be redeployed from the Integrated Operational Team to the Operational Support Team. In addition, as described in the section concerning the Office of the Under-Secretary-General for Peacekeeping Operations, one post of Logistics Officer (P-4) is proposed for redeployment to the Office of the Director, Evaluation of Field Uniformed Personnel. Six specialist officers would continue to be embedded in the integrated operational teams in DPKO and would continue to represent DFS on mission support issues related to mission-specific planning and day-to-day integrated operational guidance. The embedded specialist officers would maintain a reporting line to the Director of the Operational Support Team and would rely on that Team in order to deliver strategic and operational guidance and support on all field support issues, including those issues requiring support from more than one area of DFS. The DPKO integrated operational teams would also rely on the Operational Support

Team to ensure coordination across all DFS divisions in the preparation of comprehensive mission support plans.

### **Conduct and Discipline Unit**

*Reclassification of one seconded officer post (P-4 Disciplinary Officer) to a civilian post*

205. The approved staffing establishment of the Conduct and Discipline Unit comprises 12 posts (1 D-1, 2 P-5, 3 P-4, 2 P-3, 1 P-2 and 3 GS (OL)) funded from the support account. One of the core functions of the Unit is to provide technical advice to field missions on procedures for handling misconduct cases and to act on those cases submitted by them, including follow-up and monitoring of action taken. In 2005, a conduct and discipline capacity was established in DPKO and staffed with personnel from various DPKO offices. When posts for the Unit were approved, in July 2007, it was determined that the Unit should be composed of four Disciplinary Officers: one Disciplinary Officer (P-4) for military cases and one Disciplinary Officer (P-4) for United Nations police cases, both to be recruited on a secondment basis; one P-4 Disciplinary Officer for civilian cases (national and international civilian staff members, United Nations Volunteers, contractors and consultants); and one P-3 Disciplinary Officer. The determination made at the time was based on the structure resulting from the establishment of the conduct and discipline capacity in late 2005.

206. When the Disciplinary Officer posts were confirmed in 2007, the intention was that the two seconded Disciplinary Officers would handle military and police personnel cases, respectively. Since that time, it has been determined that, owing to the heavy workload and demand placed on all Disciplinary Officers, the original distribution of work is not the most efficient use of resources. As a result, it is proposed that the seconded Disciplinary Officer for police cases handle disciplinary cases for all other categories of personnel as well.

207. Moreover, the rotation of personnel associated with seconded posts has proved challenging in the light of the considerable workload and the need for flexibility in assigning expert capacities to handle such workload irrespective of the category of personnel. The nature of the recruitment of seconded personnel narrows the pool of applicants with possible experience outside police-specific expertise. In addition, the recruitment of personnel having the specialized expertise, in particular concerning processes applicable to the handling of allegations of misconduct in an international rather than national context, has proved difficult. Furthermore, imparting that specialized knowledge has been shown to be time-consuming in relation to the time period for which the personnel remains seconded to the United Nations.

**(d) Justification of general temporary assistance positions****United Nations Support Office for the African Union Mission in Somalia  
Headquarters Support Team***Senior Support Officer (1 P-5 position, continuation)**Support Officer (1 P-4 position, continuation)**Administrative Assistant (1 GS (OL) position, continuation)*

208. The approved staffing establishment of the UNSOA Headquarters Support Team, which currently reports to the Under-Secretary-General, comprises three general temporary assistance positions (1 P-5, 1 P-4 and 1 GS (OL)), funded from the support account. The Team is dedicated to assisting UNSOA and senior management with strategic planning, policy guidance and implementation relating to all aspects of the UNSOA mandate and would report to the Director of the proposed Operational Support Team. It thus requires close coordination with the relevant offices at Headquarters and with the African Union.

209. This entails higher visibility for the Department among Member States, regional organizations, donors and the broader community, together with the requirement for a very strong link between Headquarters and UNSOA at the strategic level and on all discussions with external parties. As the African Union continues to expand the AMISOM area of operations beyond Mogadishu and into all four sectors, the scale and complexity of UNSOA operations increase, as does UNSOA staff presence in Somalia, with the associated risks to United Nations staff. Thus, there is a continued requirement to retain the UNSOA Headquarters Support Team at its present strength to provide the capacity necessary for strategic planning and coordination at Headquarters.

210. In the light of the dynamic situation in Somalia, the increased troop strength authorized for AMISOM and the heavy workload, it is proposed that three general temporary assistance positions, of Senior Support Officer (P-5), Support Officer (P-4) and Team Assistant (GS (OL)), be continued. A lack of such resources to ensure proper planning, policy implementation and support strategy would have an adverse impact on the ability of DFS to support UNSOA in delivering its mandate to AMISOM.

**Programme Implementation Coordination Team***Team Leader (1 D-1 position, continuation)*

211. The approved staffing establishment of the Programme Implementation Coordination Team comprises five posts (1 P-5, 2 P-4, 1 P-3 and 1 GS (OL)) and one general temporary assistance position (D-1), funded from the support account. The global field support strategy provides for a change management implementation system that allows senior leadership to be systematically exposed to achievements, issues and failures and to decide on corrective actions in a timely manner. To this end, the Programme Implementation Coordination Team, headed by a Team Leader (general temporary assistance position at the D-1 level), currently plans, manages and coordinates the programme of work associated with the strategy. The Team supports the related accountability and management frameworks to enable comprehensive and detailed reporting to Member States on a regular basis. The

Team coordinates efforts among DFS divisions at Headquarters, the Global Service Centre, the Regional Service Centre and field missions.

212. The Team also coordinates efforts among various departments and offices, including DPKO, the Department of Political Affairs, the Department of Safety and Security and the Office of Human Resources Management, the Office of Programme Planning, Budget and Accounts and the Office of Central Support Services of the Department of Management. The Team is responsible for planning, monitoring and reporting on the implementation of the strategy on the basis of a set of management indicators. The Team also ensures the successful implementation of the strategy and recommends corrective action to the Under-Secretary-General for Field Support and the Strategy Steering Committee. The Team Leader provides senior management with the oversight and coordination necessary for the timely and comprehensive implementation of the strategy over its five-year implementation horizon, ensuring that related activities are contributing to the attainment of the strategic objectives.

(e) **Financial resource requirements**

(Thousands of United States dollars)

Category	Expenditures (2011/12) (1)	Apportionment (2012/13) (2)	Cost estimates (2013/14) (3)	Variance	
				Amount (4)=(3)-(2) (4)	Percentage (5)=(4):(2) (5)
I. Post resources	9 168.6	9 477.6	9 721.1	243.5	2.6
II. Non-post resources					
General temporary assistance	877.7	820.4	838.0	17.6	2.1
Official travel	523.1	185.4	280.3	94.9	51.2
<b>Subtotal II</b>	<b>1 400.8</b>	<b>1 005.8</b>	<b>1 118.3</b>	<b>112.5</b>	<b>11.2</b>
<b>Total</b>	<b>10 569.4</b>	<b>10 483.4</b>	<b>10 839.4</b>	<b>356.0</b>	<b>3.4</b>

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

	Cost estimates	Variance
<b>Posts</b>	\$9 721.1	\$243.5 2.6%

213. The provision would cover the salaries, common staff costs and staff assessments for the 55 proposed posts. The higher requirements result from: (a) the application of lower vacancy factors to the cost estimates for the 2013/14 financial period compared with the rates factored in the resources approved for 2012/13 (see para. 28 above); and (b) the estimation of common staff costs at a higher percentage of net salaries compared with the budget for 2012/13 (see para. 29 above). The additional requirements are partly offset by the proposed reduction of four posts.

	Cost estimates	Variance
<b>General temporary assistance</b>	\$838.0	\$17.6 2.1%

214. The requirements would provide for the proposed continuation of four general temporary assistance positions. The higher requirements result from: (a) the

application of lower vacancy factors to the cost estimates for the 2013/14 financial period compared with the rates factored in the resources approved for 2012/13 (see para. 28 above); and (b) the estimation of common staff costs at a higher percentage of net salaries compared with the budget for 2012/13 (see para. 29 above).

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Official travel</b>	\$280.3	\$94.9	51.2%

215. 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	211 100	10 visits to the field to review progress on the implementation of the global field support strategy  3 visits to peacekeeping operations to provide technical assistance and advice to senior management and conduct and discipline personnel on the implementation of the strategy to address sexual exploitation and abuse and other forms of misconduct
Technical support	49 000	3 visits to field operations to conduct a review of their internal control frameworks, based on high-risk areas identified in reports of oversight bodies  3 visits to field operations to review board of inquiry procedures and provide guidance on noted weaknesses and to review outstanding recommendations and provide assistance with their closure
Senior leadership outreach	20 200	3 outreach visits to expand the candidate pool for senior mission appointments, with particular attention to meeting organizational objectives relating to gender and geographical distribution
<b>Total</b>	<b>280 300</b>	

216. The amount of \$211,100 is proposed for travel to undertake the following mission planning/assessment/consultation activities: fulfilling the global field support communication and outreach strategies in peacekeeping operations and the African Union (\$87,400); participating in two annual summits of the African Union and in discussions on various aspects related to the missions deployed by the African Union (\$37,600); reviewing and assessing field support and discussing various aspects specific to new and ongoing missions (\$34,900); providing advice and updates on conduct and discipline issues (\$28,300); and visiting the major troop- and police-contributing countries to discuss and advise on field support issues (\$22,900).

217. The amount of \$49,000 is proposed for travel to undertake the following technical support activities: conducting a review of field operations' internal control frameworks, based on the high-risk areas identified in reports of oversight bodies, and guiding missions in implementing measures to improve internal control systems and reduce repeated audit findings (\$36,400); and providing support on board of inquiry

matters by guiding missions in reviewing their procedures and by rendering advice, as well as by raising the awareness of mission senior management (\$12,600).

218. The amount of \$20,200 is proposed for travel to Africa, the Middle East and Asia for senior leadership outreach visits to Member States, professional, Government and non-governmental organizations and United Nations agencies, funds and programmes to expand the candidate pool for senior appointments in the field.

219. The higher requirements are attributable mainly to travel to the Regional Service Centre to ensure the implementation of the global field support strategy.

## 2. Field Budget and Finance Division

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

220. The mandate of the Field Budget and Finance Division was established by the General Assembly in its resolution 61/279. The functions of the Division are set out in the Secretary-General's bulletin on the organization of DFS (ST/SGB/2010/2).

221. In 2013/14, the Field Budget and Finance Division will focus on a number of critical areas in its four core pillars of coordination and policy guidance, strategic resourcing, capacity development and support to Member States. Among the challenges emerging during the budget period are those involved in direct support for and process improvements in field operations to facilitate the first year of implementation of IPSAS and Umoja, as well as in the support for the triennial Working Group on Contingent-Owned Equipment to be held early in 2014.

222. In continuing to ensure that each field operation is appropriately and cost-effectively resourced, the Division will also concentrate on supporting the oversight by the Under-Secretaries-General for Field Support, Peacekeeping Operations and Political Affairs of major resourcing priorities across field operations; coordinating the ongoing development and implementation of standard resource allocations and major resource efficiency projects; and providing support in securing funding for and establishing the financial operations of new or expanding missions.

223. The Division consists of three entities: the Office of the Director, the Budget and Performance Reporting Service and the Memorandum of Understanding and Claims Management Section.

<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 Contingent-owned equipment reimbursement claims assessed and processed quarterly within 3 months of the end of the relevant quarter (2011/12: 3 months; 2012/13: 3 months; 2013/14: 3 months)
<i>Outputs</i>	
<ul style="list-style-type: none"> <li>• Liability of the United Nations for all contingent-owned equipment reimbursement claims and death and disability compensation claims assessed and calculated for all relevant field operations</li> <li>• Advice on contingent-owned equipment reimbursement and death and disability compensation matters to all field operations and permanent missions of troop- and police-contributing countries</li> </ul>	

- Negotiations completed for up to 10 memorandums of understanding regarding new contingents deployed to existing missions and amendments to up to 30 existing memorandums with respect to the reimbursement of contingent-owned equipment
- 10 briefings to permanent missions and other delegations of Member States with regard to contingent-owned equipment and memorandums of understanding and 4 predeployment visits to troop- and police-contributing countries
- Updates of online reports on the status of claims for reimbursement for contingent-owned equipment and letters of assist, as well as memorandums of understanding accessible by all Member States at the end of each quarter
- Organization of the 2014 Working Group on Contingent-Owned Equipment, including the collation and distribution of survey data and working papers from up to 30 Member States
- Amendments to the contingent-owned equipment manual based on decisions adopted by the 2014 Working Group and legislative bodies
- 4 quarterly briefings to Member States on policies and procedures relating to the reimbursement of contingent-owned equipment and death and disability compensation
- Consolidated report to the General Assembly on the 2012/13 performance and 2014/15 resource requirements of the Regional Service Centre in Entebbe
- Resource implications for 4 proposals to the Security Council with significant financial implications

*Expected accomplishments**Indicators of achievement*

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

2.1 Submission of budget proposals for new and expanding missions within 90 days of the adoption of the relevant Security Council resolution (2011/12: 90 days; 2012/13: 90 days; 2013/14: 90 days)

*Outputs*

- Provision of 3 resource plans and cost estimates for the implementation of new or expanding peacekeeping operations mandated by the Security Council
- Implementation of a revised standard funding model for the start-up of 1 peacekeeping operation
- Direct support for the establishment of field financial functions in 2 new or restructured field operations
- Negotiations completed for memorandums of understanding regarding up to 10 contingents deployed to new field operations

*Expected accomplishments**Indicators of achievement*

3.1 Increased efficiency and effectiveness of peacekeeping operations

3.1 Identification by all field operations of overall efficiencies and other cost reductions equivalent to 1 per cent of budgeted resources (2011/12: 100 per cent; 2012/13: 100 per cent; 2013/14: 100 per cent)

*Outputs*

- Cross-cutting assistance and regulatory advice to all field operations on the formulation of budget proposals and performance reports, the maintenance and preparation of financial accounts and field processes and the management of available resources
- Comparative analysis of and management reports on major resourcing elements in all field operations to improve cost-effectiveness in field resourcing
- Strategic guidance on major resourcing priorities to guide the development of annual budget proposals by all field operations
- Quarterly monitoring and analysis of the development and implementation of major resource efficiency projects across field operations
- Analytical support and research papers prepared for 6 meetings of the resource efficiency group of DFS
- Standard resource allocation and prices for all field operations
- Analysis and input of the resourcing aspects of 3 major, multidimensional projects with implications for field operations
- Input to the re-engineering of financial processes and staffing requirements in 8 field missions, including the implementation of the Regional Service Centre in Entebbe
- 8 advisory notes, 6 training courses and monthly monitoring to support the implementation of IPSAS in all field operations
- Coordination of 2 major consultative meetings of all field operations in support of the implementation of IPSAS
- Expert assessment of 300 applicants for field finance and budget posts advertised in Inspira
- Requests to the Controller for the delegation of approving and certifying authority to 100 officers in the field operations
- Administration of the residual affairs of 5 liquidating missions, including follow-up on outstanding and disputed payments, the reconciliation and closure of remaining bank accounts and compliance with outstanding administrative requirements
- Establishment, analysis and monitoring of the annual costs of contingent-owned equipment reimbursement in all field operations
- 10 visits to provide on-site support to field operations, including the development of mission budget priorities and the implementation of significant financial administration initiatives
- Negotiation of 12 agreements with the United Nations Volunteers programme with regard to the services of United Nations Volunteers deployed to field missions

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*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

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**(b) Human resources requirements**

<i>Category</i>	<i>Approved posts 2012/13</i>	<i>Redeployment, reassignment, reclassification, abolition, discontinuation</i>	<i>General temporary assistance conversions</i>	<i>New posts proposed</i>	<i>Total proposed 2013/14</i>	<i>Change</i>
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	1	–	–	–	1	–
D-1	1	–	–	–	1	–
P-5	3	–	–	–	3	–
P-4	15	(1)	–	–	14	(1)
P-3	21	–	–	–	21	–
P-2/P-1	2	(1)	–	–	1	(1)
<b>Subtotal</b>	<b>43</b>	<b>(2)</b>	<b>–</b>	<b>–</b>	<b>41</b>	<b>(2)</b>
<b>General Service and related</b>						
Principal level	4	–	–	–	4	–
Other level	27	(1)	–	–	26	(1)
<b>Subtotal</b>	<b>31</b>	<b>(1)</b>	<b>–</b>	<b>–</b>	<b>30</b>	<b>(1)</b>
<b>Total</b>	<b>74</b>	<b>(3)</b>	<b>–</b>	<b>–</b>	<b>71</b>	<b>(3)</b>

**(c) Justification of posts***Abolishment of three posts (1 P-4, 1 P-2 and 1 GS (OL))*

224. Given the outcome of the review of the budgetary process at Headquarters with respect to peacekeeping missions (see annex XII, sect. B), it is proposed that three posts, the functions of which are currently under review, be abolished.

225. In addition to the abolishment of those three posts, responsibilities and posts would be reassigned and redeployed within the existing resources of the Secretariat in order to strengthen the capacity of the Peacekeeping Financing Division of the Department of Management, corresponding to its expanded role in the streamlined budgetary process. Furthermore, the Secretary-General recommends that the Field Budget and Finance Division of DFS increasingly focus its efforts on the strategic management of mission resources, the provision of strategic guidance to missions on resource requirements, including through the work of the resource efficiency group, and the monitoring of mission expenditures, noting that such an enhanced role in the strategic oversight and management of resources is fully consistent with the evolving role of DFS at Headquarters in the context of the global field support strategy.

**(d) Financial resource requirements**

(Thousands of United States dollars)

Category	Expenditures (2011/12)	Apportionment (2012/13)	Cost estimates (2013/14)	Variance	
				Amount	Percentage
	(1)	(2)	(3)	(4)=(3)-(2)	(5)=(4):(2)
I. Post resources	10 445.7	10 227.7	10 902.4	674.7	6.6
II. Non-post resources					
Consultants	75.2	–	–	–	–
Official travel	287.7	111.2	664.3	553.1	497.4
Other supplies, services and equipment	–	–	1 302.8	1 302.8	–
<b>Subtotal II</b>	<b>362.9</b>	<b>111.2</b>	<b>1 967.1</b>	<b>1 855.9</b>	<b>1 669.0</b>
<b>Total</b>	<b>10 808.6</b>	<b>10 338.9</b>	<b>12 869.5</b>	<b>2 530.6</b>	<b>24.5</b>

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

	Cost estimates	Variance
<b>Posts</b>	\$10 902.4	\$674.7 6.6%

226. The provision would cover the salaries, common staff costs and staff assessments for 71 proposed posts. The higher requirements result from: (a) the application of lower vacancy factors to the cost estimates for the 2013/14 financial period compared with the rates factored in the resources approved for 2012/13 (see para. 28 above); and (b) the estimation of common staff costs at a higher percentage of net salaries compared with the budget for 2012/13 (see para. 29 above). The additional requirements are partly offset by the proposed reduction of three posts.

	Cost estimates	Variance
<b>Official travel</b>	\$664.3	\$553.1 497.4%

227. The official travel requirements are described below.

(United States dollars)

Type of travel	Amount	Output reference
Mission planning/assessment/consultation	13 200	Coordination of 2 major consultative meetings of all field operations in support of the implementation of IPSAS
Technical support	97 800	10 visits to provide on-site support to field operations, including with the development of mission budget priorities and the implementation of significant financial administration initiatives  10 briefings to permanent missions and other delegations of Member States with regard to contingent-owned equipment and memorandums of understanding and 4 predeployment visits to troop- and police-contributing countries

<i>Type of travel</i>	<i>Amount</i>	<i>Output reference</i>
		Coordination of 2 major consultative meetings of all field operations in support of the implementation of IPSAS
		Expert assessment of 300 applicants for field finance and budget posts advertised in Inspira
Seminars/conferences/workshops	553 300	8 advisory notes, 6 training courses and monthly monitoring to support the implementation of IPSAS in all field operations
		Expert assessment of 300 applicants for field finance and budget posts advertised in Inspira
		Organization of the 2014 Working Group on Contingent-Owned Equipment, including the collation and distribution of survey data and working papers from up to 30 Member States
<b>Total</b>	<b>664 300</b>	

228. The amount of \$13,200 under mission planning/assessment/consultation activities is proposed for travel with the Fifth Committee delegates of Member States during their annual visit to field operations in order to present the nature of the challenges in carrying out the Organization's mandates.

229. The amount of \$97,800 is proposed for travel to undertake the following technical support activities: improving finance and budget processes in field operations (\$65,800); and providing predeployment briefings to troop- and police-contributing countries on contingent-owned equipment reimbursement, memorandums of understanding and reimbursement policies and procedures (\$32,000).

230. The amount of \$553,300 is proposed for travel to organize or participate in the following seminars/conferences/workshops: attendance of representatives of 49 Member States among developing and least developed countries to participate in the triennial Working Group on Contingent-Owned Equipment to be held in New York in 2014 (\$514,500); briefing field-based finance and budget officers on the changes made to finance and budget processes as a result of new policies, procedures and systems, including IPSAS and Umoja (\$19,400); and updating the finance and budget roster for field financial staff, including the development of tests and participation in expert panels (\$19,400).

231. The higher requirements are attributable mainly to the requirement for the triennial meeting of the Working Group on Contingent-Owned Equipment pursuant to General Assembly resolution 54/19 B, as well as to travel related to the update of the rosters for field financial staff.

	<i>Cost estimates</i>	<i>Variance</i>
<b>Other supplies, services and equipment</b>	\$1 302.8	\$1 302.8 –

232. The amount of \$1,302,800 is proposed for services for the Working Group on Contingent-Owned Equipment: conference services and interpretation (\$669,200); documentation (\$604,500); translation of national cost data from troop-contributing countries into English (\$20,000); office supplies (\$5,100); and the reception for delegates (\$4,000).

### 3. Field Personnel Division

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

233. The mandate of the Field Personnel Division was established by the General Assembly in its resolution 61/279. The functions of the Division are set out in the Secretary-General's bulletin on the organization of DFS (ST/SGB/2010/2).

234. The main priorities of the Field Personnel Division for the 2013/14 period are to continue to provide human resources services to peacekeeping operations, to attract and retain the best talent and to implement the global field support strategy with regard to human resources. The Division will shift its focus to strategic guidance and the monitoring of activities to better support peacekeeping operations in all areas of human resources management by designing, recruiting, developing and maintaining a civilian workforce. The Division will continue to deliver operational support in the functional areas of travel, selection, onboarding and administration of staff to all field operations within the limits of delegated human resources management authority. Furthermore, the Division will continue to provide strategic services in the areas of policy guidance and implementation, performance management, organizational design and classification, self-monitoring, information management, outreach, roster management and career development while focusing on providing support to downsizing peacekeeping operations or those in transition.

235. It is therefore proposed that the Division's organizational structure be adjusted to allow for greater focus on the main pillars of the human resources framework of the global field support strategy, in particular, improving interaction with internal partners and Member States, developing practical guidance for field-based human resources specialists and improving workforce planning. In this context, the Division will place greater emphasis on monitoring and performance measurement, the provision and consistent application of guidance, the development of a strong cadre of human resources professionals, field workforce planning and robust career guidance for staff.

236. Accordingly, it is proposed that the Field Personnel Division comprise the Office of the Director and three pillars: the Operation Planning and Monitoring Service, the Field Human Resources Strategy Service and the Recruitment, Outreach and Career Development Section. The proposed restructuring of the Division is detailed in the paragraphs below.

<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 Missions meet the projected incumbency rates for their staffing table authorization of international civilian personnel, set in the context of approved budgets for missions in a start-up, expansion or transition phase, through the use of established rosters of pre-endorsed candidates, at the end of the reporting period (2011/12: as set in approved budgets; 2012/13: as set in approved budgets; 2013/14: as set in approved budgets)</p> <p>2.2 Increased number of arrivals of civilian personnel in peacekeeping missions as a result of selections from the roster (2011/12: 1,093; 2012/13: 1,250; 2013/14: 1,500)</p>

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*Outputs*

- A workforce plan, including an analysis of supply and demand, forecasted requirements, projected future trends and identified capacity gaps in the roster
- Maintenance of 450 rosters across 24 occupational groups with at least 2,500 additional candidates endorsed by the central review bodies available for immediate selection against mission vacancies
- Increase of 3 per cent in the total number of women on the rosters of candidates endorsed by the central review bodies

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*Expected accomplishments**Indicators of achievement*

3.1 Increased efficiency and effectiveness of peacekeeping operations

3.1 All stable peacekeeping operations achieve the budgeted incumbency rates approved for them (2011/12: 100 per cent; 2012/13: 100 per cent; 2013/14: 100 per cent)

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*Outputs*

- Direct strategic advisory and performance measurement of all 38 delegated human resources management functions (including recruitment, travel and administration of contracts, salaries, allowances, benefits, claims and entitlements) in field operations
- Direct personnel administrative support for 79 functionalities for operations without delegated human resources management authority for 6,736 international staff and travel for 1,891 military observers and 16,775 police personnel
- Organization of 3 meetings of the Field Joint Negotiation Committee and participation in the annual Staff-Management Coordination Committee meeting to improve staff-management relations
- 2,000 field personnel provided with career guidance, career planning answers to mobility- and career-related queries through e-mail, phone calls and field visits, including town hall and individual meetings
- 2 career path models in human resources and administration (senior administrative staff)
- Engagement with 15 Member States to develop outreach initiatives through individual Member State consultations and regional approaches, with 2 regional outreach visits
- Implementation of special measures to improve gender participation in the field workforce
- Development of 5 business intelligence reports and models for the monitoring of the field staffing process
- Certification of 75 per cent of human resources management practitioners within the Department and in the field, including the Regional Service Centre in Entebbe and the Global Service Centre

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*External factors*

The demand for human resources services by clients will not exceed projected expectations; the recruitment estimates are based on the assumption that all rostered candidates will have indefinite membership status

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**(b) Human resources requirements**

<i>Category</i>	<i>Approved staffing 2012/13</i>	<i>Redeployment, reassignment, abolishment, discontinuation</i>	<i>General temporary assistance conversions</i>	<i>New posts/ positions proposed</i>	<i>Total proposed 2013/14</i>	<i>Change</i>
<b>Posts</b>						
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	1	–	–	–	1	–
D-1	2	–	–	–	2	–
P-5	7	–	–	–	7	–
P-4	11	–	–	–	11	–
P-3	23	–	–	–	23	–
P-2/P-1	2	–	–	–	2	–
<b>Subtotal</b>	<b>46</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>46</b>	<b>–</b>
<b>General Service and related</b>						
Principal level	8	–	–	–	8	–
Other level	56	(2)	–	–	54	(2)
<b>Subtotal</b>	<b>64</b>	<b>(2)</b>	<b>–</b>	<b>–</b>	<b>62</b>	<b>(2)</b>
<b>Total</b>	<b>110</b>	<b>(2)</b>	<b>–</b>	<b>–</b>	<b>108</b>	<b>(2)</b>
<b>General temporary assistance positions</b>						
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	–	–	–	–	–	–
D-1	–	–	–	–	–	–
P-5	–	–	–	–	–	–
P-4	–	–	–	–	–	–
P-3	13	–	–	–	13	–
P-2/P-1	–	–	–	–	–	–
<b>Subtotal</b>	<b>13</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>13</b>	<b>–</b>
<b>General Service and related</b>						
Principal level	–	–	–	–	–	–
Other level	4	–	–	–	4	–
<b>Subtotal</b>	<b>4</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>4</b>	<b>–</b>
<b>Total</b>	<b>17</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>17</b>	<b>–</b>
<b>Grand total</b>	<b>127</b>	<b>(2)</b>	<b>–</b>	<b>–</b>	<b>125</b>	<b>(2)</b>

**(c) Justification of posts and general temporary assistance positions***Restructuring of the Field Personnel Division**Abolishment of two posts (GS (OL) Human Resources Assistants) in the Africa I and Africa II Sections*

237. The Field Personnel Division currently comprises the Field Personnel Operations Service, which consists of the Entitlements and Travel Section and four geographic sections (Africa I, Africa II, Europe and Americas, and Asia and Middle East), and the Field Personnel Specialist Support Service, which consists of the Guidance and Organizational Design Section, the Quality Assurance and Information Management Section and the Recruitment, Outreach and Career Development Section. The breakdown of the approved posts and general temporary assistance positions from both the support account and regular budget funding sources in the Field Personnel Division is as follows:

Approved 2012/13		Professional and higher						General Service			Total	
		D-2	D-1	P-5	P-4	P-3	P-2/ P-1	Subtotal	Principal level	Other level		Subtotal
Front office	Office of the Director	1	–	–	1	1	–	3	–	2	2	5
Field Personnel Operations Service	Office of the Chief	–	1	–	–	–	–	1	1	1	2	3
	Entitlements and Travel Section	–	–	1	1	1	–	3	–	6	6	9
	Africa I Section	–	–	1	2	2	–	5	1	13	14	19
	Africa II Section	–	–	1	–	1	1	3	1	7	8	11
	Europe and Americas Section	–	–	–	1	2	–	3	2	5	7	10
	Asia and Middle East Section	–	–	1	1	2	–	4	1	8	9	13
<b>Subtotal</b>		–	1	4	5	8	1	19	6	40	46	65
Field Personnel Specialist Support Service	Office of the Chief	–	1	–	–	–	–	1	–	1	1	2
	Guidance and Organizational Design Section	–	–	1	1	3	–	5	–	4	4	9
	Quality Assurance and Information Management Section	–	–	1	2	6	1	10	2	8	10	20
	Recruitment, Outreach and Career Development Section	–	–	1	3	18	2	24	–	10	10	34
<b>Subtotal</b>		–	1	3	6	27	3	40	2	23	25	65
<b>Total<sup>a</sup></b>		1	2	7	12	36	4	62	8	65	73	135

<sup>a</sup> Including eight posts (1 P-4, 2 P-2 and 5 GS (OL)) funded from the regular budget and 17 general temporary assistance positions (13 P-3 and 4 GS (OL)) funded from the support account.

238. In the context of the implementation of the global field support strategy, the Field Personnel Division undertook a review of all its functions, which led to their classification as either transactional or strategic and which indicated the need for the Division to propose a reorganization of its structure to ensure full alignment with the vision of the strategy. In this context, greater emphasis would be placed on the strategic elements of the human resources framework of the strategy, such as workforce planning, monitoring, the provision and consistent application of guidance, the development of a cadre of human resources management professionals and career support for staff in transitioning missions.

239. The proposed reorganization would establish a three-pillared structure that would reduce the “silo” effect within the Division. The pillars are: the Operation Planning and Monitoring Service, the Field Human Resources Strategy Service and the Recruitment, Outreach and Career Development Section. The structure would replace the current Field Personnel Operations Service and the Field Personnel Specialist Support Service. The proposed reorganization, to be undertaken within existing resources, does not envisage the further transfer of posts to the Global Service Centre in 2013/14. It includes the proposed abolishment of two posts of Human Resources Assistant (GS (OL)) in the current Africa I and Africa II Sections due to the expected efficiency gains resulting from the separation of transactional and strategic functions. The reorganization takes into account the extensive work on which the Division’s 2012/13 support account proposal was based.

240. The proposed breakdown of posts and general temporary assistance positions funded from both the support account and the regular budget, after the proposed reorganization, would be as follows:

<i>Proposed 2013/14</i>		<i>Professional and higher</i>						<i>General Service</i>			<i>Total</i>	
		<i>D-2</i>	<i>D-1</i>	<i>P-5</i>	<i>P-4</i>	<i>P-3</i>	<i>P-2/ P-1</i>	<i>Subtotal</i>	<i>Principal level</i>	<i>Other level</i>		<i>Subtotal</i>
Front office	Office of the Director	1	–	–	1	1	–	3	–	2	2	5
Operation Planning and Monitoring Service	Office of the Chief	–	1	–	–	–	–	1	1	2	3	4
	Organizational Design and Classification Unit	–	–	–	1	–	–	1	2	6	8	9
	East and Central Africa desk	–	–	1	1	3	–	5	2	4	6	11
	West Africa, Europe and Americas desk	–	–	1	–	2	–	3	1	3	4	7
	Asia and Middle East desk	–	–	1	1	2	–	4	1	3	4	8
	Entitlements and Travel Section	–	–	–	1	3	–	4	–	14	14	18
	Organizational Performance Measurement Unit	–	–	–	1	1	1	3	–	2	2	5
<b>Subtotal</b>		–	1	3	5	11	1	21	7	34	41	62

<i>Proposed 2013/14</i>		<i>Professional and higher</i>						<i>General Service</i>			<i>Total</i>	
		<i>D-2</i>	<i>D-1</i>	<i>P-5</i>	<i>P-4</i>	<i>P-3</i>	<i>P-2/ P-1</i>	<i>Subtotal</i>	<i>Principal level</i>	<i>Other level</i>		<i>Subtotal</i>
Field Human Resources Strategy Service	Office of the Chief	–	1	–	–	–	–	1	–	1	1	2
	Workforce Planning and Information Management Section	–	–	1	1	3	–	5	1	8	9	14
	Policy Guidance and Legal Support Section	–	–	1	2	4	1	8	–	2	2	10
	Field Human Resources Capacity Development Section	–	–	1	–	1	1	3	–	3	3	6
<b>Subtotal</b>		–	1	3	3	8	2	17	1	14	15	32
Recruitment, Outreach and Career Development Section		–	–	1	3	16	1	21	–	13	13	34
<b>Total<sup>a</sup></b>		1	2	7	12	36	4	62	8	63	71	133

<sup>a</sup> Including eight posts (1 P-4, 2 P-2 and 5 GS (OL)) funded from the regular budget and 17 general temporary assistance positions (13 P-3 and 4 GS (OL)) funded from the support account.

241. The Division would continue to be led by a Director at the D-2 level supported by an office comprising four posts funded from the support account: one Administrative Management Officer (P-4), one Programme Officer (P-3), one Human Resources Assistant (GS (OL)) and one Administrative Assistant (GS (OL)).

242. It is proposed that the Field Personnel Operations Service, which currently comprises 65 posts, be renamed the Operation Planning and Monitoring Service, comprising 55 posts (1 D-1, 3 P-5, 4 P-4, 11 P-3, 7 (GS (PL)) and 29 (GS (OL)) funded from the support account and 7 posts funded from the regular budget (1 P-4, 1 P-2 and 5 GS (OL)). The Operation Planning and Monitoring Service would be responsible mainly for formulating customized human resources strategies; developing and implementing global and mission-specific human resources management plans; and providing strategic advice and support to missions through regional desk officers located in the Service. The Service would include the Organizational Design and Classification Unit and three geographic desks (East and Central Africa; West Africa, Europe and Americas; and Asia and Middle East). All transactional human resources functions would remain in the existing Entitlements and Travel Unit. In addition, an Organizational Performance Measurement Unit would be established to monitor human resources indicators, while the Organizational Design and Classification Unit would support mission planning and the classification of mission posts.

243. The Office of the Chief of the Operation Planning and Monitoring Service would comprise four posts funded from the support account (1 Chief of Service (D-1), 1 Senior Human Resources Assistant (GS (PL)) and 2 Human Resources Assistants (GS (OL))). The functions of the Office would include: providing

leadership in strategic advisory and human resources support services to missions and regional and global service centres; developing and maintaining relationships/partnerships, communication and coordination; serving as the focal point for the coordination of emergency preparedness, crisis management and psychosocial activities; and induction and training programme for heads of missions, heads of military components and other newly recruited senior leaders.

244. The Organizational Design and Classification Unit would comprise nine posts funded from the support account (1 Chief of Unit (P-4), 2 Senior Human Resources Assistants (GS (PL)) and 6 Human Resources Assistants (GS (OL))). The Unit would support mission planning through the design of staffing structures. It would also oversee the classification of posts in the field and provide guidance on and coordinate staffing reviews. In this context, the Organizational Design and Classification Unit would maintain close links with the three geographic desks, under the leadership and vision of the Chief of Service.

245. It is proposed that the geographic repartition be shifted from the four geographic desks currently in place to three desks to align more closely with the changes introduced by the establishment of the Regional Service Centre in Entebbe. The three geographic desks (East and Central Africa; West Africa, Europe and Americas; and Asia and Middle East) would comprise 20 posts funded from the support account (3 Chiefs of Section (P-5), 8 Human Resources Officers (1 P-4 and 7 P-3), 4 Senior Human Resources Assistants (GS (PL)) and 5 Human Resources Assistants (GS (OL))) and 6 posts funded from the regular budget (1 P-4 and 5 GS (OL)). The desks would focus on providing more strategic support and ensuring that global policies are implemented at the mission level, in addition to continuing to monitor the human resources processes that have been delegated to missions, including monitoring the application of policy guidance at the mission level; providing technical and operational support and guidance on policy implementation; recommending customized solutions to align with missions' mandates and strategic plans; and developing staffing requirements and mission planning processes for new, expanding and transitioning missions.

246. The Entitlements and Travel Unit would comprise 18 posts funded from the support account (1 Chief of Unit (P-4), 3 Human Resources Officers (P-3) and 14 Human Resources Assistants (GS (OL))). The Entitlements and Travel Unit would continue to consolidate official business travel with all travel and shipment functions for all categories of mission personnel. In addition, it would be responsible for processing transactional functions, including a limited number of entitlements that are complex in nature and cannot be delegated to missions, such as the administration of mobility and hardship allowance, actions related to temporary movements, staff members at the D-2 level and above and staff separations. The Unit would also be responsible for processing all transactional human resources activities for small missions that do not have delegated human resources management authority.

247. The Organizational Performance Measurement Unit would comprise four posts funded from the support account (1 Chief of Unit (P-4), 1 Human Resources Officer (P-3) and 2 Human Resources Assistants (GS (OL))) and one post (P-2) funded from the regular budget. The Unit would be responsible for assisting regional sections within the Service in providing advice on the global framework for monitoring human resources authorities and responsibilities delegated to field missions/regional

service centres, including the analysis of transactional processing trends, the identification of new monitoring needs, the design and implementation of new monitoring approaches and solutions and the further development and application of monitoring mechanisms. The Unit would also be responsible for the central monitoring of global functions and processes retained in FPD and the service centres. It will also ensure the central monitoring of human resources management compacts and scorecard indicators and design and track corrective action plans for execution by regional sections.

248. The second pillar of the new proposed structure is the Field Human Resources Strategy Service, which would comprise 30 posts (1 D-1, 3 P-5, 3 P-4, 7 P-3, 1 P-2, 1 GS (PL) and 14 GS (OL)) and one continuing general temporary assistance position (P-3) funded from the support account, as well as one post (P-2) funded from the regular budget. The new pillar would allow the Field Personnel Division to dedicate capacity to areas highlighted in the human resources integrated framework of the global field support strategy. Specifically, it would allow for a comprehensive and clear focus on strategic human resources issues and the development of human resource plans from a global field perspective while ensuring a high quality of human resource advice and consistency of human resource practice across the Department. The Chief of Service (D-1) would supervise three sections: the Workforce Planning and Information Management Section; the Policy Guidance and Legal Support Section; and the Field Human Resources Capacity Development Section.

249. The Workforce Planning and Information Management Section would comprise 14 posts funded from the support account (1 Chief of Section (P-5), 4 Human Resources Officers (1 P-4 and 3 P-3), 1 Senior Human Resources Assistant (GS (PL)) and 8 Human Resources Assistants (GS (OL))). The Section would coordinate the elements of workforce planning across the Division. Such planning would focus on strategic staffing issues, including the movement of field mission staffing from a heavily international to a more national workforce. The Section would also address identified gaps in field workforce capabilities through the development of proactive and targeted staffing plans and the provision of a global overview of the current and future civilian capacities required across field missions. It would undertake more targeted efforts in the areas of outreach, recruitment and placement during start-up, expansion, transition, downsizing and liquidation. The Section would work closely with other sections of the Division and be responsible for activities related to field workforce planning, including recruitment, organizational classification and design and information management.

250. The Policy Guidance and Legal Support Section would comprise nine posts (1 Chief of Section (P-5), 5 Human Resources Officers (2 P-4 and 3 P-3), 1 Associate Human Resources Officer (P-2) and 2 Human Resources Assistants (GS (OL))) and one continuing general temporary assistance position (P-3) funded from the support account. Given the ongoing need for sound and consistent human resource policy advice to field missions, the Section would be dedicated to providing timely guidance to the field, including interpreting global human resources policies emanating from the Office of Human Resources Management and communicating them to field missions. It would also ensure that the realities of field staff are taken into account in the development of global human resources policies and advise senior management on best practices for implementing such policies. The Section would work closely with the Information Management Unit and the

Organizational Performance Measurement Unit to identify issues in the application of policies in the field.

251. The Field Human Resources Capacity Development Section would comprise five posts (1 Chief of Section (P-5), 1 Human Resources Officer (P-3) and 3 Human Resources Assistants (GS (OL))) to be funded from the support account and one post (P-2) funded from the regular budget. The Section would aim to enhance the Department's capability to manage staff by supporting the development of a cadre of well-qualified and appropriately trained human resources practitioners. As human resource responsibilities and authorities are increasingly being delegated to the field, such knowledge and expertise are essential to enhancing management's capacity to carry them out properly. The Section would thus help to build the capacities of human resources staff at the mission, regional service centre, Global Service Centre and Headquarters levels. In this context, the Section would address the pressing need for a coordinated, focused human resources community of practice for human resources field staff members at the professional and support levels. A number of new functions not currently being carried out within the Division would be assigned to the new Section, including succession management processes for human resources staff; the identification of core competencies; performance management; career path/development planning; client service orientation training; and stress management support.

252. The third pillar of the new structure, the Recruitment, Outreach and Career Development Section, would comprise 18 posts (1 Chief of Section (P-5), 7 Human Resources Officers (3 P-4 and 4 P-3), 1 Associate Human Resources Officer (P-2) and 9 Human Resources Assistants (GS (OL))) and 16 continuing general temporary assistance positions (12 P-3 and 4 GS (OL)), funded from the support account for the occupational group managers and their support staff. The Section would report directly to the Director of the Field Personnel Division, as recruitment is not purely transactional but rather a strategic human resources management function. The Section would ensure a more integrated approach to outreach, recruitment, roster management and career development.

### **Field Human Resources Strategy Service**

#### **Field Human Resources Capacity Development Section**

*Human Resources Officer (Office of Administration of Justice) (1 P-3 position, continuation)*

253. The proposed staffing establishment of the Field Human Resources Strategy Service, the second pillar of the new structure, is described in the paragraphs above.

254. The Division is responsible for accommodating requests from the Management Evaluation Unit, which require in-depth fact-finding exercises on the part of the Policy Guidance and Legal Support Section, in conjunction with missions and other stakeholders in the Field Personnel Division, and analysis of the facts against policies and rules to support the formal response. Owing to the professional nature of the United Nations Dispute Tribunal, the incumbent would assist with the delivery of requirements, both in terms of the quantity and the quality of responses. Furthermore, the incumbent would serve as the Department's focal point for all matters related to the Office of the United Nations Ombudsman and Mediation Services, which, given the increased focus on informal resolution in the new justice

system, has resulted in additional requirements, deliverables and follow-up actions for the Field Personnel Division. At the appeal level through the Dispute Tribunal, there is increased scrutiny of administrative decisions. The incumbent would serve as the Department's legal and policy focal point for the Administrative Law Section and would play a key role in providing legal and policy advice to peacekeeping operations regarding their responses to appeals in order to ensure the correct and consistent application of human resources rules and policies.

255. On the basis of the responsibilities detailed above and the increased workload anticipated in 2013/14 from present trends (see table below), it is proposed that one general temporary assistance position of Human Resources Officer (P-3) be continued to support the Department in its relationship with the Office of Administration of Justice.

<i>Type of case</i>	2008	2009	2010	2011	2012 <sup>a</sup>
Administrative appeals/requests for review/ management evaluation	33	50	86	153	220
Cases with the Ombudsman	37	25	40	59	50
<b>Total</b>	<b>70</b>	<b>75</b>	<b>126</b>	<b>212</b>	<b>270</b>

<sup>a</sup> As at 27 September 2012.

### **Recruitment, Outreach and Career Development Section**

*Human Resources Officers (occupational group managers) (12 P-3 positions, continuation)*

*Human Resources Assistants (4 GS (OL) positions, continuation)*

256. The proposed staffing establishment of the Recruitment, Outreach and Career Development Section, the third pillar of the new structure, is described in the paragraphs above. The functions of occupational group managers are continuing in nature and are vital to the approach to rostering and to the success of the implementation of the talent management system (Inspira). Each of the 12 occupational group managers is responsible for: developing an annual plan for the issuance of job openings through workforce planning; reviewing applications for eligibility; conducting substantive assessment by subject-matter experts (expert panels); serving as secretary to the expert panel under his or her purview and consolidating the findings and interview reports of the expert panels for presentation to the Field Central Review Bodies; monitoring the incumbency rates in the field missions for positions in his or her occupational group; managing his or her assigned roster; developing shortlists for programme managers in the field missions; determining priority outreach activities to address gaps in the roster, especially with regard to gender, language and geographical representation; and determining the rotation options for currently serving staff members in the field with a view to rotating staff among duty stations in the C to E categories. The work of the occupational group managers is increasing significantly with the deployment of Inspira to field missions. In particular, they support mission staff in the development and the delivery of training on Inspira, especially hiring managers. The occupational group managers have a critical role in the workflow for all Inspira vacancies,

including pre-screening and the oversight of job openings. They also ensure that French translations have been completed for all job openings. As roster managers, they will be advising missions on the availability of roster candidates for the profile being sought, ensuring consistency between the vacancy and the generic job profile.

257. Accordingly, it is proposed that 16 general temporary assistance positions, namely 12 Human Resources Officers (P-3) and 4 Human Resources Assistants (GS (OL)), continue to manage applications received for 24 occupational groups.

**(d) Financial resource requirements**

(Thousands of United States dollars)

Category	Expenditures (2011/12)	Apportionment (2012/13)	Cost estimates (2013/14)	Variance	
				Amount	Percentage
	(1)	(2)	(3)	(4)=(3)-(2)	(5)=(4)-(2)
I. Post resources	14 090.5	14 044.2	15 223.3	1 179.1	8.4
II. Non-post resources					
General temporary assistance	1 934.3	2 202.6	2 634.0	431.4	19.6
Consultants	71.6	16.4	36.0	19.6	119.5
Official travel	376.0	179.1	200.0	20.9	11.7
Other supplies, services and equipment	15.5	51.8	25.0	(26.8)	(51.7)
<b>Subtotal II</b>	<b>2 397.4</b>	<b>2 449.9</b>	<b>2 895.0</b>	<b>445.1</b>	<b>18.2</b>
<b>Total</b>	<b>16 487.9</b>	<b>16 494.1</b>	<b>18 118.3</b>	<b>1 624.2</b>	<b>9.8</b>

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

Posts	Cost estimates	Variance	
	\$15 223.3	\$1 179.1	8.4%

258. The provision would cover the salaries, common staff costs and staff assessments for the 108 proposed posts. The higher requirements result from: (a) the application of lower vacancy factors to the cost estimates for the 2013/14 financial period compared with the rates factored in the resources approved for 2012/13 (see para. 28 above); and (b) the estimation of common staff costs at a higher percentage of net salaries compared with the budget for 2012/13 (see para. 29 above). The additional requirements are partly offset by the proposed reduction of two posts.

General temporary assistance	Cost estimates	Variance	
	\$2 634.0	\$431.4	19.6%

259. The requirements would provide for the proposed continuation of 17 general temporary assistance positions. The higher requirements result from: (a) the application of lower vacancy factors to the cost estimates for the 2013/14 financial period compared with the rates factored in the resources approved for 2012/13 (see para. 28 above); and (b) the estimation of common staff costs at a higher percentage of net salaries compared with the budget for 2012/13 (see para. 29 above).

	<u>Cost estimates</u>	<u>Variance</u>
<b>Consultants</b>	\$36.0	\$19.6 119.5%

260. The consultancy requirements are as follows.

(United States dollars)

<i>Expertise</i>	<i>Person-months</i>	<i>Amount</i>	<i>Output reference</i>
Maintenance of the Nucleus database	3	36 000	Direct strategic advisory and performance measurement of all 38 delegated human resources management functions (including recruitment, travel and administration of contracts, salaries, allowances, benefits, claims and entitlements) in field operations
<b>Total</b>	<b>3</b>	<b>36 000</b>	

261. The amount of \$36,000 is proposed for the engagement of a consultant with technical expertise for three person-months in order to provide ongoing technical support for the maintenance of Nucleus, a legacy system for the recruitment, selection and bringing on board of staff serving in the field, until the transition to Inspira of all three modules (onboarding, position management and staffing) has been completed.

262. The higher requirements are due to the application of the current cost of consultancy, along with higher labour costs incurred by the consultant in conjunction with maintaining the tier-3 application support desk.

	<u>Cost estimates</u>	<u>Variance</u>
<b>Official travel</b>	\$200.0	\$20.9 11.7%

263. 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	43 000	Direct strategic advisory and performance measurement of all 38 delegated human resources management functions (including recruitment, travel and administration of contracts, salaries, allowances, benefits, claims and entitlements) in field operations
Technical support	86 700	Direct strategic advisory and performance measurement of all 38 delegated human resources management functions (including recruitment, travel and administration of contracts, salaries, allowances, benefits, claims and entitlements) in field operations  Direct personnel administrative support for 79 functionalities for operations without delegated human resources management authority for 6,736 international staff and travel for 1,891 military observers and 16,775 police personnel

<i>Type of travel</i>	<i>Amount</i>	<i>Output reference</i>
		2,000 field personnel provided with career guidance, career planning, answers to mobility- and career-related queries through e-mail, phone calls and field visits, including town hall and individual meetings
		Maintenance of 450 rosters across 24 occupational groups with at least 2,500 additional candidates endorsed by the central review bodies available for immediate selection against mission vacancies
		A workforce plan, including an analysis of supply and demand, forecasted requirements, projected future trends and identified capacity gaps in the roster
		Implementation of special measures to improve gender participation in the field workforce
Seminars/conferences/workshops	49 900	Organization of 3 meetings of the Field Joint Negotiation Committee and participation in the annual Staff-Management Coordination Committee meeting to improve staff-management relations
Other (Outreach)	20 400	Engagement with 15 Member States to develop outreach initiatives through individual Member State consultations and regional approaches, with 2 regional outreach visits
		Implementation of special measures to improve gender participation in the field workforce
<b>Total</b>	<b>200 000</b>	

264. The amount of \$43,000 is proposed for travel to undertake the following mission planning/assessment/consultation activities: two mission support visits, in cooperation with the Office of Human Resources Management of the Department of Management, to assist with the implementation of delegated human resources management authority, focusing on missions with noted problems/weaknesses in exercising delegated authority in recruitment and administrative responsibilities (\$16,000); and implementing a “train the trainer” programme for the administration of international staff and assessing the organizational readiness and the human resources information systems implementation requirements for the development of Umoja and Inspira (\$27,000).

265. The amount of \$86,700 is proposed for travel to undertake the following technical support activities: providing strategic direction and operational support aimed at strengthening the support structures of the Regional Service Centre in Entebbe and improving the delivery of services to its client missions (\$9,800); mission support visits in the context of the missions’ reconfiguration to identify key challenges related to the reconfiguration, including the retrenchment process and assistance to staff in need of placement (\$18,100); delivering training in the new Field Support Suite tool for the administration of locally recruited staff (\$11,700); two visits to the Reference Verification Unit, located in the Global Service Centre, to provide guidance and support to the work of the Unit (\$10,600); two visits to the Regional Service Centre in Entebbe to provide guidance and support to the staff in the recruitment services cluster (\$9,800); visits to field missions with high vacancy rates, in particular start-up missions, to ensure the rapid deployment of highly qualified staff with experience in start-up missions and to provide strategic and

operational support to recruitment activities (\$18,700); and a visit of career development and staff administration experts to a mission facing specific challenges in terms of security and difficult conditions of service (\$8,000).

266. The amount of \$49,900 is proposed for travel to participate in the following seminars/conferences/workshops: the annual human resources network conference updating practitioners across the United Nations on challenges and practices in human resources; the ICSC meeting on conditions of service to represent field views in the policymaking process; quarterly meetings of the Field Joint Negotiation Committee; participation at the UNV conference to share best practices and standardize policies in terms of UNV recruitment and management across peacekeeping operations; and participation at the annual meeting of the Staff-Management Committee to provide advice and guidance on staff-management issues relating to peacekeeping operations, including issues relating to mobility and conditions of service in the field.

267. The amount of \$20,400 is proposed for travel to undertake two outreach visits to troop- and police-contributing countries to raise awareness of opportunities for recruitment in field missions.

268. The higher requirements are attributable to technical support planned for missions going through a transition phase (staffing review, downsizing), such as UNMIL, UNAMID and MINUSTAH, and the critical transitional measures accompanying the implementation of delegated authority in missions and in the context of the implementation of Umoja.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Other supplies, services and equipment</b>	\$25.0	(\$26.8)	(51.7%)

269. It is proposed that the amount of \$25,000 be provided for the cost of promotional materials associated with outreach activities and recruitment advertising in various publications.

270. The lower requirements are attributable to the fact that packing and shipping files associated with the redeployment of posts to the Global Service Centre in the 2012/13 financial period was a non-recurring activity.

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

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

271. The mandate of the Logistics Support Division was established by the General Assembly in its resolution 56/241. The functions of the Division are set out in the Secretary-General's bulletin on the organization of DFS (ST/SGB/2010/2).

272. The Logistics Support Division is responsible for promulgating and monitoring compliance with practical guidelines for carrying out logistics functions in field operations. The Director provides strategic advice on logistics matters and directs, monitors and assesses the delivery of strategic transportation and specialist support services in the functional areas of air transport, ground transport, engineering and supply. The Division coordinates its activities with and provides direction to its counterparts in the Global Service Centre, including the Regional

Aviation Safety Office, the Geospatial Information Service Centre and the Engineering Standardization and Design Centre.

273. The Division comprises the Office of the Director, the Strategic Support Service, the Strategic Transportation Service, the Aviation Safety Section and the Logistics Operations Section.

<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 Identification and deployment, within 90 days of Security Council mandates, of logistics equipment and assets to support start-up teams and initial troop or police deployments (2011/12: 90 days; 2012/13: 90 days; 2013/14: 90 days)

*Outputs*

- Maintenance of 100 active logistics-related system contracts available to field operations
- 6 mission-specific force requirements reviewed and/or generated
- 1 standards guidance document for contingent capabilities development in alignment with the New Horizon initiative
- 3 working group meetings with multinational partners to identify and establish functional arrangements in areas of logistics cooperation in the field
- Maintenance of 25 engineering-related systems contracts for field operations
- 6 predeployment visits to troop- and police-contributing countries to assess logistics support capabilities and advise Member States about the sufficiency of and/or shortfalls in major equipment and self-sustainment

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
3.1 Increased efficiency and effectiveness of peacekeeping operations	<p>3.1 Increase in the rate of compliance with recommendations from aviation safety assistance visits to peacekeeping operations (2011/12: 87 per cent; 2012/13: 88 per cent; 2013/14: 90 per cent)</p> <p>3.2 Increase in the physical verification of inventories of non-expendable property in field operations (2011/12: 97 per cent; 2012/13: 98 per cent; 2013/14: 100 per cent)</p> <p>3.3 Increase in the rate of reconciliation of discrepancies and the accuracy of property management records in field operations (2011/12: 90 per cent; 2012/13: 92 per cent; 2013/14: 98 per cent)</p> <p>3.4 Increased compliance with established light passenger vehicle holding policies in DPKO/DFS field operations (2011/12: not applicable; 2012/13: compliance on the part of 80 per cent of active missions; 2013/14: 100 per cent compliance)</p>

3.5 Increased rate of evaluation of vendors through the new surface transport supplier appraisal system (2011/12: not applicable; 2012/13: 80 per cent; 2013/14: 100 per cent)

3.6 Implementation of all recommendations of the Board of Auditors regarding the management of field logistics outstanding from the previous period (2011/12: not applicable; 2012/13: not applicable; 2013/14: 100 per cent)

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*Outputs*

- 16 aviation safety assessment visits to field operations with aircraft and to the Regional Aviation Safety Offices and 6 air operator assessment visits to United Nations-registered air carriers as part of the safety oversight functions of the Aviation Safety Section
- 4 meetings with troop- and police-contributing countries to address memorandums of understanding shortfalls identified in mission-specific contingent-owned equipment and memorandum of understanding management review boards
- 5 technical medical assessment reports in field operations and medical predeployment visits to 2 troop- and police-contributing countries
- 4 engineering assessment reports in field operations to review the progress of construction and engineering projects and to monitor the effectiveness of goods and services obtained under system contracts
- Promulgation of revised property management key performance indicators
- Update of 2 manuals/guidelines covering property management and the management of contingent-owned equipment
- Development of guidelines for field missions to provide Headquarters with information to monitor the status, development and management of mission construction projects of high value or of a critical nature, from budgeting and contracting to construction and completion
- 6 technical site visits for fuel installations and facilities
- Fuel operations manual updated
- Revised aviation equipment catalogue and production of digital maps for all airfields in support of peacekeeping operations
- Standard operating procedures for the liberty usage of United Nations-owned vehicles developed and implemented in 10 field missions
- Development and implementation of 1 comprehensive guideline on the optimal life expectancy of all categories of vehicles
- Development and implementation of 1 guideline for the evaluation of surface transport suppliers (goods and services)
- 5 logistics and technical support briefings to permanent missions and troop- and police-contributing countries
- 7 briefings at conferences and to troop- and police-contributing countries on the medical support concept in peacekeeping operations

## 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 unit 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 posts 2012/13</i>	<i>Redeployment, reassignment, reclassification, abolishment, discontinuation</i>	<i>General temporary assistance conversions</i>	<i>New posts proposed</i>	<i>Total proposed 2013/14</i>	<i>Change</i>
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	–	–	–	–	–	–
D-1	2	–	–	–	2	–
P-5	9	(1)	–	–	8	(1)
P-4	35	(2)	–	–	33	(2)
P-3	46	–	–	–	46	–
P-2/P-1	–	–	–	–	–	–
<b>Subtotal</b>	<b>92</b>	<b>(3)</b>	–	–	<b>89</b>	<b>(3)</b>
<b>General Service and related</b>						
Principal level	2	–	–	–	2	–
Other level	32	(1)	–	–	31	(1)
<b>Subtotal</b>	<b>34</b>	<b>(1)</b>	–	–	<b>33</b>	<b>(1)</b>
<b>Total</b>	<b>126</b>	<b>(4)</b>	–	–	<b>122</b>	<b>(4)</b>

**(c) Justification of posts****Logistics Operations Section**

*Reassignment and reclassification of one post (P-5 Chief of Logistics Operations) to the Office of the Assistant Secretary-General to perform the functions of Team Leader (D-1)*

274. In the context of the realignment of the current resources of the Office of the Under-Secretary-General and the Office of the Assistant Secretary-General, as described in the section above, and given that logistics constitutes the core of the Department's support to field operations, in line with the global field support strategy and the restructuring of DPKO/DFS, it is proposed that the post of Chief of Logistics Operations (P-5) be reassigned to the Office of the Assistant Secretary-General and be reclassified at the D-1 level to perform the functions of Team Leader of the Operational Support Team and undertake the responsibilities explained in paragraph 200 above. The remaining components of the Logistics Operations Section will report directly to the Director of the Logistics Support Division, in line with the approved structure.

## Strategic Support Service

### Cartographic Section

*Redeployment of the Cartographic Section (3 posts: 2 P-4 Geographic Information Systems Officers and 1 GS (OL) Cartographic Information Systems Assistant) to the Information and Communications Technology Division*

275. The approved staffing establishment of the Cartographic Section comprises three posts (2 P-4 and 1 GS (OL)) funded from the support account. The Cartographic Section provides geospatial information in support of the decision-making and the operational needs of the Security Council and the Secretariat, including peacekeeping operations and field mission geographical information system operations, and technical assistance on international boundary issues to Member States, such as boundary delimitation and demarcation. While the Section functionally reports to the Logistics Support Division, the authority to manage its financial resources is assigned to the Information and Communications Technology Division. This separation between institutional location and financial authority is unusual, and the increasingly complex technical and multidisciplinary nature of the geographical information system work, its heavy reliance on enterprise-level information and communications technology infrastructure and the industry trend towards integration of geospatial and regular information management processes are further factors advocating for a closer relationship between information and communication technology and geographical information system functions.

276. In an effort to streamline the geographical information system activities at Headquarters, more efficiently leverage investments made in developing geographical information systems and information and communications technology by spatially enabling existing information flows, and consolidate the functional capacities and financial responsibilities under a single cost centre, it is proposed that the Cartographic Section and its posts (12 posts, of which 6 are regular budget posts, 3 are support account posts, with 1 proposed for abolishment, 2 posts are funded through a trust fund for the Iraq-Kuwait boundary maintenance project and 1 is funded through a trust fund for the Cameroon-Nigeria Mixed Commission) be transferred to the Information and Communications Technology Division. This would facilitate the optimal acquisition and management of technologies, technical equipment and technical expertise required for geographical information system activities and greater coordination, synergies and economies of scale in information management.

#### (d) Financial resource requirements

(Thousands of United States dollars)

Category	Expenditures (2011/12) (1)	Apportionment (2012/13) (2)	Cost estimates (2013/14) (3)	Variance	
				Amount (4)=(3)-(2)	Percentage (5)=(4)÷(2)
I. Post resources	23 500.7	18 864.2	20 336.2	1 472.0	7.8
II. Non-post resources					
General temporary assistance	330.6	–	–	–	–
Consultants	238.6	25.4	31.0	5.6	22.0

Category	Expenditures (2011/12) (1)	Apportionment (2012/13) (2)	Cost estimates (2013/14) (3)	Variance	
				Amount (4)=(3)-(2) (4)	Percentage (5)=(4)÷(2) (5)
Official travel	818.7	447.5	400.6	(46.9)	(10.5)
<b>Subtotal II</b>	<b>1 387.9</b>	<b>472.9</b>	<b>431.6</b>	<b>(41.3)</b>	<b>(8.7)</b>
<b>Total</b>	<b>24 888.6</b>	<b>19 337.1</b>	<b>20 767.8</b>	<b>1 430.7</b>	<b>7.4</b>

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

Posts	Cost estimates	Variance	
	\$20 336.2	\$1 472.0	7.8%

277. The provision would cover the salaries, common staff costs and staff assessments for the 122 proposed posts. The higher requirements result from: (a) the application of lower vacancy factors to the cost estimates for the 2013/14 financial period compared with the rates factored in the resources approved for 2012/13 (see para. 28 above); and (b) the estimation of common staff costs at a higher percentage of net salaries compared with the budget for 2012/13 (see para. 29 above). The additional requirements are partly offset by the proposed reduction of four posts.

Consultants	Cost estimates	Variance	
	\$31.0	\$5.6	22.0%

278. The consultancy requirements are as follows.

(United States dollars)

Expertise	Person-months	Amount	Output reference
Review of the aviation equipment catalogue	<1	10 000	Revised aviation equipment catalogue
Digital mapping for all airfields in support of peacekeeping operations	<1	21 000	Production of digital maps for all airfields in support of peacekeeping operations
<b>Total</b>		<b>31 000</b>	

279. the amount of \$10,000 is proposed for the engagement of a consultant from ICAO with technical expertise for one week, including \$7,500 for travel, to review the current aviation equipment catalogue in accordance with aviation standards, in connection with the establishment of an integrated approach to developing and sustaining the infrastructure of airfields in peacekeeping missions under the management service agreement between the United Nations and ICAO.

280. The amount of \$21,000 is proposed for the engagement of a consultant with technical expertise for three weeks, including \$13,000 for travel, for the design and digital mapping of the aerodrome aviation information for consolidation into a general shared database available to the field missions, and the design and

development of technical oversight parameters while addressing key financial and operational performance indicators. In-house expertise to integrate this information in the aeronautical database for aerodrome and landing sites for the safety of United Nations flights is not available.

281. The higher requirements in consultancy resources reflect the change in requirements associated with non-recurring initiatives for which expertise is not available within the United Nations system.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Official travel</b>	\$400.6	(\$46.9)	(10.5%)

282. 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	270 400	16 aviation safety assessment visits to field operations with aircraft and to the Regional Aviation Safety Offices and 6 air operator assessment visits to United Nations-registered air carriers as part of the safety oversight functions of the Aviation Safety Section  Standard operating procedures for the liberty usage of United Nations-owned vehicles developed and implemented in 10 field missions  4 meetings with troop- and police-contributing countries to address memorandums of understanding shortfalls identified in mission-specific contingent-owned equipment and memorandum of understanding management review boards  5 technical medical assessment reports in field operations and medical predeployment visits to 2 troop- and police-contributing countries  4 engineering assessment reports in field operations to review the progress of construction and engineering projects and monitor the effectiveness of goods and services obtained under system contracts
Technical support	91 500	6 technical site visits for fuel installations and facilities  Development of guidelines for field missions to provide Headquarters with information to monitor the status, development and management of mission construction projects of high value or of a critical nature, from budgeting and contracting to construction and completion
Seminars/conferences/workshops	38 700	7 briefings at conferences and to troop- and police-contributing countries on the medical support concept in peacekeeping operations  3 working group meetings with multinational partners to identify and establish functional arrangements in areas of logistics cooperation in the field
<b>Total</b>	<b>400 600</b>	

283. The amount of \$270,400 is proposed for travel to undertake the following mission planning/assessment/consultation activities: coordinating the delivery of logistics goods and services to client missions and developing improvements in consultation with Member States (\$31,800); assessing the current status of air operations and aviation safety in peacekeeping missions to identify areas of safety concern and provide recommendations to mitigate risk (\$59,400); visits to the civil aviation authorities to discuss common issues that influence the safety of aviation operations in peacekeeping missions and suggest remedial measures (\$20,000); meetings with multinational partners and other agencies, funds and programmes on logistics cooperation (\$40,300); meetings with the Transportation and Movements Integrated Control Centre in Entebbe and mission movement control sections to better understand operations and discuss improvements (\$32,000); evaluating the operational support provided by the missions' vehicle fleet and monitoring the implementation of the quality assurance programme (\$26,300); ensuring compliance with the DFS/DPKO aviation regulatory regime to ensure safety and performance standards and assisting missions in meeting assigned mandates (\$9,600); ensuring compliance with the DPKO/DFS fuel manual (\$29,300); and monitoring the utilization of physical resources in compliance with policies and procedures on property management (\$21,700).

284. The amount of \$91,500 is proposed for travel to undertake the following technical support activities: conducting environmental assessments in coordination with a mission (\$9,900); visits to new police- and/or troop-contributing countries requiring full briefings on entitlements, responsibilities and the memorandum of understanding negotiation process (\$52,100); accompanying the Procurement Division on visits to provide technical and operational analysis for the establishment of a major systems contract (\$6,600); piloting the electronic rations management system at selected peacekeeping operations (\$10,800); and monitoring the implementation of the new food rations contract/standards (\$12,100).

285. The amount of \$38,700 is proposed for travel to regulatory and industry meetings and to missions to develop concepts and plans, implement the provision of infrastructure, aircraft and techniques and introduce a new fuel-efficient, cost-effective and operationally effective fleet of aircraft worldwide.

286. The lower requirements are attributable to the fact that the redeployment of the Cartographic Section to the Information and Communications Technology Division has been proposed. Accordingly, the associated resource requirements that are similar to the resources approved for 2012/13 have been reflected in the respective section.

## **5. Information and Communications Technology Division**

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

287. The mandate of the Information and Communications Technology Division was established by the General Assembly in its resolution 61/279. The functions of the Division are set out in the Secretary-General's bulletin on the organization of DFS (ST/SGB/2010/2).

288. The Division delivers voice, video, high-speed data, network capability, field-specific systems and applications for peacekeeping operations, as well as for DPKO and DFS at Headquarters. The Division's priority is to ensure the provision of information and communications technology services to peacekeeping operations

and UNSOA through the Global Service Centre, including the United Nations Support Base in Valencia, and to provide technology-based solutions for DFS and DPKO and peacekeeping operations. The Division will focus on providing ongoing information and communications technology support services to the Departments at Headquarters and automated solutions that would support the Global Service Centre and the Regional Service Centre in Entebbe. The Division will also support the implementation of Umoja and IPSAS in peacekeeping operations, focusing on standardizing and optimizing the existing infrastructure for Umoja deployment, scheduled for 2013/14.

<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 in question (2011/12: 3 days; 2012/13: 3 days; 2013/14: 3 days)</p> <p>1.2 Departments and offices of the Secretariat provided, within 10 days of request, with up-to-date global digital spatial data and maps relative to an area of interest (2011/12: not applicable; 2012/13: 10 days; 2013/14: 10 days)</p>

*Outputs*

- 1 analysis report on boundary crisis responses, including the status of disputed boundaries, treaties, maps and satellite imagery

<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 Communications links established within 24 hours of arrival of the information and communications technology equipment in a new peacekeeping operation (2011/12: 24 hours; 2012/13: 24 hours; 2013/14: 24 hours)

*Outputs*

- Information and communications technology support for new peacekeeping operations in response to newly established Security Council mandates
- 3 versions of the global digital map at varied required scales
- 3 technical specifications and procedures for improving the geometric and content accuracy of the global digital map, and validation against operational field data and information

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
3.1 Increased efficiency and effectiveness of peacekeeping operations	3.1 80 per cent rate of satisfaction with information and communications technology services provided by the Division to peacekeeping operations (2011/12: 60 per cent; 2012/13: 80 per cent; 2013/14: 80 per cent)

*Outputs*

- Information and communications technology support for the call centre, field network and field applications, and disaster recovery and business continuity operations provided to all peacekeeping operations and UNSOA
- 4,800 audio and videoconferencing services provided to field operations, including technical and day-to-day operational support
- Statements of work and technical evaluation for 7 planned systems contracts and monitoring and administration of 35 existing contracts for information and communications technology services and equipment
- 17 disaster recovery plans for field operations tested and updated and 4 disaster recovery reconstitution exercises
- Redesigned, virtualized and optimized existing information and communications technology systems and infrastructure for peacekeeping operations and UNSOA to ensure a stable foundation with which to support Umoja- and IPSAS-related imperatives and improve responsiveness and resilience, as well as develop and deploy data collection interfaces
- Partially automated geographical reference data from 2 field missions with geographical information systems for analysis and crisis monitoring

*External factors*

Security considerations in peacekeeping operations and UNSOA will not prevent the successful implementation of systems and provision of information and communications technology services in field operations; level of accuracy and availability of the data and information provided by Member States on the boundary crisis

**(b) Human resources requirements**

<i>Category</i>	<i>Approved posts 2012/13</i>	<i>Redeployment, reassignment, reclassification, abolishment, discontinuation</i>	<i>General temporary assistance conversions</i>	<i>New posts proposed</i>	<i>Total proposed 2013/14</i>	<i>Change</i>
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	1	–	–	–	1	–
D-1	1	–	–	–	1	–
P-5	2	–	–	–	2	–
P-4	7	2	–	–	9	2
P-3	7	–	–	–	7	–
P-2/P-1	–	–	–	–	–	–
<b>Subtotal</b>	<b>18</b>	<b>2</b>	<b>–</b>	<b>–</b>	<b>20</b>	<b>2</b>
<b>General Service and related</b>						
Principal level	3	–	–	–	3	–
Other level	8	–	–	–	8	–
<b>Subtotal</b>	<b>11</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>11</b>	<b>–</b>
<b>Total</b>	<b>29</b>	<b>2</b>	<b>–</b>	<b>–</b>	<b>31</b>	<b>2</b>

**(c) Justification of posts****Field Communications and Information Technology Operations Service****Cartographic Section**

*Redeployment of the Cartographic Section (3 posts: 2 P-4 Geographic Information Systems Officers and 1 GS (OL) Cartographic Information Systems Assistant) from the Logistics Support Division to the Field Communications and Information Technology Operations Service*

289. As explained in paragraphs 275 and 276 above, it is proposed that the Cartographic Section be redeployed from the Logistics Support Division to the Information and Communications Technology Division.

*Abolishment of one post (GS (OL) Cartographic Information Systems Assistant)*

290. An internal review of the activities and current resources with respect to providing geographical information support to the field indicated the need for a clearer relationship between the functions carried out by the Section at Headquarters and the services provided by the Geographical Information System Centre in UNLB. The workload distribution analysis indicates that the Section could abolish one continuing post of Cartographic Assistant (GS (OL)) without an adverse impact on its ability to undertake its responsibilities. The workload would be absorbed by the continuing internal support services and functions of the Information and Communications Technology Division.

**(d) Financial resource requirements**

(Thousands of United States dollars)

Category	Expenditures (2011/12)	Apportionment (2012/13)	Cost estimates (2013/14)	Variance	
				Amount	Percentage
	(1)	(2)	(3)	(4)=(3)-(2)	(5)=(4)÷(2)
I. Post resources	5 239.2	4 357.5	5 254.6	897.1	20.6
II. Non-post resources					
Official travel	319.7	111.5	185.4	73.9	66.3
Communications	–	554.2	624.3	70.1	12.6
Information technology	–	5 394.2	6 070.6	676.4	12.5
<b>Subtotal II</b>	<b>319.7</b>	<b>6 059.9</b>	<b>6 880.3</b>	<b>820.4</b>	<b>13.5</b>
<b>Total</b>	<b>5 558.9</b>	<b>10 417.4</b>	<b>12 134.9</b>	<b>1 717.5</b>	<b>16.5</b>

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

Posts	Cost estimates	Variance	
	\$5 254.6	\$897.1	20.6%

291. The provision would cover the salaries, common staff costs and staff assessments for the 31 proposed posts. The higher requirements result from: (a) the application of lower vacancy factors to the cost estimates for the 2013/14 financial

period compared with the rates factored in the resources approved for 2012/13 (see para. 28 above); and (b) the estimation of common staff costs at a higher percentage of net salaries compared with the budget for 2012/13 (see para. 29 above); and (c) the proposed redeployment of two posts to the Division.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Official travel</b>	\$185.4	\$73.9	66.3%

292. 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	102 500	Redesigned, virtualized and optimized existing information communications technology systems and infrastructure for peacekeeping operations and UNSOA to ensure a stable foundation with which to support Umoja- and IPSAS-related imperatives and improve responsiveness and resilience, as well as develop and deploy data collection interfaces
Technical support	26 000	1 analysis report on boundary crisis responses, including the status of disputed boundaries, treaties, maps and satellite imagery
Seminars/conferences/workshops	56 900	3 technical specifications and procedures for global digital mapping for improving geometric and content accuracy of maps and validation against operational field data and information
<b>Total</b>	<b>185 400</b>	

293. The amount of \$102,500 is proposed for travel to carry out the following mission planning/assessment/consultation activities: validating missions and taking corrective action for the preparedness for Umoja implementation and IPSAS compliance, assessing the effectiveness of existing systems so as to develop a strategy for optimizing support to the field missions, ensuring and validating adherence to the governance processes, reviewing the information and communications technology developed in missions and assessing mission capacity in information and communications technology development, reviewing and validating the security of information technology systems in field operations, focusing on certification from and compliance with the International Organization for Standardization, ensuring that the missions adopt best practices and determining the effectiveness of centralized support functions provided by UNLB, determining the integration of converging voice, video and data technologies and assessing the support requirements in the context of the benefits of converged technology (\$57,800); assessing geographic information systems set-up, operations and collaboration in the field, evaluating the system backup and operationalizing the workflow, protocols and mechanisms of the systems (\$9,500); overseeing the operations of, and the implementation of information and communications technology systems in the United Nations Support Base in Valencia (\$5,200); ensuring and validating the adherence of governance processes in support of the Regional Service Centre and assessing and validating the use of information and communications technology contractual personnel for centralized development, implementation and support (\$30,000).

294. The amount of \$26,000 is proposed for travel to undertake the following technical support activities: technical support and advice to the African Union in the areas of border demarcation, border mapping and border information system, and geographic information systems technology transfer to the African Union by providing system set-up, developing the African Union Border Programme geo-data schema and providing associated training (\$21,000); conducting a benchmarking assessment of and applying best practices to the development of a United Nations electronic mapping system using the resources of the United States Library of Congress for cataloguing cartographic materials and the e-map inventory, scanning, cataloguing and web dissemination system of the University of Texas (\$5,000).

295. The amount of \$56,900 is proposed for travel to participate in the following seminars/conferences/workshops: the biannual information and communications technology senior leadership workshops for field and Headquarters officers to review the five-year strategic plan for information and communications technology in the field; biannual meetings of the International Computing Centre Management Committee to follow up on policy matters, the Centre's mandate, projects and services, and financial and staff matters; representing DFS at the biannual meetings of the Working Group on Emergency Telecommunications and of the Inter-Agency Telecommunications Advisory Group to provide a status report on ongoing projects of general interest and to discuss issues related to inter-agency cooperation and the implementation of information and communications technology common services in peacekeeping operations; the annual meeting of the United Nations Geographic Information Working Group to discuss and exchange information on geographical information systems and data, as well as on the development of spatial data infrastructure for the United Nations common system.

296. Increased travel requirements result from: (a) the transfer of the Cartographic Section from the Logistics Support Division for which the amount of \$47,200 relates to the Section's activities described in the preceding paragraphs in the present section; (b) activities to ensure the successful implementation of Umoja and IPSAS in peacekeeping operations; and (c) support for the operations of the Global Service Centre, the United Nations Support Base in Valencia and the Regional Service Centre in Entebbe.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Communications</b>	\$624.3	\$70.1	12.6%

297. The amount of \$624,300 is proposed for the provision of non-standard resources for the acquisition of specialized communications equipment, including replacement and spare parts, communications software licences and fees and contractual services for ongoing support to meet peacekeeping business needs, as summarized in the table and detailed in the paragraphs below.

(United States dollars)

<b>Equipment</b>	
Vide Conferencing terminals and satellite hardware	170 500
Spare parts	27 300
<b>Subtotal</b>	<b>197 800</b>

**Software licences and fees**

Mobile office	331 000
Videoconferencing and remote access control licence	84 400

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<b>Subtotal</b>	<b>415 400</b>
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**Ongoing support services**

Conference rooms	11 100
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<b>Subtotal</b>	<b>11 100</b>
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<b>Total</b>	<b>624 300</b>
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298. The amount proposed for specialized communications equipment would cover the replacement of videoconferencing equipment (10 units at \$14,800 each) and satellite hardware for UNOAU in connection with its relocation (\$170,500); spare parts for UNOAU (\$27,300); mobile office technology and token licences that allow critical staff to have access to the United Nations server in the event that they are unable to come to the office to carry out their duties (\$331,000); recurring fees for software licences for videoconferencing and remote access control for UNOAU (\$84,400); and communications support services for conference rooms (\$11,100).

299. The higher requirements result from: (a) the replacement of videoconferencing terminals and the acquisition of hardware for the installation and integration of the satellite dish located at UNOAU in connection with its relocation; and (b) increased related licence fees.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Information technology</b>	\$6 070.6	\$676.4	12.5%

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300. The amount of \$6,070,600 is proposed for the provision of non-standard requirements for the acquisition of specialized information technology equipment and software, software licences and fees and contractual services for ongoing support to meet peacekeeping business needs, as summarized in the table and detailed in the paragraphs below.

(United States dollars)

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Equipment	12 000
Software	421 000
Software licences and fees	626 000
Contractual services: ongoing support	4 870 500
Call centre support	1 218 900
DPKO/DFS application support	1 271 100
Disaster recovery and business continuity operational support	240 000
Videoconferencing support	1 180 100
Maintenance of field applications	1 101 500
<b>Total</b>	<b>6 070 600</b>

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301. The amount proposed for specialized information technology equipment (\$12,000) would cover requirements for the replacement of large LCD monitors.

302. The amount proposed for software (\$421,000) would cover fees for Microsoft Services Premier Support, which is external technical support for Microsoft technologies used by DPKO and DFS (\$161,000), map design and publishing software for geographic information systems (\$10,000) and upgrades to the suite of tools for situational awareness and monitoring, which are essential to support the Peacekeeping Situation Centre's operations (\$250,000). The information technology of the Peacekeeping Situation Centre was last updated in 2008 and no longer meets the technical requirements for monitoring global operational risks and events. The software seeks to streamline, standardize and enhance situational awareness through effective and integrated information research, categorization and analysis using different content formats and/or in particular interest areas. An integrated field operational and situational awareness set of tools is required to efficiently store, search, retrieve and share critical mission data/files/incident information across relevant mission components and multiple missions and with Headquarters. This information will be accessed by joint mission analysis centres, joint operations centres, the Peacekeeping Situation Centre and the United Nations Operations Crisis Centre. This resource proposal is presented under the Information and Communications Technology Division of DFS, as the Division continues to manage the software and its upgrading and the acquisition of applications/systems utilized by DPKO/DFS at Headquarters and accessed by the Peacekeeping Situation Centre and the United Nations Operations Crisis Centre.

303. The amount proposed for software licences and fees (\$626,000) is required for upgrades of software and systems utilized by DPKO and DFS, such as existing business intelligence software, geographic information systems and cartography applications, and new graphic design software, database design and maintenance support tools, technical standards reference and compliance software, performance management maintenance and support renewal, security and identity management software, data analysis software, document viewer and writer software, reporting and transactional software, products for applications security and feedback management software.

304. The resources for contractual personnel specialized in information technology are estimated on the basis of memorandums of understanding or contract agreements established with the International Computing Centre and UNOPS, including an 8 per cent personnel administration cost, or other approved vendors for ongoing support services and development projects, as detailed in paragraphs 305 to 310 below. Contractual services at Headquarters are undertaken by a staffing complement of 53 contractual personnel working at levels equivalent to those under the United Nations grade level system. A provision for common charges, such as for rental space, office supplies and desktop services under the information technology standard level agreement with the Office of Information and Communications Technology, has been estimated for contractual personnel at Headquarters and included in the relevant resource class under the central responsible department or office.

### **Ongoing support services**

#### **Call centre support**

305. The amount of \$1,218,900 is proposed for contractual services 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, DFS focal points and external parties until final resolution. The requirements include salaries and operating costs.

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

306. The amount of \$1,271,100 is proposed for contractual services to provide 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 and the mail action records system, support for web-based applications, change management and user training. The applications supported pertain to DPKO and DFS at Headquarters and are focused on facilitating interaction with peacekeeping operations in the field. The requirements include salaries and operating costs.

**Disaster recovery and business continuity operational support**

307. The amount of \$240,000 is proposed for contractual services to provide 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, the configuration and establishment of documentation for implemented systems, including day-to-day operational support, the operation of the disaster recovery and business continuity infrastructure in DFS, the maintenance of flexible support for changing departmental disaster recovery and business continuity requirements and the monitoring of disaster recovery and business continuity systems. Services also include the conduct of disaster recovery reconstitution exercises, the dissemination of disaster recovery templates, the review and validation of plans to ensure conformity with policy guidance provided by Headquarters and mission administration. The approximate cost breakdown is as follows: one contractor at \$190,000 for the period and \$50,000 for operating costs.

**Videoconferencing support**

308. The amount of \$1,180,100 is proposed for contractual services to provide 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 approximate cost breakdown is as follows: 11 contractors at \$99,334 per contractor for the period and \$87,416 for operating costs.

### Maintenance of field applications

309. The amount of \$1,101,500 is proposed for contractual services to provide support for and maintain computer applications used by personnel in DPKO and DFS, at Headquarters and in field operations, specifically, the collaboration support systems, audit and oversight applications, strategic management applications, reporting applications and standard web content management platforms and their correlating internal and public websites that support the substantive areas of peacekeeping operations. In addition, the provision would support web-based applications, change management and user 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 the implementation of core peacekeeping operation mandates and do not represent solutions redundant with the enterprise resource planning or other enterprise systems, such as Inspira and Umoja. The approximate cost breakdown is as follows: seven contractors at \$96,685 per contractor for the period and no operating costs.

310. The higher requirements result from the following: (a) the acquisition of new software for the Peacekeeping Situation Centre and external technical support for Microsoft applications; and (b) the increased number of applications being maintained, as well as an increase in the population of users working with those applications. In particular, there has been an increase in the internal usage of collaborative tools, as well as an increase in the number of users in the public domain who are accessing and are projected to access DPKO/DFS hosted and maintained websites for information purposes. Such websites include missions' public websites, the DPKO/DFS intranet, the website of the misconduct tracking system and the online civilian capacity matching platform. A commensurate increase in maintenance services is required to support those applications and the associated larger user population.

## C. Department of Management

### (a) Human resources requirements

<i>Category</i>	<i>Approved staffing 2012/13</i>	<i>Redeployment, reassignment, abolishment, discontinuation</i>	<i>General temporary assistance conversions</i>	<i>Additional new posts/ positions requested</i>	<i>Total proposed 2013/14</i>	<i>Change</i>
<b>Posts</b>						
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	1	–	–	–	1	–
D-1	3	–	–	–	3	–
P-5	12	–	–	–	12	–
P-4	66	–	–	–	66	–
P-3	56	–	–	–	56	–

<i>Category</i>	<i>Approved staffing 2012/13</i>	<i>Redeployment, reassignment, abolishment, discontinuation</i>	<i>General temporary assistance conversions</i>	<i>Additional new posts/ positions requested</i>	<i>Total proposed 2013/14</i>	<i>Change</i>
P-2/P-1	11	–	–	–	11	–
<b>Subtotal</b>	<b>149</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>149</b>	<b>–</b>
<b>General Service and related</b>						
Principal level	9	–	–	–	9	–
Other level	92	(3)	–	–	89	(3)
<b>Subtotal</b>	<b>101</b>	<b>(3)</b>	<b>–</b>	<b>–</b>	<b>98</b>	<b>(3)</b>
<b>Total</b>	<b>250</b>	<b>(3)</b>	<b>–</b>	<b>–</b>	<b>247</b>	<b>(3)</b>
<b>General temporary assistance positions</b>						
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	–	–	–	–	–	–
D-1	–	–	–	–	–	–
P-5	1	–	–	–	1	–
P-4	5	–	–	–	5	–
P-3	19	(2)	–	1	18	(1)
P-2/P-1	4	–	–	–	4	–
<b>Subtotal</b>	<b>29</b>	<b>(2)</b>	<b>–</b>	<b>1</b>	<b>28</b>	<b>(1)</b>
<b>General Service and related</b>						
Principal level	1	–	–	–	1	–
Other level	15	(2)	–	–	13	(2)
<b>Subtotal</b>	<b>16</b>	<b>(2)</b>	<b>–</b>	<b>1</b>	<b>14</b>	<b>(2)</b>
<b>Total</b>	<b>45</b>	<b>(4)</b>	<b>–</b>	<b>1</b>	<b>42</b>	<b>(3)</b>
<b>Grand total</b>	<b>295</b>	<b>(7)</b>	<b>–</b>	<b>1</b>	<b>289</b>	<b>(6)</b>

**(b) Financial resource requirements**

(Thousands of United States dollars)

<i>Category</i>	<i>Expenditures (2011/12)</i>	<i>Apportionment (2012/13)</i>	<i>Cost estimates (2013/14)</i>	<i>Variance</i>	
				<i>Amount</i>	<i>Percentage</i>
	(1)	(2)	(3)	(4)=(3)-(2)	(5)=(4)÷(2)
I. Post resources	35 352.5	34 951.5	38 089.2	3 137.7	9.0
II. Non-post resources					
General temporary assistance	6 483.9	5 429.7	6 365.5	935.8	17.2
Consultants	1 246.6	3 898.7	3 711.5	(187.2)	(4.8)

Category	Expenditures (2011/12)	Apportionment (2012/13)	Cost estimates (2013/14)	Variance	
				Amount	Percentage
				(4)=(3)-(2)	(5)=(4)÷(2)
(1)	(2)	(3)	(4)=(3)-(2)	(5)=(4)÷(2)	
Official travel	2 071.8	1 845.0	1 978.6	133.6	7.2
Facilities and infrastructure	20 820.6	19 233.8	21 293.9	2 060.1	10.7
Communications	482.7	502.9	593.4	90.5	18.0
Information technology	9 929.1	8 455.5	8 153.4	(302.1)	(3.6)
Other supplies, services and equipment	9 022.7	9 841.0	10 215.2	374.2	3.8
<b>Subtotal II</b>	<b>50 057.4</b>	<b>49 206.6</b>	<b>52 311.5</b>	<b>3 104.9</b>	<b>6.3</b>
<b>Total (I+II)</b>	<b>85 409.9</b>	<b>84 158.1</b>	<b>90 400.7</b>	<b>6 242.6</b>	<b>7.4</b>
Enterprise resource planning <sup>a</sup>	47 185.2	37 337.6	18 668.8	(18 668.8)	(50.0)
<b>Total</b>	<b>132 595.1</b>	<b>121 495.7</b>	<b>109 069.5</b>	<b>(12 426.2)</b>	<b>(10.2)</b>

<sup>a</sup> Includes resource requirements for the enterprise resource planning project in the amount of \$18,668,800 based on the estimate presented in the fourth progress report of the Secretary-General on the enterprise resource planning project (A/67/360).

## 1. Office of the Under-Secretary-General

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

311. The mandate of the Office of the Under-Secretary-General was established by the General Assembly in its resolution 13 (I). The functions of the Office are set out in the Secretary-General's bulletin on the organization of the Department of Management (ST/SGB/2010/9).

312. The Office of the Under-Secretary-General for Management comprises the front office, the secretariat of the Headquarters Committee on Contracts and the Headquarters Property Survey Board, the Management Support Service, the Office of Enterprise Resource Planning (Umoja), the secretariat of the Administrative and Budgetary Committee (Fifth Committee) of the General Assembly and of the Committee for Programme and Coordination, the Management Evaluation Unit, the Policy and Oversight Coordination Service and the Executive Office of the Department of Management.

313. The secretariat of the Headquarters Committee on Contracts and the Headquarters Property Survey Board provides services to facilitate the review by the Committee and the Board of the proposed procurement cases and disposal of assets and issues recommendations to the Assistant Secretary-General for Central Support Services in accordance with the Financial Regulations and Rules of the United Nations. Pursuant to administrative instruction ST/AI/2011/8 and owing to the increased procurement authority of peacekeeping missions as of 2008, the Office has been tasked to provide training, monitoring and policy guidance to the local committees on contracts and the local property survey boards and to assess their functioning. The secretariat of the Headquarters Committee on Contracts services the pilot project of the independent bid protest system, which was established pursuant to General Assembly resolutions 61/246 and 62/269 and will be continued during the 2013/14 financial period.

314. The Management Support Service, in collaboration with DPKO and DFS, streamlines current business processes and develops business process re-engineering capacity within the Secretariat. The Management Support Service will work closely with DPKO and DFS on preparations to implement Umoja at Headquarters and in peacekeeping missions. Specifically, the Management Support Service will support the critical organization alignment activities before Umoja goes live, design and implement deployment preparation workshops, assist with the preparation and delivery of educational materials detailing the transition and coordinate deployment support activities to ensure the necessary level of readiness for the new processes and system.

315. The secretariat of the Fifth Committee provides substantive and technical services in support of the work of the Fifth Committee of the General Assembly, which is entrusted with responsibilities for administrative and budgetary matters. The responsibilities of the secretariat of the Fifth Committee include the provision of proactive assistance to the Chair and the Bureau of the Fifth Committee, strengthening and facilitating their work, including the provision of analytical and historical information on the proceedings of the Committee; and the 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.

316. During the budget period, the Management Evaluation Unit will conduct timely management evaluations of contested administrative decisions to determine whether those decisions comply with the Organization's applicable regulations, rules and policies. The Unit assists the Under-Secretary-General for Management in providing staff members requesting management evaluation with timely, written and reasoned responses regarding the outcome of management evaluations. In cases involving separation from service, the Management Evaluation Unit also conducts prompt evaluations of requests for the suspension of the implementation of administrative decisions pending the completion of the management evaluation process. The management evaluation process is designed to minimize the likelihood of costly litigation by correcting flawed administrative decisions before an appeal is brought before the United Nations Dispute Tribunal and, where possible, by facilitating the resolution of matters that are the subject of management evaluation requests.

317. The management evaluation process is also designed to strengthen managerial accountability and the confidence of staff in the Organization. The Unit assists the Under-Secretary-General for Management with respect to the implementation of accountability measures that have been established for managers to ensure their timely response to management evaluation requests and to ensure that decision makers are held accountable for their actions in accordance with relevant resolutions and regulations.

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*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 Positive feedback from Member States on services provided by the secretariat of the Fifth Committee and the Committee for Programme and Coordination (2011/12: 94 per cent; 2012/13: 100 per cent; 2013/14: 100 per cent)

*Outputs*

- 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 web pages of the Fifth Committee relating to peacekeeping matters

*Expected accomplishments**Indicators of achievement*

3.1 Increased efficiency and effectiveness of field operations

3.1 Average processing time for Headquarters Committee on Contracts cases is 7.5 business days (2011/12: 5.4 days; 2012/13: 7.5 days; 2013/14: 7.5 days)

3.2 90 per cent of members of local committees on contracts trained in the relevant mandatory basic training (2011/12: 92 per cent; 2012/13: 90 per cent; 2013/14: 90 per cent)

3.3 Sites for the implementation of the Umoja pilot (UNIFIL) and Umoja cluster 1 (3 major peacekeeping hubs) in accordance with the deployment plan

3.4 Review and respond to all management evaluation requests filed by peacekeeping staff members within 45 days (2011/12: 45 days; 2012/13: 45 days; 2013/14: 45 days)

3.5 Reduction of the percentage of cases proceeding to the United Nations Dispute Tribunal for formal litigation, i.e. a remedy was found or the original decision was overturned (2011/12: 62 per cent; 2012/13: 61 per cent; 2013/14: 60 per cent)

*Outputs*

- 90 Headquarters Committee on Contracts meetings and 20 Headquarters Property Survey Board meetings
- Review of 600 procurement actions and 250 disposal actions per fiscal period
- Organization of 20 training courses for members of local committees on contracts and local property survey boards in field operations
- Registration of 200 staff for the online training resource of the Headquarters Committee on Contracts and of 200 staff for the online training resource of the Headquarters Property Survey Board
- 4 assessment visits to field operations to monitor and assess the performance of local committees on contracts
- Provision of services to the secretariat of the Award Review Board, including the review of 10 cases and the organization of 1 workshop on industry best practices
- Predeployment educational materials supporting the preparation of staff for Umoja implementation at the pilot site (UNIFIL) and 3 peacekeeping deployment hubs under Umoja cluster 1
- 2 Umoja predeployment workshops at the pilot site (UNIFIL) and 3 peacekeeping deployment hubs under Umoja cluster 1

- Provision of 300 reasoned decisions on behalf of the Secretary-General on whether the request for management evaluation by peacekeeping staff members is receivable and, if so, whether the contested administrative decision complies with the applicable rules and regulations
- Provision of 15 reasoned decisions on requests for suspension of action submitted to the Secretary-General in cases involving the separation from service of peacekeeping staff members
- Identification of systemic issues in respect of the decision-making authority of managers serving in peacekeeping missions and issuance of guidance based on lessons learned

*External factors*

No significant increase in the number of cases received from field operations for review by the Headquarters Committee on Contracts, the Headquarters Property Survey Board and the Management Evaluation Unit; timeliness and sufficiency of managers' comments on cases submitted to the Management Evaluation Unit; completion of the Umoja system build and testing in according with the overall timeline

**(b) Human resources requirements**

<i>Category</i>	<i>Approved staffing 2012/13</i>	<i>Redeployment, reassignment, reclassification, abolition, discontinuation</i>	<i>General temporary assistance conversions</i>	<i>New posts/ positions requested</i>	<i>Total proposed 2013/14</i>	<i>Change</i>
<b>Posts</b>						
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	–	–	–	–	–	–
D-1	1	–	–	–	1	–
P-5	–	–	–	–	–	–
P-4	3	–	–	–	3	–
P-3	3	–	–	–	3	–
P-2/P-1	–	–	–	–	–	–
<b>Subtotal</b>	<b>7</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>7</b>	<b>–</b>
<b>General Service</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>8</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>8</b>	<b>–</b>
<b>General temporary assistance positions</b>						
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	–	–	–	–	–	–

Category	Approved staffing 2012/13	Redeployment, reassignment, abolishment, discontinuation	General temporary assistance conversions	New posts/ positions requested	Total proposed 2013/14	Change
D-1	-	-	-	-	-	-
P-5	-	-	-	-	-	-
P-4	1	-	-	-	1	-
P-3	-	-	-	1	1	1
P-2/P-1	-	-	-	-	-	-
<b>Subtotal</b>	<b>1</b>	<b>-</b>	<b>-</b>	<b>1</b>	<b>2</b>	<b>1</b>
<b>General Service</b>						
Principle 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>2</b>	<b>-</b>	<b>-</b>	<b>1</b>	<b>3</b>	<b>1</b>
<b>Grand total</b>	<b>10</b>	<b>-</b>	<b>-</b>	<b>1</b>	<b>11</b>	<b>1</b>

(c) **Justification of general temporary assistance positions**

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

*Capacity Development Officer (1 P-4 position, continuation)*

*Training and Analysis Assistant (1 GS (OL) position, continuation)*

318. The approved staffing establishment of the secretariat of the Headquarters Committee on Contracts and the Headquarters Property Survey Board comprises four continuing posts (1 D-1, 1 P-4, 1 P-3 and 1 GS (OL)) and two general temporary assistance positions (1 P-4 and 1 GS (OL)) funded from the support account. The secretariat provides services to the Committee, which reviews proposed procurement cases valued at over \$500,000 (\$200,000 for letters of assist), and to the Board, which reviews the proposed disposal of assets. Over 80 per cent of the cases reviewed by the Committee and the Board are related to peacekeeping missions. Since the Department of Management has overall responsibility for the procurement actions of the Organization, the secretariat is responsible, inter alia, for the following additional functions: training of members of local committees on contracts in the field; monitoring of the functioning of local committees on contracts to ensure that they have the adequate vetting capacity; and undertaking analyses of systemic issues and trends based on the recommendations of the Committee.

319. The Headquarters Committee on Contracts and the Headquarters Property Survey Board have established a capacity development programme for peacekeeping missions with regard to the local committees on contracts and property survey boards. The programme includes policy development activities and training and monitoring of the functioning of the local committees on contracts. Given the delegation of procurement authority, the monitoring role is considered a core function of the capacity development programme.

320. As part of the capacity development programme, as at 1 July 2012 the secretariat of the Headquarters Committee on Contracts, together with DFS, had conducted seven advisory missions to assess the functioning of the local committees on contracts in the following peacekeeping operations: UNAMID, MONUSCO, UNLB, UNSOA, MINUSTAH, UNMIL and UNOCI. The assessment focused on reviewing the relevant policy documents, the composition of the local committees on contracts, the training status of members and secretaries of local committees on contracts, case processing statistics, record-keeping, the organization of and preparation for meetings, the conduct of meetings of local committees on contracts, the quality of meeting minutes, client orientation, systemic issues and the implementation of the electronic Committee on Contracts system. During the 2011/12 period, the secretariat delivered 20 training courses in nine peacekeeping missions and certified 407 United Nations staff members in basic and advanced courses on local committees on contracts, local property survey board courses and minute-writing for secretaries and chairs of local committees on contracts. The capacity development staff also developed online reference tools, which have become a prerequisite for registration in the live training courses. A total of 682 staff members registered for the online tools in 2012.

321. Consequently, it is proposed that the two general temporary assistance positions of Capacity Development Officer (P-4) and Training and Analysis Assistant (GS (OL)) be continued so that the mandate can be sustained and the programme can be coordinated efficiently. The Capacity Development Officer would develop policies and establish standard operating procedures and guidelines; undertake the review, analysis, monitoring and evaluation of the functioning of local committees on contracts in peacekeeping missions in coordination with the Procurement Division and DFS; analyse the Headquarters Committee on Contracts recommendations and identify systemic issues and trends in the acquisition process; plan and organize the biennial conference of Chairs of the local committees on contracts, as well as field assessment missions; oversee training programme implementation in peacekeeping missions and the development and maintenance of Headquarters Committee on Contracts and Headquarters Property Survey Board e-learning resources, as well as the updating of the community of practice, which is a network for the informal sharing of information and knowledge among local committees on contracts in peacekeeping missions.

322. The Training and Analysis Assistant (GS (OL)) would continue to support the Capacity Development Officer and would be responsible for preparing, processing and following up on administrative arrangements, certificates, training materials and supplies and forms; maintaining and updating the database related to the travel programme, training evaluations and membership of the committees; updating information related to the membership of committees in the community of practice; and producing statistical reports related to training and providing administrative and maintenance services to support the new online resources on committees on contracts and property survey boards.

### **Management Evaluation Unit**

*Legal Officer (1 P-3 position, new)*

323. The approved staffing establishment of the Management Evaluation Unit does not comprise any post funded from the support account. The Unit reviews

management evaluation requests and advises the Under-Secretary-General for Management whether to uphold or reverse an administrative decision or identify a settlement agreement between the staff member and the Administration. The Unit is tasked to resolve requests so that the staff member does not later take his or her claim to the United Nations Dispute Tribunal and to make recommendations, if any, regarding the accountability of managers in the respective matters. The core functions of the Unit are: (a) to conduct timely, impartial and objective management evaluations of contested administrative decisions to determine whether they conform with the internal rules of the Organization; (b) to assist the Under-Secretary-General for Management in providing 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 in ensuring managerial accountability in the management of human and financial resources of the Organization.

324. In 2012, the Unit received 837 management evaluation requests, of which 251 (30 per cent) came from staff from peacekeeping operations. At the end of 2012, an accumulated backlog of 99 cases from 1,666 cases received in 2011 and 2012 remained. The completion of management evaluations for staff members in peacekeeping operations often involves extensive consultation with the decision makers in the missions and members of the Quality Assurance Unit in the Field Personnel Division of DFS at Headquarters, particularly when a resolution of matters is explored.

325. The Legal Officers in the Management Evaluation Unit are normally required to perform various essential tasks to complete the management evaluations within the tight time frames prescribed by the Staff Rules, which, in the case of requests submitted by staff members in offices away from Headquarters and in the field, is 45 days. Within this strict and narrow time frame, the Legal Officers are required to conduct receivability reviews of requests for management evaluation, and where requests are determined to not be receivable, to draft a reasoned response to staff members setting out the legal grounds for the same. Often the receivability review requires eliciting and considering submissions from the decision maker and extensive legal research.

326. The Legal Officers are also required to draft letters acknowledging receipt of management evaluation requests to staff members and written requests for comments to decision makers based on their review of the file material and designed to elicit the information required to conduct the management evaluation. If such information is not forthcoming from the decision maker, the Legal Officers are required to write follow-up requests or otherwise engage in follow-up consultations with the decision maker. Follow-up consultations are frequently required with the staff member and/or his or her counsel as well. Where appropriate, the Legal Officers are required to take the lead in or facilitate the informal resolution of disputes between the staff member and the decision maker.

327. When a request for management evaluation is not resolved or settled through informal means, the Legal Officers draft detailed management evaluations that set out the facts of the case; the respective legal positions of the Administration and the staff member; the applicable institutional legal instruments and jurisprudence; the application of the relevant law to the facts; and a recommended disposition of the case. They are also required to draft ancillary documents required to implement the

final decision of the Secretary-General. Management evaluation letters are very time-consuming and often involve extensive legal research. The Legal Officers are responsible for multiple requests at a given time and must juggle the requirements of each case to ensure that they are completed within the required time frame. As the Legal Officers are required to take responsibility for an ever-increasing number of requests for management evaluation, the quality, timeliness and effectiveness of the management evaluation process is inevitably affected.

328. In the light of the fact that requests from staff members serving in peacekeeping missions constitute the single largest group of requesters seeking management evaluation, and given the additional challenges for completing management evaluation requests submitted by staff members from peacekeeping operations outlined above, it is proposed that one general temporary assistance position of Legal Officer (P-3) be funded under the support account.

**(d) Financial resource requirements**

(Thousands of United States dollars)

Category	Expenditures (2011/12) (1)	Apportionment (2012/13) (2)	Cost estimates (2013/14) (3)	Variance	
				Amount (4)=(3)-(2)	Percentage (5)=(4)÷(2)
I. Post resources	1 480.8	1 333.0	1 488.3	155.3	11.7
II. Non-post resources					
General temporary assistance	482.8	413.0	558.5	145.5	35.2
Consultants	22.1	97.5	97.5	–	–
Official travel	308.7	156.9	156.0	(0.9)	(0.6)
Facilities and infrastructure	20 637.0	19 233.8	21 293.9	2 060.1	10.7
Communications	461.7	502.9	593.4	90.5	18.0
Information technology	904.9	1 103.2	817.9	(285.3)	(25.9)
Other supplies, services and equipment	7 902.1	8 515.3	8 918.7	403.4	4.7
<b>Subtotal II</b>	<b>30 719.3</b>	<b>30 022.6</b>	<b>32 435.9</b>	<b>2 418.1</b>	<b>8.1</b>
<b>Total (I+II)</b>	<b>32 200.1</b>	<b>31 355.6</b>	<b>33 924.2</b>	<b>2 568.6</b>	<b>8.2</b>
Enterprise resource planning <sup>a</sup>	47 185.2	37 337.6	18 668.8	(18 668.8)	(50.0)
<b>Total</b>	<b>79 385.3</b>	<b>68 693.3</b>	<b>52 593.0</b>	<b>(16 100.3)</b>	<b>(23.4)</b>

<sup>a</sup> Based on the estimate presented in the fourth progress report of the Secretary-General on the enterprise resource planning project (A/67/360).

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

Posts	Cost estimates	Variance
	\$1 488.3	\$155.3 11.7%

329. The provision would cover the salaries, common staff costs and staff assessments for the eight proposed posts. The higher requirements result from: (a) the application of lower vacancy factors to the cost estimates for the 2013/14

financial period compared with the rates factored in the resources approved for 2012/13 (see para. 28 above); and (b) the estimation of common staff costs at a higher percentage of net salaries compared with the budget for 2012/13 (see para. 29 above).

	<i>Cost estimates</i>	<i>Variance</i>	
<b>General temporary assistance</b>	\$558.5	\$145.5	35.2%

330. The requirements would provide for the proposed three general temporary assistance positions, as well as the replacement of staff on maternity or sick leave (6 person-months for the Professional category and 6 person-months for the General Service (Other level) category). The higher requirements result from: (a) the proposed establishment of one general temporary assistance position (P-3); (b) the application of lower vacancy factors to the cost estimates for the 2013/14 financial period compared with the rates factored in the resources approved for 2012/13 (see para. 28 above); and (c) the estimation of common staff costs at a higher percentage of net salaries compared with the budget for 2012/13 (see para. 29 above).

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Consultants</b>	\$97.5	–	–

331. The consultancy requirements are as follows:

(United States dollars)

<i>Expertise</i>	<i>Person-months</i>	<i>Amount</i>	<i>Output reference</i>
Award Review Board	6	97 500	90 Headquarters Committee on Contracts meetings and 20 Headquarters Property Survey Board meetings
<b>Total</b>		<b>97 500</b>	

332. The amount of \$97,500 is proposed for the engagement of consultants with technical expertise in specialized fields, including construction, engineering and aviation, for six person-months to assist the Award Review Board, which reviews the contested bids made by unsuccessful vendors. The experts should be independent from the United Nations to ensure the integrity of the process. It is estimated that the Award Review Board would receive 10 cases in the 2013/14 period. The estimates are based on the 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.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Official travel</b>	\$156.0	(\$0.9)	(0.6%)

333. 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	32 000	4 assessment visits to field operations to monitor and assess the performance of local committees on contracts
Training	124 000	Organization of 20 training courses for members of local committees on contracts and local property survey boards in field operations  Provision of 300 reasoned decisions on behalf of the Secretary-General on whether the request for management evaluation by peacekeeping staff members is receivable and, if so, whether the contested administrative decision complies with the applicable rules and regulations
<b>Total</b>	<b>156 000</b>	

334. The amount of \$32,000 is proposed for travel to conduct consultation visits to monitor and assess the performance of local committees on contracts.

335. The amount of \$124,000 is proposed for travel to undertake the following training-related activities: basic and advanced training courses, including specialized training on minute-writing, for members of local committees on contracts and local property survey boards in six different field locations, with emphasis on conducting training in regional offices (\$122,000); and attendance at the annual meeting of the American Society of International Law to improve understanding of the principles underpinning the institutional law of international organizations, in general, and the general principles of international law applicable to cases before the Management Evaluation Unit, in particular (\$2,000).

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Facilities and infrastructure</b>	\$21 293.9	\$2 060.1	10.7%

336. The amount of \$21,293,900 is proposed to provide for the standard rental of premises and for alterations, improvements and furniture centrally administered by the Executive Office of the Department of Management on behalf of DPKO (\$7,083,000); DFS (\$7,329,900); the Department of Management (\$5,296,700); OIOS (\$492,900); the Executive Office of the Secretary-General (\$79,500); the Office of Staff Legal Assistance (\$15,900); the Ethics Office (\$31,800); the Office of Legal Affairs (\$286,200); the Department of Public Information (\$63,600); the Department of Safety and Security (\$286,200); the secretariat of the Advisory Committee on Administrative and Budgetary Questions (\$15,900); and OHCHR (\$147,100). It also includes the acquisition of office supplies for the Department of Management (\$165,200).

337. The higher requirements are principally due to the revised lease rate for the rental of premises.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Communications</b>	\$593.4	\$90.5	18.0%

338. The amount of \$593,400 is proposed to provide for recurring 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 (\$541,600); for videoconferencing charges (\$5,900); and for mobile office technology and tokens for critical staff to enable remote access to the United Nations servers in the event that staff are unable to come to the office to carry out their duties (\$45,900).

339. The higher requirements are attributable to an increase in common service rates for mobile phones and desk phones.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Information technology</b>	\$817.9	(\$285.3)	(25.9%)

340. The amount of \$817,900 is proposed to cover requirements that are centrally administered by the Executive Office on behalf of the Department of Management for the maintenance and repair of information technology equipment based on the standard service-level agreement established by the Office of Information and Communications Technology (\$495,800); the acquisition of standard information technology equipment, including new and replacement desktop computers, laptop computers and network printers (\$82,300); the support account share (\$219,000) of central information technology infrastructure costs (information storage and backup, application hosting, departmental servers and other services), as derived from past expenditure patterns; and ongoing contractual support services for the maintenance of the electronic systems of the Headquarters Committee on Contracts and the Award Review Board, as well as maintenance of the Headquarters Committee on Contracts and Headquarters Property Survey Board online resources (\$20,800). Standard information technology is budgeted in accordance with the rates contained in the most recent estimating guide issued by the Office of Information and Communications Technology.

341. The reduced requirements are attributable to the fact that the resources for the acquisition of information technology equipment and software for the Procurement Division were reflected under the Executive Office of the Department of Management in the Office of the Under-Secretary-General in 2012/13 and are now reflected under the Office of Central Support Services, in order to allow for the appropriate management of the funds.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Other supplies, services and equipment</b>	\$8 918.7	\$403.4	4.7%

342. The amount of \$8,918,700 is proposed to cover after-service health insurance costs for retired peacekeeping staff (\$8,886,800), based on the projected annual population in 2013/14 and past period expenditure patterns; training materials for training provided to members of local committees on contracts and of local property survey boards (\$29,700); and training fees to attend the annual meeting of the Association for Human Resources Management in International Organizations (\$2,200).

343. The higher requirements are mainly attributable to the increased after-service health insurance costs for retired peacekeeping staff.

## **2. Office of Programme Planning, Budget and Accounts**

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

344. The mandate of the Office of Programme Planning, Budget and Accounts was established by the General Assembly in its resolution 13 (I). The functions of the Office are set out in the Secretary-General's bulletin on its organization (ST/SGB/2003/16).

345. As Chair of the IPSAS Steering Committee, the Office provides guidance and facilitates decision-making on key issues to ensure support for IPSAS from the Organization. As part of the Organization-wide IPSAS efforts, the following initiatives are being pursued: supporting the concerned offices in converting the IPSAS policy framework into a set of standard operating procedures; implementation of training and communications plans; supporting the preparation of accurate IPSAS-compliant opening balances as of 1 July 2013, as well as the transition to IPSAS-compliant transaction processing from 1 July 2013, and planning and executing a dry run of the preparation of IPSAS-compliant financial statements during the first year of IPSAS implementation. The Office will also continue to collaborate with and support the Umoja project to ensure that the transition plans for IPSAS are planned and executed so as to facilitate the deployment of Umoja.

346. The Accounts Division will continue to provide financial services, including payroll, payments and insurance, to peacekeeping missions and will carry out control and monitoring functions; provide financial guidance and assistance and prepare IPSAS-compliant peacekeeping financial statements for the first time; continue its efforts to improve processes to achieve efficiencies in meeting growing demands; and fully engage with the further advancement of the financial modules of the Umoja project and its deployment in peacekeeping operations. The Treasury will continue to provide guidance on policies and procedures for treasury functions and banking operations to peacekeeping missions; continue the investment and liquidity management of peacekeeping funds, the execution of monthly remittances to peacekeeping missions, the execution of payroll payments to internationally recruited staff members and the printing and distribution of cheques for income tax reimbursement for United States tax-paying staff members assigned to peacekeeping operations; continue to process amendments to the bank account signatory panels; provide technical support and guidance on the use of various banking systems; and fully engage with the further advancement of the treasury-related modules of the Umoja project. The Peacekeeping Financing Division will continue to provide guidance on policies, procedures and methodology for estimating the resource requirements of active peacekeeping operations and the support account for peacekeeping operations; prepare annual budget and performance reports for peacekeeping operations and the support account, final performance and disposition of assets reports for closed missions, as well as ad hoc reports on administrative and budgetary aspects; and provide services to the Advisory Committee on Administrative and Budgetary Questions and the Fifth Committee. The Division will also continue to monitor the cash-flow status of the individual special accounts for peacekeeping operations, authorize payments to Governments for settlement of certified contingent-owned equipment claims, determine average monthly troop strength to establish amounts reimbursable and initiate subsequent payments for troop and formed police unit cost reimbursement to Governments. The Financial Information Operations Service will continue to maintain and enhance financial information technology systems that support the mandates of the Office of

Programme Planning, Budget and Accounts, providing business analysis for requested changes in required systems and producing reports that provide information about financial activities. The priorities of the Service are to ensure that new and current business needs are met and existing systems are maintained and continue to be available so that the Office of Programme Planning, Budget and Accounts can carry out its financial activities in a timely manner and respond effectively to the needs of its clients. The Service's main challenges are to maintain existing systems and meet changing business requirements without unnecessarily investing in new systems or developments that would conflict with or be subsumed into Umoja. The Service will also be instrumental in supporting the migration to Umoja and in the transition planning for IPSAS and Umoja.

347. The Office comprises the Office of the Controller, the Accounts Division, the Treasury, the Programme Planning and Budget Division, the Peacekeeping Financing Division and the Financial Information Operations Service.

<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 (2011/12: 93 per cent; 2012/13: 100 per cent; 2013/14: 100 per cent)</p> <p>1.2 No negative comments in the legislative reports on the format and presentation of peacekeeping budgets, performance reports and other related reports (2011/12: 0; 2012/13: 0; 2013/14: 0)</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 (2011/12: 5 days; 2012/13: 5 days; 2013/14: 5 days)</p> <p>1.4 A positive audit opinion of the United Nations Board of Auditors on the peacekeeping financial statements (2011/12: positive; 2012/13: positive; 2013/14: positive)</p> <p>1.5 Financial statements are available to the Board of Auditors within 3 months of the end of the financial period (2011/12: 3 months; 2012/13: 3 months; 2013/14: 3 months)</p> <p>1.6 Monthly status of contributions available online by the end of the following month (2011/12: 1 month; 2012/13: 1 month; 2013/14: 1 month)</p>

#### *Outputs*

- 30 reports on budget performance and budget estimates for 12 active peacekeeping operations and UNSOA; 1 report on budget performance for UNMIT, 1 report on budget performance for UNSMIS, 1 report on the disposition of assets for UNMIS and 1 final performance report for MINURCAT
- 1 report on the updated financial position of closed peacekeeping operations

- 8 reports and notes on the administrative and budgetary aspects of the financing of United Nations field operations, including the overview report, support account for peacekeeping operations and UNLB
- 19 supplementary information packages provided to the Advisory Committee on Administrative and Budgetary Questions for 12 active peacekeeping operations and UNSOA, budget performance for UNMIT and UNSMIS, final performance report for MINURCAT, disposition of assets report for UNMIS, UNLB and the support account for peacekeeping operations
- Review and coordination of responses to follow-up questions from legislative bodies on 12 active peacekeeping operations and UNSOA, UNLB, MINURCAT, UNMIS, UNMIT, UNSMIS, the support account and cross-cutting issues
- A set of IPSAS-compliant financial statements and notes for all active and closed peacekeeping missions
- Status of contributions available online, including summary information and outstanding assessed contributions
- 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 finance-related reference tables in IMIS; development and enhancement of ad hoc applications

*Expected accomplishments**Indicators of achievement*

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

2.1 Banking operations set up within 3 months of the establishment of new peacekeeping operations (2012/13: 3 months; 2013/14: 3 months)

*Outputs*

- Provision of assistance to the peacekeeping operations in the selection of banks to provide the required banking services

*Expected accomplishments**Indicators of achievement*

3.1 Increased efficiency and effectiveness of field operations

3.1 IPSAS-compliant dry-run financial statements for all active peacekeeping missions (2011/12: not applicable; 2012/13: not applicable; 2013/14: 100 per cent)

3.2 Standard operating procedures developed to support IPSAS accounting and reporting

3.3 Liabilities for troops and formed police units do not exceed 3 months (2011/12: partially achieved; 2012/13: 3 months; 2013/14: 3 months)

3.4 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 (2011/12: 90 per cent; 2012/13: 90 per cent; 2013/14: 90 per cent)

3.5 Payments to troop-contributing countries are processed within the required time frames and in accordance with payment instructions provided by Member States (2011/12: budget preparation: timeliness, 46 per cent; quality of guidance, 51 per cent; budget implementation: timeliness, 45 per cent; quality of guidance, 48 per cent; 2012/13: achieved; 2013/14: achieved)

3.6 90 per cent of Headquarters payments are processed for international staff in field missions within 30 working days of the receipt of supporting documentation (2011/12: 87 per cent; 2012/13: 90 per cent; 2013/14: 90 per cent)

3.7 90 per cent of payments of invoices to vendors and travel claims of staff are processed within 30 working days of the receipt of supporting documentation (2011/12: 92 per cent; 2012/13: 90 per cent; 2013/14: 90 per cent)

3.8 Advice on insurance terms for peacekeeping contracts referred to the Insurance and Disbursement Service is provided within 30 working days of the receipt of the request (2011/12: 100 per cent; 2012/13: 100 per cent; 2013/14: 100 per cent)

3.9 95 per cent of communications to Member States for contributions are processed within 30 days after the adoption of resolutions (2011/12: 100 per cent; 2012/13: 95 per cent; 2013/14: 95 per cent)

3.10 Requests for financial delegation of authority are approved and processed within 2 weeks of receipt of required supporting documentation (2011/12: 98 per cent; 2012/13: 100 per cent; 2013/14: 100 per cent)

3.11 Peacekeeping support accounts investment pool rate of return equal to or above 90-day United States Treasury bill interest rate for United States dollar investments (United Nations benchmark)

3.12 100 per cent of payments requested for peacekeeping accounts processed within 2 business days (2011/12: 100 per cent; 2012/13: 100 per cent; 2013/14: 100 per cent)

3.13 100 per cent availability of service support to users of the financial and budget information system (2011/12: 100 per cent; 2012/13: 100 per cent; 2013/14: 100 per cent)

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*Outputs*

- Monitoring of 144 delegation of financial authority for field operations
- Monitoring of audit recommendations pertaining to accounting and budgetary aspects of field operations

- Provision of guidance and assistance in the preparation of the required data to determine the preliminary IPSAS opening balances
- Deployment of an instructor-led, intermediate and advanced training course on IPSAS
- Policy guidance provided to 12 peacekeeping operations and UNSOA, 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
- Visits to 4 peacekeeping operations to provide strategic advice and on-site assistance on budgetary and financial issues
- Visits to 4 peacekeeping operations to advise peacekeeping operations finance staff on treasury policies and procedures, cash management and banking-related issues
- 500 funding authorizations and 26 staffing table authorizations for peacekeeping operations, UNSOA, UNLB, Headquarters departments and offices, and peacekeeping trust funds on an ongoing basis
- 60 financial reports and other financial communications to donors for peacekeeping trust funds
- Organization and conduct of videoconferences with peacekeeping operations, UNSOA and UNLB, as and when required, on pending budget assumptions and justification issues during the performance and budget report finalization phase
- Training of personnel in 1 peacekeeping operation on the funds monitoring tool
- 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
- Processing of 20,000 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 and national peacekeeping staff and dependants
- Settlement of peacekeeping commercial insurance claims and the claims reviewed by the Advisory Board on Compensation Claims
- Processing of 3,500 investment settlements for peacekeeping operations in accordance with industry standards
- Timely issuance of the assessment letters and comprehensive reminders 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 timely provision of all requested data
- Delegation to field finance officers of the authority to act as approving officers
- United States dollar funds of peacekeeping accounts invested in accordance with United Nations approved guidelines
- Execution of approximately 2,800 electronic fund transfers, 900 foreign exchange purchases and 1,000 investment settlements
- Execution of approximately 83,000 payroll payments to approximately 8,000 members funded from peacekeeping accounts
- Recording of approximately 2,300 incoming payments for \$7 billion to peacekeeping accounts; and transfer of approximately 650 remittances for \$2.8 billion to peacekeeping bank accounts
- Processing of approximately 350 bank signatory amendments for peacekeeping bank accounts
- 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

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*External factors*

Assessments will be paid promptly, adequate insurance policies for peacekeeping missions will be offered continuously by the insurance industry, interest rates, rates of return and the exchange rate of the United States dollar and other currencies will be favourable and requests for delegation of financial authority will be received on a timely basis

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**(b) Human resources requirements**

<i>Category</i>	<i>Approved staffing 2012/13</i>	<i>Redeployment, reassignment, reclassification, abolishment, discontinuation</i>	<i>General temporary assistance conversions</i>	<i>New posts/ positions proposed</i>	<i>Total proposed 2013/14</i>	<i>Change</i>
<b>Posts</b>						
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	1	–	–	–	1	–
D-1	1	–	–	–	1	–
P-5	6	–	–	–	6	–

<i>Category</i>	<i>Approved staffing 2012/13</i>	<i>Redeployment, reassignment, abolishment, discontinuation</i>	<i>General temporary assistance conversions</i>	<i>New posts/ positions proposed</i>	<i>Total proposed 2013/14</i>	<i>Change</i>
P-4	26	–	–	–	26	–
P-3	19	–	–	–	19	–
P-2/P-1	2	–	–	–	2	–
<b>Subtotal</b>	<b>55</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>55</b>	<b>–</b>
<b>General Service and related</b>						
Principal level	4	–	–	–	4	–
Other level	44	(2)	–	–	42	(2)
<b>Subtotal</b>	<b>48</b>	<b>(2)</b>	<b>–</b>	<b>–</b>	<b>46</b>	<b>(2)</b>
<b>Total</b>	<b>103</b>	<b>(2)</b>	<b>–</b>	<b>–</b>	<b>101</b>	<b>(2)</b>
<b>General temporary assistance positions</b>						
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	–	–	–	–	–	–
D-1	–	–	–	–	–	–
P-5	1	–	–	–	1	–
P-4	1	–	–	–	1	–
P-3	5	(1)	–	–	4	(1)
P-2/P-1	1	–	–	–	1	–
<b>Subtotal</b>	<b>8</b>	<b>(1)</b>	<b>–</b>	<b>–</b>	<b>7</b>	<b>(1)</b>
<b>General Service and related</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>9</b>	<b>(1)</b>	<b>–</b>	<b>–</b>	<b>8</b>	<b>(1)</b>
<b>Total posts and positions</b>	<b>112</b>	<b>(3)</b>	<b>–</b>	<b>–</b>	<b>109</b>	<b>(3)</b>

**(c) Justification of posts****Accounts Division****Peacekeeping Accounts Section**

*Abolishment of one post (Accounting Assistant (GS (OL)))*

**Payroll Section**

*Abolishment of one post (Accounting Assistant (GS (OL)))*

348. In the light of the changes resulting from the progressive implementation of Umoja commencing in 2013, some processes in the areas of financial reporting, payroll and disbursements are based on manual or disparate systems which do not effectively interface with each other. They entail complex data entry, verification and approval tasks, which are time consuming. The transition to IPSAS coupled with the progressive deployment of Umoja will initially require an increased workload in the form of data collection, data conversion and the deployment of interim measures to generate IPSAS-compliant financial statements.

349. However, with the deployment of Umoja, legacy systems will be replaced by an integrated system, which will require less manual intervention than current processes. Overall, substantial benefits will be realized in terms of efficiencies and effectiveness as a result of the Umoja automated processes. It is therefore proposed that two posts of Accounting Assistant (GS (OL)) in the Division, one in the Peacekeeping Accounts Section and one in the Payroll Section, be abolished.

**(d) Justification of general temporary assistance positions****Office of the Controller****IPSAS Implementation Team**

*Project Manager (1 P-5 position, continuation)*

*IPSAS Officers (1 P-4 and 2 P-3 positions, continuation)*

350. The current staffing establishment of the IPSAS Implementation Team comprises four general temporary assistance positions (1 P-5, 1 P-4 and 2 P-3) funded from the support account.

351. Owing to the size and complexity of the IPSAS project, strong change management and project management functions are required for successful IPSAS implementation in peacekeeping operations. The aim of the change management function is to ensure readiness to apply IPSAS, from the transactional level to the production of financial statements, while maintaining stakeholder confidence in the ongoing work of the IPSAS project towards meeting its deliverables and timeline. The change management function is also aimed at preparing management to leverage the new information resulting from IPSAS to improve the management of peacekeeping operations.

352. In this context, it is proposed that the position of Project Manager (P-5) be continued to support the timely delivery of IPSAS, ensuring that detailed tasks towards IPSAS implementation are being effected accurately and in a timely manner by each peacekeeping operation, that risks at the mission level are being proactively managed and that an overview of the status of IPSAS implementation for

peacekeeping operations is presented to management at Headquarters for corporate-level risk management. The incumbent would continue to focus on project management and on communication, training and stakeholder management.

353. Accordingly, it is proposed that the three general temporary assistance positions of IPSAS Officer (1 P-4 and 2 P-3) for the IPSAS Implementation Team be continued. The IPSAS Officer (P-4) would continue to direct and coordinate the preparation of data supporting the balances for property, plant and equipment and inventories in the peacekeeping missions. The task would include: working with property managers or other designated officers in individual missions who will be effecting the preparation exercise on the ground; and working with consultants providing advice, reviewing the revised data for consistency, accuracy and completeness, and ensuring that a comprehensive record of assets is in place for each office to support the opening statement of financial position as well as IPSAS-compliant accounting during the first year of IPSAS.

354. One IPSAS Officer (P-3) would focus on incorporating best practices into the workflows, as well as detailed procedures and instructions that support IPSAS-compliant accounting and reporting, including developing guidelines for the reporting of budget information in the financial statements, using the appropriate financial statement format, and the reporting of segment information for peacekeeping operations, the recording of goods and services in kind, and the reporting of the right to use land/premises/property provided by local governments, which will require specific disclosures under IPSAS.

355. The second IPSAS Officer (P-3) would focus on supporting the design, configuration and implementation of the financial and accounting aspects of the Umoja system (for example, the chart of accounts), ensuring that the requirements to prepare IPSAS-compliant financial statements for peacekeeping operations are fully articulated to the Umoja project team. The incumbent would ensure, by working with the Umoja team, that the transactions that are obtained from Umoja are IPSAS-compliant and thus will be able to produce IPSAS-compliant financial statements.

## **Accounts Division**

### **Health and Life Insurance Section**

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

356. The approved staffing establishment of the Health and Life Insurance Section comprises four posts (1 P-4 and 3 GS (OL)) and one general temporary assistance position (GS (OL)) funded by the support account. The Section manages the insurance for staff and their families. The workload of the Section is directly related to the number of staff administered by Headquarters. The tasks of the Section include servicing clients in peacekeeping operations by processing insurance applications for new and reappointed staff, communicating with clients (staff members, their relatives and administrative officers), responding to queries and following up on the status of claims.

357. The harmonization of approximately 6,000 staffing contracts in July 2009 resulted in the offering of insurance benefits to more staff, which further increased the workload of the Section. Although it is envisaged that the level of peacekeeping operations will stabilize, the tasks associated with the position in question are not

expected to decrease for the time being. Accordingly, it is proposed that one general temporary assistance position of Finance Assistant (GS (OL)) be continued.

## **Treasury**

*Finance Officer (1 P-3 position, continuation)*

*Associate Finance Officer (1 P-2 position, continuation)*

358. The approved staffing establishment of the Treasury comprises seven posts (1 P-5, 3 P-4, 1 GS (PL) and 2 GS (OL)) and two general temporary assistance positions (1 P-3 and 1 P-2), including one post (P-5) and one general temporary assistance position (P-3) for the Global Banking Operations Section and three posts (1 P-4, 1 GS (PL) and 1 GS (OL)) and one general temporary assistance position (P-2) for the Cashier's Section, funded by the support account.

359. The significant increase in the scope of peacekeeping operations, from approximately \$2.5 billion in 2002/03 to approximately \$7 billion in 2012/13, and in the complexity of operations in peacekeeping missions, has led to the need for a Finance Officer (P-3) in the Treasury who can assist in identifying banking solutions for field missions. Approximately \$3 billion is disbursed annually in the field, a significant proportion of which is disbursed locally in countries with very limited banking infrastructure. The Treasury needs to ensure that such payments are made in the most efficient, secure and cost-effective manner possible. This can be done only by dispatching a Treasury specialist to the peacekeeping missions to meet with the senior management of local banks and to structure banking arrangements that meet the unique requirements of the United Nations, in particular in respect of cash payments. The introduction of electronic payment systems in peacekeeping missions has led to more than 200,000 payments being made annually. Despite extensive training, there are still errors in the formatting of payments that have led to additional bank charges. Although the Treasury has organized numerous training sessions at UNLB and the peacekeeping missions, the high turnover of staff requires continuous training.

360. Accordingly, it is proposed that one general temporary assistance position of Finance Officer (P-3) be continued in the Global Banking Operations Section to provide training on the use of electronic payment systems, to assist in establishing banking operations and arranging payments for peacekeeping missions, to arrange and coordinate the logistics for the transportation, storage and disbursement of cash and to process the documentation required for the opening and closing of United Nations bank accounts and amendments to bank signatory panels.

361. Given the significant increase in the number of payments processed by the Treasury for peacekeeping operations, it is proposed that one general temporary assistance position of Associate Finance Officer (P-2) be continued in the Cashier's Section. The Section processes all remittances to local bank accounts in the field.

362. For those field presences that maintain only local currency and United States dollar accounts, the Treasury processes foreign currency payments. Not only has the number of such foreign currency payments increased, but the large number of competitive procurement bids conducted in foreign currency on behalf of field offices grew from zero in 2003 to 450 in 2011/12, when the volume of such trade totalled \$300 million. Taking into account the increase in the complexity and volume of the payments processed by the Treasury, a staff member with extensive

knowledge of global payment processing is required to fully support the operations of the peacekeeping missions. Furthermore, the Treasury makes approximately 7,500 payroll payments per month to staff members in peacekeeping missions. The high turnover of staff in peacekeeping missions requires the Treasury to update payroll payment instructions on an ongoing basis. The number of IMIS payroll payment instruction records increased from 1,000 in 2003 to 6,000 in 2011/12. The incumbent would therefore assist in managing the day-to-day operations of the Section to ensure that the work related to recording Member State contributions, the disbursement of funds, foreign exchange and investment settlements and the maintenance of IMIS payee banking master data is conducted in a timely, accurate and efficient manner and that it is carried out in a secure environment, in accordance with the Financial Regulations and Rules of the United Nations and in line with industry best practices.

### **Peacekeeping Financing Division**

*Finance and Budget Officer (1 P-3 position, continuation)*

*Reduction of one position of Finance and Budget Officer (P-3)*

363. The approved staffing establishment of the Peacekeeping Financing Division comprises 33 posts (1 D-2, 1 D-1, 4 P-5, 10 P-4, 8 P-3 and 9 GS (OL)) and 2 general temporary assistance positions (P-3) funded from the support account.

364. The Division has experienced a significant workload volume over recent financial periods commensurate with the level of peacekeeping operations. For the 2013/14 period, the approved staffing establishment of the Division will be fully engaged in the preparation of budget/performance reports for 12 active peacekeeping operations, 4 missions in various stages of closure (MINURCAT, UNMIS, UNSMIS and UNMIT), UNSOA, UNLB, the support account and the cross-cutting reports, as well as monitoring and providing day-to-day guidance on budgetary and financial matters to field and Headquarters clients.

365. Given the outcome of the review on the budgetary process at Headquarters with respect to peacekeeping missions (see annex XII, sect. B), one of two currently approved general temporary assistance positions of Finance and Budget Officer (P-3) will not be continued. In addition to the reduction of that position, there would be reassignments and redeployments of responsibilities and posts within the existing resources of the Secretariat in order to strengthen the Division, which will play an expanded role in the streamlined budgetary process. The Secretary-General recommends the Division assume end-to-end budget responsibility, ensuring clear and transparent accountability of the budget process. It is, however, proposed that the second general temporary assistance position of Finance and Budget Officer (P-3) be continued. The incumbent would focus on the preparation of the disposition of assets report, financial backstopping and closure of the related trust fund for MINURCAT and the preparation of the performance report for the liquidation period of UNMIT.

366. The complete closure of other peacekeeping missions that were terminated in recent years took an average of three financial periods after liquidation, for which a series of reports are prepared for submission to the General Assembly (a performance report for the liquidation period, a disposition of assets report and a final performance report). On the basis of that experience, it is expected that the workload with respect

to MINURCAT and UNMIT will continue for three fiscal periods after the 2010/11 and 2012/13 periods, respectively, until the final performance reports for the missions have been presented to the General Assembly and the missions have been declared closed under the agenda item “Administrative and budgetary aspects of the financing of the United Nations peacekeeping operations”.

367. The incumbent may also provide support for ongoing missions, thereby releasing other staff from support to active peacekeeping operations for the development or update of standard operating procedures, training and guidance materials for budget formulation and implementation for staff in field missions and at Headquarters, support the Director and Deputy Director in the Division’s participation in such Organization-wide projects as Umoja and IPSAS and assist in the preparation of a systematic training plan for Division staff.

368. The development of procedures and training materials, as well as the organization of training workshops for field mission personnel, are essential to support field mission and Headquarters personnel, taking into account the high turnover of staff. The latest budget workshop for Chiefs/Directors of Mission Support and Chief Budget Officers was held in 2006, and there is a need for the Division to enhance its outreach and support to field missions. Furthermore, the Division currently has no dedicated staff to support the review and updating of existing standard operating procedures and training and guidance materials or to prepare new ones, and appropriate focused attention is therefore not being given to those tasks. That function is currently being carried out by existing staff in addition to their principal duties and only to the extent that those duties permit.

**(e) Financial resource requirements**

(Thousands of United States dollars)

<i>Category</i>	<i>Expenditures (2011/12)</i>	<i>Apportionment (2012/13)</i>	<i>Cost estimates (2013/14)</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	13 725.8	14 315.1	15 337.1	1 022.0	7.1
II. Non-post resources					
General temporary assistance	2 144.5	1 113.0	1 374.9	261.9	23.5
Consultants	597.1	3 351.9	3 364.0	12.1	0.4
Official travel	174.0	444.5	539.0	94.5	21.3
Information technology	830.9	1 097.9	879.9	(218.0)	(19.9)
Other supplies, services and equipment	207.8	272.0	256.6	(15.4)	(5.7)
<b>Subtotal II</b>	<b>3 954.3</b>	<b>6 279.3</b>	<b>6 414.4</b>	<b>135.1</b>	<b>2.2</b>
<b>Total</b>	<b>17 680.1</b>	<b>20 594.4</b>	<b>21 751.5</b>	<b>1 157.1</b>	<b>5.6</b>

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

<b>Posts</b>	<i>Cost estimates</i>	<i>Variance</i>	
	\$15 337.1	\$1 022.0	7.1%

369. The provision would cover the salaries, common staff costs and staff assessments for the 101 proposed posts. The higher requirements result from: (a) the application of lower vacancy factors to the cost estimates for the 2013/14 financial period compared with the rates factored in the resources approved for 2012/13 (see para. 28 above); and (b) the estimation of common staff costs at a higher percentage of net salaries compared with the budget for 2012/13 (see para. 29 above). The higher requirements are offset in part by the proposed reduction of two posts (GS (OL)).

<b>General temporary assistance</b>	<i>Cost estimates</i>	<i>Variance</i>	
	\$1 374.9	\$261.9	23.5%

370. The requirements would provide for the proposed continuation of eight general temporary assistance positions. The higher requirements result from: (a) the application of lower vacancy factors to the cost estimates for the 2013/14 financial period compared with the rates factored in the resources approved for 2012/13 (see para. 28 above); and (b) the estimation of common staff costs at a higher percentage of net salaries compared with the budget for 2012/13 (see para. 29 above). The higher requirements are offset in part by the reduction of one position of Finance and Budget Officer (P-3).

<b>Consultants</b>	<i>Cost estimates</i>	<i>Variance</i>	
	\$3 364.0	\$12.1	0.4%

371. The consultancy requirements are as follows:

(United States dollars)

<i>Expertise</i>	<i>Person-months</i>	<i>Amount</i>	<i>Output reference</i>
IPSAS implementation in peacekeeping missions	216	3 080 000	Provision of guidance and assistance in the preparation of the required data to determine the preliminary IPSAS opening balances
Actuarial services	1	5 000	A set of IPSAS-compliant financial statements and notes for all active and closed peacekeeping missions
IPSAS training	12	279 000	Deployment of an instructor-led, intermediate and advanced training course on IPSAS
<b>Total</b>		<b>3 364 000</b>	

372. An amount of \$3,080,000 is proposed for the engagement of consultants for 216 person-months to support the deployment of the opening balance plan to produce the initial IPSAS statements of financial position as well as IPSAS-compliant recording of transactions during the first year of IPSAS implementation. This would include support for the IPSAS "dry run" in peacekeeping missions,

which is the process of validating the systems and processes that support the preparation of IPSAS-compliant financial statements using real data. The dry run is a critical task, as the opening balances will be reviewed by the Board of Auditors during the dry run and the process will inform any necessary changes to IPSAS policies and procedures, accounting and reporting to ensure that the peacekeeping financial statements are IPSAS-compliant. The consultants would also assist in the development and application of corporate-level guidance/manuals and specific office-level standard operating procedures as well as the deployment of Umoja as the information backbone to ensure IPSAS-compliant accounting and reporting for peacekeeping missions. The consultants would also support the project management function to ensure that the planned IPSAS activities are kept on track.

373. An amount of \$5,000 is proposed for the engagement of one consultant with specialized expertise in the actuarial valuation of peacekeeping personnel benefits, such as repatriation, annual leave and after-service health insurance, to assist in the reporting of actuarial valuation and disclosure of liability in relation to staff benefits as required by IPSAS.

374. An amount of \$279,000 is proposed for the engagement of one consultant for 12 months, including \$99,000 for travel to 12 peacekeeping operations, UNSOA and the Global Service Centre (each mission for seven days) to facilitate instructor-led training at the advanced level on the preparation of IPSAS-compliant financial statements and Umoja.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Official travel</b>	\$539.0	\$94.5	21.3%

375. 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	165 000	Provision of guidance and assistance in the preparation of the required data to determine the preliminary IPSAS opening balances  A set of IPSAS-compliant financial statements and notes for all active and closed peacekeeping missions  Provision of health and life insurance to all eligible international and national peacekeeping staff and dependants
Technical support	135 000	Visits to 4 peacekeeping operations to provide strategic advice and on-site assistance on budgetary and financial issues  Visits to 4 peacekeeping operations to advise peacekeeping operations finance staff on treasury policies and procedures, cash management and banking-related issues
Seminars/conferences/workshops	24 000	Negotiation and administration of 12 insurance policies that cover peacekeeping operations, including the master aviation policy and the worldwide vehicle policy  Provision of advice to peacekeeping operations on financial regulations and rules; accounting policies, procedures and practices; and insurance matters

<i>Type of travel</i>	<i>Amount</i>	<i>Output reference</i>
Training	215 000	Provision of guidance and assistance in the preparation of the required data to determine the preliminary IPSAS opening balances Training of personnel in 1 peacekeeping operation on the funds monitoring tool Provision of advice to peacekeeping operations on financial regulations and rules; accounting policies, procedures and practices; and insurance matters Maintenance of charts of accounts and other finance-related reference tables in IMIS; development and enhancement of ad hoc applications Deployment of an instructor-led, intermediate and advanced training course on IPSAS
<b>Total</b>	<b>539 000</b>	

376. An amount of \$165,000 is proposed to undertake the following mission planning/assessment/consultation activities: to provide guidance to peacekeeping operations on accounting policies and financial procedures and review issues related to the audit findings for the 2012/13 period (\$40,000); to meet with the administrative representatives of peacekeeping missions to assess the implementation of third-party administration for the medical insurance plan for local staff in peacekeeping missions, to review the quality of services provided and to discuss coverage requirements and other issues (\$19,000); and to determine IPSAS opening balances for the preparation of IPSAS-compliant dry-run financial statements (\$106,000).

377. An amount of \$135,000 is proposed to undertake the following technical support activities: to provide on-site advice and assistance on budget and financial issues (\$100,000); and to advise peacekeeping operations finance staff on treasury policies and procedures, cash management and banking-related issues (\$35,000).

378. An amount of \$24,000 is proposed for participation in the following seminars/conferences/workshops: the annual meeting of the World Bank and the International Monetary Fund, to ensure that the Treasury is up to date on global financial issues (\$5,000); a seminar on investments and foreign currency markets (\$5,000); the annual workshop of the Task Force on Accounting Standards; meetings of the IPSAS board (\$10,000); and a workshop in order to meet with commercial insurance experts from other international organizations (\$4,000).

379. An amount of \$215,000 is proposed to undertake the following training-related activities: to deploy instructor-led, intermediate and advanced training on IPSAS (\$101,000); to facilitate a five-day workshop for the Chief Finance Officers of peacekeeping operations (\$47,000); to provide training to peacekeeping operations on budget-related matters (\$40,000); and to attend external information technology training to enhance technology skills in order to ensure that financial systems are maintained in line with technological changes (\$27,000).

380. The higher requirements are primarily attributable to travel related to providing on-site consultation and training to peacekeeping operations on budget-related matters.

	<i>Cost estimates</i>	<i>Variance</i>
<b>Information technology</b>	\$879.9	(\$218.0) (19.9%)

381. An amount of \$879,900 is proposed to provide for non-standard resources for the acquisition of software licences and fees (\$730,300) and contractual services for ongoing support (\$149,600), to meet peacekeeping business needs, as indicated in the table and paragraphs below.

382. The amount for software licences and fees (\$730,300) is required for the maintenance and support of existing financial software and systems, including, for example, the Bloomberg Asset and Investment Manager application, which is utilized for portfolio risk management, SWIFT, which is the interbanking transfer application, and the Operations Processing Integrated Control System utilized for treasury management.

### **Non-standard information technology by category**

(United States dollars)

#### **Contractual services**

##### **Ongoing support**

Maintenance of field applications	59 700
Implementation of software and systems upgrades	44 200
Additional information technology infrastructure	31 500
Additional desktop services	14 200
<b>Total</b>	<b>149 600</b>

#### **Ongoing support services**

##### **Maintenance of field applications**

383. An amount of \$59,700 is proposed for contractual services to provide tier-3 level support for the funds monitoring tool, a system used by Headquarters and peacekeeping operations to interface financial data from the field with Headquarters systems, for a six-month period until the planned discontinuation of the Funds Monitoring Tool at the end of 2013, pursuant to the implementation of Umoja in the field.

##### **Implementation of software and systems upgrades**

384. An amount of \$44,200 is proposed for contractual services to implement upgrades and provide maintenance of HP-UX, Sybase and Sun Solaris, which form the support system for the interbanking transfer application; to provide maintenance for the financial authorization system; and to upgrade software for other finance- and treasury-specific applications. System upgrades are essential for enabling existing software to function in a developing information technology environment and to meet the requirements under the service-level agreement with external vendors of the software, external contractual personnel or the Office of Information and Communications Technology in order to obtain future service support or specialized support.

### **Additional information technology infrastructure**

385. An amount of \$31,500 is proposed for contractual services provided by the Office of Information and Communications Technology for the additional information technology infrastructure requirements of the Office associated with the expected growth in existing application environments, not included in the centrally administered standard information technology infrastructure provision.

### **Additional desktop support**

386. An amount of \$14,200 is proposed for contractual services to provide such additional desktop services as maintenance and repair support beyond the standard usage of the Office normally covered under the standard-level agreement for desktop services, for example for Treasury functions that require additional desktop power.

387. The reduced requirements are primarily attributable to: (a) the discontinuation of the system upgrade for the operations processing integrated control system as a result of a dispute with the vendor; and (b) the fact that the operations processing integrated control system and the Funds Monitoring Tool will be discontinued and replaced by Umoja after December 2013.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Other supplies, services and equipment</b>	\$256.6	(\$15.4)	(5.7%)

388. An amount of \$256,600 is proposed to provide for the payment of annual bank fees for Treasury (\$150,000); the cost of IPSAS-related training materials (\$57,600); the training fees for external technical courses in the area of information technology (\$37,000); and the cost of mailing banking information (\$10,000) and training materials for the Chief Finance Officers workshop (\$2,000).

389. The lower requirements are attributable to lower bank fees, owing to the use of an automated clearing house for processing payments rather than wire transfers, at a lower cost, offset in part by the increased requirements for printing and shipping IPSAS-related training materials.

## **3. Office of Human Resources Management**

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

390. The mandate of the Office of Human Resources Management was established by the General Assembly in its resolution 13 (I). The functions of the Office are set out in ST/SGB/2011/4. The priority of the Office of Human Resources Management will be realizing the Secretary-General's vision of an integrated Organization that can truly deliver as one.

391. The reform initiatives in human resources management approved by the General Assembly in its resolutions 63/250, 65/247 and 65/248 include modalities for a continuing contract and the harmonization of conditions of service, as well as reforms in the areas of recruitment, mobility and career development. Building on these reforms, in the forthcoming budget period the Office will continue to provide support and guidance on human resources policies and staff administration with respect to the new contractual arrangements and harmonization of conditions of service under the framework of human resources management reform.

392. The Office will continue to implement the United Nations human resources reform agenda in field operations, using the new talent management system and its electronic support tool, Inspira. The Office will implement outreach and sourcing strategies through strengthened collaboration with Member States, departments, external organizations and other United Nations entities, and identify high-quality candidates, with particular emphasis on finding optimal candidates for positions in field operations. The Office will also continue to report to Member States on their respective national staff information.

393. The Office will continue to support the implementation of the Performance Management and Development system, including the e-performance tool, which was launched globally in April 2012. The Office will continue to coordinate and facilitate the implementation of mandatory performance management training for all supervisors in field operations and DPKO/DFS offices at Headquarters and to provide policy support on performance management.

394. The Office will continue to assist the Secretary-General in developing and supporting mobility initiatives throughout the Secretariat, including peacekeeping operations. The focus will be on developing and rolling out tools that increase staff opportunities for geographic and functional mobility within individual duty stations and between Headquarters and field operations, and to support the development of an agile, global, adaptable and dynamic and diverse workforce, ready to respond to the evolving mandates of the Organization. The Office of Human Resources Management will maintain strategic partnerships with DPKO and DFS to meet the changing needs of peacekeeping operations. It will continue to provide consultation and guidance on various human resources-related issues, including conversions to continuing appointments, terminations of appointments (due to closure of missions, agreed terminations, health reasons and abandonment of post), outside activities and child/family support issues.

395. Furthermore, the Medical Services Division will promote and maintain staff health, while ensuring medical compatibility with job requirements through the development and promulgation of United Nations policies on health-care issues and coordinating and monitoring their implementation. The Division also performs and reviews medical examinations, provides travel health advice, pre- and post-mission consultations and psychosocial support for staff. In addition, the Division will provide medical advice to United Nations medical facilities system-wide, provide advice on technical and professional aspects of the functioning of United Nations civilian clinics of peacekeeping missions, provide technical clearance and participate in interviews for the appointment of physicians and other medical staff for positions in peacekeeping missions and perform on-site assessments of health facilities at field duty stations and regional evacuation centres. The Division will continue to implement the electronic medical records and occupational health management system (EarthMed) in peacekeeping missions to improve the delivery of health care to United Nations field staff and to increase its efficiency in the performance of and monitoring of medico-administrative functions.

396. The Office will provide support to all peacekeeping operations for the implementation of mission-specific emergency response plans and ensure compliance with medical emergency and mass casualty incident management plans. The Medical Services Division, in partnership with the Field Personnel Division of DFS and the Department of Safety and Security, will contribute to the development

of an emergency response capacity in peacekeeping operations through orientation and training programmes for peacekeeping staff and managers, including medical personnel and members of the crisis management teams/security management teams operating under the United Nations security management system.

397. The Office comprises the Office of the Assistant Secretary-General, the Human Resources Policy Service, the Strategic Planning and Staffing Division, the Learning, Development and Human Resources Services Division, the Medical Services Division and the Human Resources Information Systems Section.

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*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 Member States have access to online reports on human resources information for field operations (2011/12: available; 2012/13: available; 2013/14: available)

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*Outputs*

- Annual report on the composition of the Secretariat, including staff demographics for field operations
- Online reports for Member States on human resources information for field operations, including support for 400 users in the permanent missions

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*Expected accomplishments*

*Indicators of achievement*

3.1 Increased efficiency and effectiveness of field operations

3.1 100 per cent compliance of 12 peacekeeping operations and UNSOA with standards specified in new human resources management scorecard in exercising delegated authority for human resources management (2011/12: not applicable; 2012/13: not applicable; 2013/14: 100 per cent)

3.2 Continuous training and guidance on performance management and development system (tool and policy) conducted in 100 per cent of field operations (2011/12: 100 per cent; 2012/13: 100 per cent; 2013/14: 100 per cent)

3.3 Response to all mission medical evacuation requests and requests for medical clearance for urgent deployment provided on the same day (2011/12: 100 per cent; 2012/13: 100 per cent; 2013/14: 100 per cent)

3.4 Capacity in medical emergency response established in 3 peacekeeping operations (UNAMID, UNMISS and UNIFIL) (2011/12: not applicable; 2012/13: 2 missions; 2013/14: 3 missions)

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*Outputs*

- Guidance to 12 peacekeeping operations and UNSOA on the exercise of delegated authority for human resources management, including through mission support visits

- Clearance and certification of 120 chief administrative officers and chief civilian personnel officers in field operations and all Professional officers with responsibilities for personnel administration and for performing human resources functions in DFS and in field operations
- 6-8 outreach missions to identify candidates for field operations
- Human resources management scorecard reporting for all field operations including Management Performance Board
- Provision of guidance using instructional manuals and other tools to support peacekeeping operations on the implementation of the Inspira talent management system
- Conduct of comprehensive and interim salary surveys for MONUSCO, UNDOF, UNIFIL, UNSOA and UNMIK; issuance of revised salary scales for the General Service and the National Professional Officer category, as applicable
- Review and approval of up to 50 generic job profiles for usage within field operations and in accordance with the upcoming implementation of Umoja
- Provision of policy advice on matters affecting mission staff, including on policy framework development, contractual modalities, harmonization of conditions of service, and liaison within the International Civil Service Commission and the field group; contribution to interdepartmental development of a new mobility framework
- Provision of legal advice to address administrative law issues, representation of the Administration before the Dispute Tribunal (New York, Nairobi and Geneva) and processing of disciplinary matters referred for action by DFS
- Online training, guidance and user support on the e-performance tool made available for all staff in field operations
- Provision of guidance, advice and support on performance management to all staff in field operations through videoconferences, WebEx, briefings and teleconferences
- Development of tools to support geographical and functional mobility across the Secretariat, including peacekeeping missions
- Provision of 2,800 consultations and guidance on various human resources-related issues with respect to the staff members of peacekeeping operations
- Provision of administrative support for approximately 300 requests related to the termination of appointments owing to health reasons or abolishment of posts, agreed termination, abandonment of posts, outside activities, special leave with full/half pay, waiver of privileges and immunities, administrative reviews and appeals and exceptions to staff rules and regulations
- Formulation and review of United Nations policies on health care, development of preparedness plans for public health and other emergencies (for example, pandemics, emerging infectious diseases and mass casualty incidents), so as to promote and maintain staff health
- Provision of advice on technical and professional aspects of the functioning of the entire mission medical support system, through the evaluation and monitoring of 72 United Nations civilian medical units and provision of professional oversight to 19 chief medical officers
- Technical clearance of 200 curricula vitae of candidates for medical positions in field operations

- 1 regional meeting of chief medical officers for the updating of medical and medico-administrative policies, training in emergency response and mass casualty preparedness planning
- 3 on-site assessments of field mission medical facilities in response to requests, and of 1 regional medical evacuation centre linked to peacekeeping missions
- Medical clearance of 7,000 mission staff/candidates, military observers and civilian police for recruitment/assignment/travel; 5,000 pre-mission briefings and medical consultations; 1,500 immunizations and issuance of medical kits for staff travelling to field operations
- 400 pre-mission psychological assessments and consultations, 12 mission-readiness and wellness workshops for Headquarters staff planning to work in field missions
- Certification of sick leave for 1,300 staff of peacekeeping missions, DPKO and DFS
- Advice to the United Nations Joint Staff Pension Fund on 40 disability pension cases for staff of peacekeeping missions, DPKO and DFS, and advice on 400 medical compensation claims for civilian staff, military observers, civilian police and troops
- Development of standardized procedures and guidelines for emergency medical and mass casualty incident preparedness and response for 3 peacekeeping operations (UNAMID, UNMISS and UNIFIL)
- Implementation of electronic medical records and occupational health management system (EarthMed) in 2 peacekeeping operations (UNOCI and UNMISS) and support for the system in 4 peacekeeping operations (UNLB, UNMIK, MINUSTAH and UNIFIL)
- Provision of product enhancement support for Inspira to all field operations
- Provision of support on Inspira for more than 24,000 peacekeeping field personnel
- Online human resources reports for human resources practitioners in peacekeeping operations, including support for field operations users
- Customization and roll-out of online learning courses and other web-based training materials, as part of the Inspira system, for all peacekeeping operations
- Help desk support and training associated with more than 100 IMIS human resources queries per week from field operations

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*External factors*

- Vendors will meet their obligations under the talent management system and other information system contracts
  - National institutions will be supportive of efforts to improve the local health environment and facilities at missions locations
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**(b) Human resources requirements**

<i>Category</i>	<i>Approved staffing 2012/13</i>	<i>Redeployment, reassignment, reclassification, abolishment, discontinuation</i>	<i>General temporary assistance conversions</i>	<i>New posts/ positions proposed</i>	<i>Total proposed 2013/14</i>	<i>Change</i>
<b>Posts</b>						
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	–	–	–	–	–	–
D-1	–	–	–	–	–	–
P-5	2	–	–	–	2	–
P-4	15	–	–	–	15	–
P-3	9	–	–	–	9	–
P-2/P-1	1	–	–	–	1	–
<b>Subtotal</b>	<b>27</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>27</b>	<b>–</b>
<b>General Service and related</b>						
Principal level	1	–	–	–	1	–
Other level	19	(1)	–	–	18	(1)
<b>Subtotal</b>	<b>20</b>	<b>(1)</b>	<b>–</b>	<b>–</b>	<b>19</b>	<b>(1)</b>
<b>Total</b>	<b>47</b>	<b>(1)</b>	<b>–</b>	<b>–</b>	<b>46</b>	<b>(1)</b>
<b>General temporary assistance positions</b>						
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	–	–	–	–	–	–
D-1	–	–	–	–	–	–
P-5	–	–	–	–	–	–
P-4	2	–	–	–	2	–
P-3	6	(1)	–	–	5	(1)
P-2/P-1	2	–	–	–	2	–
<b>Subtotal</b>	<b>10</b>	<b>(1)</b>	<b>–</b>	<b>–</b>	<b>9</b>	<b>(1)</b>
<b>General Service and related</b>						
Principal level	1	–	–	–	1	–
Other level	10	–	–	–	10	–
<b>Subtotal</b>	<b>11</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>11</b>	<b>–</b>
<b>Total</b>	<b>21</b>	<b>(1)</b>	<b>–</b>	<b>–</b>	<b>20</b>	<b>(1)</b>
<b>Total posts and positions</b>	<b>68</b>	<b>(2)</b>	<b>–</b>	<b>–</b>	<b>66</b>	<b>(2)</b>

(c) **Justification of posts**

**Medical Services Division**

**Staff Counsellor's Office**

*Abolishment of one post (Receptionist (GS (OL)))*

398. The approved staffing establishment of the Staff Counsellor's Office comprises 3 posts (2 P-3 and 1 GS (OL)) funded from the support account, of which one post is for a Receptionist (GS (OL)).

399. The Receptionist (GS (OL)) organizes the operations of the Office (reception, appointment scheduling, phone services, et cetera) and assists in organizing the training of mission focal points in mission support and mission readiness. In view of the need to prioritize the activities of the Office within approved resources, only one mission-readiness workshop is now organized in the field each year and the related workload has decreased. It is therefore proposed that the post of Receptionist (GS (OL)) be abolished and that its functions be combined with those of the Administrative Assistant (P-3) post approved for the Office.

(d) **Justification of general temporary assistance positions**

**Human Resources Policy Service**

**Administrative Law Section**

*Associate Legal Officer (1 P-2 position, continuation)*

*Reduction of 1 Legal Officer (P-3) position*

400. The approved staffing establishment of the Administrative Law Section comprises eight posts (3 P-4, 3 P-3, 1 P-2 and 1 GS (OL)) and two general temporary assistance positions of Legal Officer (1 P-3 and 1 P-2) funded from the support account, including four posts (1 P-4, 2 P-3 and 1 P-2) that make up the Disciplinary Unit, which is responsible for handling disciplinary cases arising from field missions and acts as counsel for the respondents before the United Nations Dispute Tribunal. The Unit handles all disciplinary matters referred to the Office of Human Resources Management for action. The work involves reviewing investigation reports, making recommendations on whether to pursue disciplinary action, charging staff members, making recommendations on the final disposition of a case and preparing all related documentation. During the 2011/12 period, the Unit was responsible for handling approximately 258 individual disciplinary matters.

401. In this context, it is proposed that one general temporary assistance position of Legal Officer (P-2) be continued to address the remaining backlog in disciplinary cases and related appeals originating from field missions. With the introduction of the new system of administration of justice, the United Nations Dispute Tribunal has made it clear that disciplinary matters must be processed in an expeditious manner while at the same time ensuring that the evidential basis of each case can withstand scrutiny and that staff members' rights to due process have been upheld.

402. As the number of cases handled by the Administrative Law Section during 2011/12 has decreased to 258 from 341 in 2010/11, the continuation of one Legal Officer (P-3) position is no longer necessary for 2013/14.

## **Learning, Development and Human Resources Services Division**

### **Career Support and Performance Management Section**

*Human Resources Officer (Mobility) (1 P-3, continuation)*

*Human Resources Officer (Performance Management) (1 P-3, continuation)*

*Human Resources Assistant (Mobility) (1 GS (OL), continuation)*

403. The approved staffing establishment of the Learning, Development and Human Resources Services Division comprises seven posts (2 P-4, 1 GS (PL) and 4 GS (OL)) and three general temporary assistance positions (2 P-3 and 1 GS (OL)) funded from the support account. Within the Division, the Career Support and Performance Management Section comprises only three general temporary assistance positions funded from the support account (2 P-3 and 1 GS (OL)). The Division is responsible for human resources development and learning and, through its Career Support and Performance Management Section, manages the provision of career support services, including a range of personal and professional development programmes for United Nations staff. In addition, it conceptualizes, implements and manages career development and staff mobility programmes, including the rotation programmes for staff members at the P-1 and P-2 levels, as well as other mobility initiatives, and ensures the effective implementation of the Organization's human resources performance management and development system.

404. The Office of Human Resources Management will continue to support the Secretary-General's vision of a global, adaptable and dynamic workforce by reviewing and assessing a range of mobility initiatives with the overall objective of developing a global mobility framework. This will include support for the working group on career development and mobility within the context of the Staff-Management Coordination Committee.

405. The e-performance system was rolled out to all peacekeeping missions after a two-year pilot project undertaken in UNMIL, and hands-on training was provided through a train-the-trainers programme. As a result of the roll-out of the system, continued guidance, support and training are required, including continued end-user training on the use of the e-performance tool, the mandatory performance management training for all managers and supervisors, updates/training on any enhancements and the provision of guidance and advice with regard to the performance management policy.

406. Given that the Section has no dedicated posts funded from the support account to provide mobility and performance management support to field operations, it is proposed that the three general temporary assistance positions of Human Resources Officer (2 P-3) and Human Resources Assistant (1 GS (OL)), who serve as dedicated focal points for DFS and all peacekeeping missions on all aspects of support for performance management and mobility, be continued.

407. Specifically, one Human Resources Officer (P-3) dedicated to mobility would continue to serve as the focal point for peacekeeping operations and provide overall support to the working group on career development and mobility. The Officer would ensure appropriate and adequate communication and consultation on the development of a comprehensive mobility framework with staff members serving in peacekeeping operations and ensure that their needs and views are reflected in the proposed framework. The Officer would contribute to the preparation of a

comprehensive mobility framework to be proposed at the sixty-eighth session of the General Assembly. She or he would contribute to the development and implementation of related programmes (for example, support for spouses and families, and career development and counselling) to ensure successful implementation and adequate support for staff members serving in peacekeeping operations. The Human Resources Officer would also conduct information and briefing sessions to sensitize staff members on the positive impact of mobility for their career development and to ensure fair rotation between staff at Headquarters, offices away from Headquarters and staff in peacekeeping missions.

408. One Human Resources Assistant (GS (OL)) dedicated to mobility would continue to support the Human Resources Officer on all matters related to consultations with staff of peacekeeping missions. The Assistant would prepare all documents and facilitate briefing and information sessions on the comprehensive mobility framework, with a view to ensuring a successful communication and outreach campaign that encourages movement among duty stations and peacekeeping operations.

409. The Human Resources Officer (P-3) dedicated to performance management would continue to provide hands-on user training and orientation sessions and, in partnership with DFS, coordinate and facilitate the mandatory performance management training for all managers and supervisors to ensure full compliance with the performance management and development system. The incumbent would ensure increased compliance with the performance management policy and provide support for certified trainers who deliver the mandatory performance management training for supervisors and managers. She or he would continue to serve as a dedicated focal point for DFS and peacekeeping missions on all aspects of support for performance management, including the building of local capacity at the mission level and continued maintenance of a focal point network in peacekeeping missions.

#### **Human Resources Information Systems Section**

410. The approved staffing establishment of the Human Resources Information Systems Section comprises 3 posts (1 P-4, 1 P-3 and 1 GS (OL)) and 16 general temporary assistance positions (2 P-4, 3 P-3, 1 P-2, 1 GS (PL) and 9 GS (OL)) funded from the support account. The Section is located at Headquarters and in Bangkok.

411. The core function of the Human Resources Information Systems Section is to develop and improve information systems to support the implementation of human resources reforms in the United Nations, including in peacekeeping operations. Core activities include project management and production support for human resources information systems, including Inspira. The Section is providing project management, production, reporting and technological infrastructure support for system enhancements in the areas of recruitment, learning management and performance management. 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. In addition, the Section will support and facilitate the implementation of enterprise resource planning in the field and the integration of such planning with the Inspira system for the field staff data elements.

412. During 2013/14, the Human Resources Information Systems Section will continue to enhance the data warehouse, HR Insight, which will include the creation and roll-out of online dashboard/scorecard capacity to provide human resources practitioners and programme managers in peacekeeping missions with self-service tools, as well as maintaining online access to human resources data for Member States. HR Insight provides a consolidated view of all the personnel across the Organization to both internal practitioners and Member States. It will also provide consistent quality data, enabling analysts and management to proactively identify problems and opportunities.

413. The Section is also providing development, maintenance, production and user support to Inspira through the Inspira Support Centre in Bangkok. The Centre provides technical application expertise to support the global implementation of the software for the Inspira programme by designing new and optimizing current processes, managing complex implementation projects, providing user support and keeping Inspira up and running. In addition, the Centre helps to optimize the use of all Inspira modules and components so that they are implemented in a cost-effective manner, thus contributing to the overall success of the talent management programme.

#### **Human Resources Information Systems Section (Headquarters)**

*Project Manager (1 P-4 position, continuation)*

*Project Manager (Data Warehouse) (1 P-4 position, continuation)*

*Business Analyst (1 P-3 position, continuation)*

*Assistant (IMIS Help Desk) (1 GS (OL) position, continuation)*

414. It is proposed that one general temporary assistance position of Project Manager (P-4) be continued to manage Inspira-related projects from Headquarters, in particular the components related to staffing.

415. The Project Manager is responsible for the day-to-day management of the project tasks of Inspira, including system roll-out and production support coordination and for the delivery of the recruitment module of Inspira, with particular emphasis on its successful deployment, as well as the field-specific enhancements and implementation of the onboarding/offer management, consulting and other modules.

416. The Project Manager would work closely with the business owners in terms of their scope, expectations and deliverables for the project, building a partnership with the business owners to ensure their close involvement in assigned projects during each project phase. The Project Manager is responsible for ensuring that assigned projects are delivered within schedule, budget, scope and quality. The Project Manager will also be responsible for possible additional projects and subsequent roll-out globally.

417. The record-keeping needs of intergovernmental bodies and troop-contributing countries as well as of the Secretariat have increased exponentially in recent years. Since 2006, the human resources database of the Secretariat has expanded to over 40,000 records, with more than 60 per cent of the increase attributed to the incorporation of peacekeeping personnel records. The database is projected to contain over 150,000 records on consultants, individual contractors, volunteers,

military police and interns, among others. The demand for operational reports, executive reports, ad hoc reports, charts, graphs, dashboards and scorecards has increased at a rapid rate. In order to meet those demands, the Office of Human Resources Management has started developing, with the participation of DPKO and DFS, a single, fully integrated and automated data warehouse that should provide all its users with a single, authoritative source for their analytical, transactional and strategic reporting needs. It is expected that the data warehouse will effectively provide a consolidated view of all personnel in the Organization. It will also provide data of a consistent quality, enabling analysts and managers to proactively identify problems and opportunities.

418. The roll-out of the first version of the human resources enterprise data warehouse went live in 2011/12, with five strategic indicators. That version included the staffing modules for recruitment-related information, the performance management modules to support the monitoring of compliance, the workforce analysis modules to support the Secretary-General's reports on the composition of the Secretariat and on the employment of gratis personnel, retirees and consultants, the learning management modules to support courses, including the language programme, and, finally, the implementation of the first release of the human resources management scorecard. In addition, the self-service reporting portal, which allows Member State personnel to access the information portal, went live in 2011.

419. In this context, it is proposed that one general temporary assistance position of Project Manager (P-4) for the data warehouse be continued. The incumbent would be responsible for the overall implementation of the data warehouse; leading efforts to analyse and document the Organization's business needs in terms of reporting; overseeing the design of the data warehouse; assisting in the design of data dimensions; ensuring seamless integration with other legacy systems associated with human resources management that are planned for decommissioning, including IMIS, PMStars, Nucleus and Galaxy, so that data can be extracted from and inserted into the data warehouse; designing means of facilitating integration with the new Inspira system so that data can be exchanged and reports can be generated; ensuring the quality and integrity of the data in the warehouse; overseeing the building of the self-service reporting portal; designing and ensuring the implementation of data security rules and models; and ensuring that all aspects of the data warehouse are implemented in accordance with industry best practices and Secretariat standards.

420. The staffing module for Headquarters-based vacancies was launched under the Inspira talent management information system. Following its launch, further releases and modules were implemented, with the goal of continuously improving the system in terms of usability, performance and functionality. Given its current status and the success of the staffing module, the Section will now move forward with the global implementation of the module. Roll-out to the field, in particular, will be a primary focus of global implementation and will be undertaken in close cooperation with DFS to ensure that the specific needs of the field in the area of staffing are fully addressed, and will cover the following major functional areas: staffing for field-based positions; onboarding, with particular emphasis on the specific needs of the field; and reporting and analytics. Mindful of this need to roll out a comprehensive solution for field-based staffing, and taking into account lessons learned in the roll-out of existing releases and modules of Inspira, it is proposed that one general temporary assistance position of Business Analyst (P-3) be continued.

421. The incumbent would deliver the staffing module to the field in the first half of 2013, after which significant work will be required to allow the system to become mature and focused on field-specific needs. In this regard, during 2013/14 the extension of the staffing module to handle temporary vacancy announcements and the recruitment of consultants will be carried out, as will the implementation of the onboarding/offer management and reference checking modules, all of which will be of significant benefit in facilitating an efficient field recruitment process.

422. The incumbent would document business process and functional requirements for new modules and change requests for existing modules. She or he would also define test plans and lead in the preparation of test scripts and training materials, with particular emphasis on field staff, and oversee the preparation and coordination of user acceptance testing.

423. According to the Umoja workplan, the human resources modules of Umoja will be completed and fully rolled out by June 2016. Although the IMIS financial functions are scheduled to be decommissioned by December 2013, the IMIS human resources modules will continue to run until 2016. In this context, the IMIS help desk will continue to support users in peacekeeping missions. Accordingly, it is proposed that one general temporary assistance position of Assistant (GS (OL)) be continued for the identification and analysis of technical problems within IMIS human resource functionalities; the provision of guidance and solutions to all users with regard to IMIS in the field on human resources management; the 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 IMIS technical staff on various aspects of system maintenance, including the review of functional and/or technical requirement documentation; 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; and 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. Furthermore, owing to the high turnover of support staff in the field, there has been a significant increase in the number of IMIS issues caused by human error, requiring extensive corrections in the IMIS system and causing substantial delays in the processing of staff members' records and payroll. The incumbent would respond to 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 provided is related to movements of field-based staff.

## **Human Resources Information Systems Section (Bangkok)**

### **Inspira Support Centre**

*Development Officer (1 P-3 position, continuation)*

*Development and Production Support Analyst (1 P-3 position, continuation)*

*Associate Application Support Officer (1 P-2 position, continuation)*

*Customer Support Representative (Help Desk) (1 GS (PL) position, continuation)*

*Customer Support Representatives (Help Desk) (6 GS (OL) positions, continuation)*

*Database Administrator (1 GS (OL) position, continuation)*

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

424. The approved staffing establishment of the Inspira Support Centre in Bangkok comprises 12 general temporary assistance positions (2 P-3, 1 P-2, 1 GS (PL) and 8 GS (OL)) funded from the support account.

425. The Inspira Support Centre is responsible for providing support for the development and maintenance of the Inspira application and the career portal, as well as support for peacekeeping missions. The Centre is responsible for all enhancements, upgrades, support and maintenance relating to the enterprise platform for human resources. Each year, the functionality and technology related to the application need to be updated and enhanced in order to ensure the provision of optimized support to enable the Organization to meet its human resources mandates. The team of external consultants from the software vendor at Headquarters was phased out after the initial implementation of Inspira in the first half of 2010. The scope and activities of the Centre have increased significantly since the first phase of implementation, as all technical functions are now performed from Bangkok, rather than from Headquarters.

426. The Centre has served to optimize the use and functions of all the talent management programme modules available from the software, as well as the performance management and learning management components, to ensure the overall success of the programme. The recruiting and performance management (pilot) module were rolled out in 2010, with subsequent releases in 2011 and 2012. In 2012, enterprise learning management was piloted, together with the Secretariat-wide roll-out of performance management. The staffing module has now started to roll out to the field, starting with MINUSTAH in January 2013. Further roll-outs of the staffing, enterprise learning management, consultants, offer management, reference checking and position management modules are planned for 2013. Those modules will require extensive support and enhancement. It is estimated that the number of end users in 2013/14 will include more than 44,000 United Nations personnel, and more than 1 million external candidates, through the website. Inspira is currently used heavily, with over 100,000 log-ins a month.

427. It is proposed that two general temporary assistance positions of Development Officer and Development and Production Support Analyst (2 P-3) be continued to maintain and troubleshoot the Inspira application in the production environment, escalating third-level technical calls to the external parties as defined by the service-level agreement; monitoring and reporting on system usage and capacity; measuring

and reporting on the system's availability; and performing system and security administration and resolving tier-2 problems and known errors.

428. It is proposed that one general temporary assistance position of Associate Application Support Officer (P-2) be continued to provide application support for Inspira, reporting and the 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.

429. It is proposed that seven general temporary assistance positions of Customer Support Representative (1 GS (PL) and 6 GS (OL)) be continued to manage the tier-1 help desk support for talent management. The help desk staff would continue to be responsible for the following tasks: providing tier-1 ("how to") support; facilitating the provision of predefined responses by the Office of Human Resources Management to first-level substantive service calls to the help desk and managing the quarterly reviews and updates of such responses; escalating service calls to the second level of support; preparing response templates; preparing operational reports; and carrying out ongoing training and knowledge transfer. It is anticipated that the learning management module will be rolled out and will require extensive support during 2013/14. The help desk supervisor would manage the information technology infrastructure library-based processes for the centre. The help desk operations will run in multiple shifts.

430. It is proposed that one general temporary assistance position of Database Administrator (GS (OL)) be continued to ensure the availability, backup and recovery of data, resolve database issues, create tables and indexes, maintain the database of users, apply patches, ensure database security and troubleshoot database performance issues.

431. It is proposed that one general temporary assistance position of Administrative Assistant (GS (OL)) be continued to support the Chief of the Inspira Support Centre in the administrative duties and functions of the Centre, providing support in the areas of human resources, budget and finance, responding to governing body enquiries and issues relating to buildings and other facilities, dealing with information and communications technology services and other administrative duties and ensuring consistency in the application of United Nations rules and procedures.

#### (e) Financial resource requirements

(Thousands of United States dollars)

Category	Expenditures (2011/12)	Apportionment (2012/13)	Cost estimates (2013/14)	Variance	
				Amount	Percentage
	(1)	(2)	(3)	(4)=(3)-(2)	(5)=(4)÷(2)
I. Post resources	6 956.4	6 496.1	7 054.0	557.9	8.6
II. Non-post resources					
General temporary assistance	2 196.4	2 396.7	2 617.1	220.4	9.2
Consultants	42.7	33.0	8.0	(25.0)	(75.8)
Official travel	558.4	181.4	187.0	5.6	3.1

Category	Expenditures (2011/12)	Apportionment (2012/13)	Cost estimates (2013/14)	Variance	
				Amount	Percentage
	(1)	(2)	(3)	(4)=(3)-(2)	(5)=(4)÷(2)
Information technology	1 896.6	1 881.4	2 023.0	141.6	7.5
Other supplies, services and equipment	117.3	139.0	146.0	7.0	5.0
<b>Subtotal II</b>	<b>4 811.4</b>	<b>4 631.5</b>	<b>4 981.1</b>	<b>349.6</b>	<b>7.5</b>
<b>Total</b>	<b>11 767.8</b>	<b>11 127.6</b>	<b>12 035.1</b>	<b>907.5</b>	<b>8.2</b>

(f) Analysis of financial resource requirements<sup>1</sup>

	Cost estimates	Variance	
<b>Posts</b>	\$7 054.0	\$557.9	8.6%

432. The provision would cover the salaries, common staff costs and staff assessments for the 46 proposed posts. The higher requirements result from: (a) the application of lower vacancy factors to the cost estimates for the 2013/14 financial period compared with the rates factored in the resources approved for 2012/13 (see para. 28 above); and (b) the estimation of common staff costs at a higher percentage of net salaries compared with the budget for 2012/13 (see para. 29 above). The higher requirements are offset in part by the proposed reduction of one post.

	Cost estimates	Variance	
<b>General temporary assistance</b>	\$2 617.1	\$220.4	9.2%

433. The requirements would provide for the proposed continuation of 20 general temporary assistance positions. The higher requirements result from: (a) the application of lower vacancy factors to the cost estimates for the 2013/14 financial period compared with the rates factored in the resources approved for 2012/13 (see para. 28 above); and (b) the estimation of common staff costs at a higher percentage of net salaries compared with the budget for 2012/13 (see para. 29 above). The higher requirements are offset in part by the reduction of one general temporary assistance position and reflect the fact that one general temporary assistance position was approved for six months in 2012/13.

	Cost estimates	Variance	
<b>Consultants</b>	\$8.0	(\$25.0)	(75.8%)

434. The consultancy requirements are as follows:

(United States dollars)

<i>Expertise</i>	<i>Person-months</i>	<i>Amount</i>	<i>Output reference</i>
Occupational resilience-building/ mission readiness	1	8 000	12 mission-readiness and wellness workshops for Headquarters staff planning to work in field missions
<b>Total</b>		<b>8 000</b>	

435. An amount of \$8,000 is proposed for the engagement of a consultant with technical expertise in the area of mental health to update the existing mission readiness and wellness programme to ensure that it is consistent with the state-of-the-art evidence and World Health Organization guidelines. The consultant will also help to deliver 12 mission readiness and wellness workshops. The aim of the programme is to promote mental well-being and improve the retention of staff members in the field and incumbency levels in peacekeeping missions.

436. The lower requirements are attributable to the fact that the consultancy services for the review of the generic job profiles, for which provision was made in 2012/13, will not be required in 2013/14, as the review has been completed.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Official travel</b>	\$187.0	\$5.6	3.1%

437. 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	32 000	Provision of legal advice to address administrative law issues, representation of the Administration before the Dispute Tribunal (New York, Nairobi and Geneva) and processing of disciplinary matters referred for action by the Department of Field Support  3 on-site assessments of field mission medical facilities in response to requests and of 1 regional medical evacuation centre linked to peacekeeping missions
Technical support	112 000	6-8 outreach missions to identify candidates for field operations  Conduct of comprehensive and interim salary surveys for MONUSCO, UNDOF, UNIFIL, UNSOA and UNMIK; issuance of revised salary scales for the General Service and the National Professional Officer category, as applicable  Implementation of electronic medical records and occupational health management system (EarthMed) in 2 peacekeeping operations (UNOCI and UNMISS) and support for the system in four peacekeeping operations (UNLB, UNMIK, MINUSTAH and UNIFIL)  Guidance to 12 peacekeeping operations and UNSOA on the exercise of delegated authority for human resources management, including through mission support visits

<i>Type of travel</i>	<i>Amount</i>	<i>Output reference</i>
		Provision of guidance using instructional manuals and other tools to support peacekeeping operations on the implementation of the Inspira talent management system
		Provision of support on Inspira for more than 24,000 peacekeeping field personnel
Seminars/conferences/workshops	21 000	1 regional meeting of chief medical officers for the updating of medical and medico-administrative policies, training in emergency response and mass casualty preparedness planning
		Provision of administrative support for approximately 300 requests related to the termination of appointments owing to health reasons or abolishment of posts, agreed termination, abandonment of posts, outside activities, special leave with full/half pay, waiver of privileges and immunities, administrative reviews and appeals and exceptions to staff rules and regulations
Training	22 000	Customization and roll-out of online learning courses and other web-based training materials, as part of the United Nations Inspira system, for all peacekeeping operations
		12 mission-readiness and wellness workshops for Headquarters staff planning to work in field missions
<b>Total</b>	<b>187 000</b>	

438. An amount of \$32,000 is proposed to undertake the following mission planning/assessment/consultation activities: assessment of a regional medical facility linked to peacekeeping missions (\$9,000) and visits of legal officers to Entebbe and Nairobi in relation to disciplinary case to consult with and provide assistance to representatives of the Administration before the United Nations Dispute Tribunal (\$23,000).

439. An amount of \$112,000 is proposed to undertake the following technical support activities: the conduct of salary surveys for UNIFIL and MONUSCO (\$37,000); the provision of guidance to field operations on the implementation of the performance management framework (\$20,000); the conduct of analysis for the implementation of EarthMed at two peacekeeping missions (\$11,000); the conduct of outreach activities, in coordination with DFS, to unrepresented and underrepresented Member States to encourage candidates to apply to peacekeeping missions (\$16,000); the provision of user support and training to mission personnel on the use of Inspira and, in particular, its recruitment tools in applying the Organization's staff selection system (\$12,000); and the provision of technical support to ensure operational compliance and efficiency at the Inspira Support Centre (\$16,000).

440. The amount of \$21,000 is proposed to provide for participation in the following seminars/conferences/workshops: a human resources network and International Civil Service Commission workshop related to conditions of service in the field (\$12,000) and the regional meeting of chief medical officers for the coordination and updating of medical standards and health policies and on health-care issues arising at all duty stations (\$9,000).

441. The amount of \$22,000 is proposed to undertake the following training-related activities: mission readiness training for mission focal points in peacekeeping missions (\$17,000) and training of staff of the Human Resources Information Systems Section on new versions of the software used to support the Inspira modules (\$5,000).

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Information technology</b>	\$2 023.0	\$141.6	7.5%

442. An amount of \$2,023,000 is proposed to provide for non-standard resources for software licences and fees (\$1,577,000) and contractual services for the development of applications (\$446,000) to meet peacekeeping business needs, as indicated in the table and paragraphs below.

#### **Non-standard information technology by category**

(United States dollars)

##### **Software licences and fees**

Inspira	1 435 000
Hosting of disaster recovery for Inspira	142 000

##### **Contractual services**

##### **Proposed application development**

Inspira	416 000
Human resources website	30 000

<b>Subtotal</b>	<b>446 000</b>
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<b>Total</b>	<b>2 023 000</b>
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443. The amount of \$1,577,000 for software licences and fees is associated with the proprietary software required for the Inspira system and the user base at Headquarters (\$1,435,000) and fees for disaster recovery for Inspira (\$142,000).

444. During 2012/13, the Division has been developing an Organization-wide learning management system and ensuring that all non-staff employees are managed in Inspira. It is estimated that by the end of 2012/13, Inspira implementation will have moved from project development to operation. Therefore, the requirements in 2013/14 represent the maintenance and support cost of Inspira, which include the extension of all the module software, maintenance and on-demand hosting costs. The requirements are expected to continue for two years, starting from 2013/14.

#### **Proposed application development**

##### **Inspira**

445. The amount of \$416,000 for contractual services is proposed to cover the low level of support to be provided during the process of retiring e-PAS, Galaxy and other legacy systems, which will continue into 2013/14. The retirement of the legacy systems will take time and effort, and the objective is for the data from the legacy systems to be available in Inspira during the decommissioning phase. The

cost breakdown is as follows: 8,327 person-hours required at the vendor rate of \$50/hour, representing approximately three full-time and two part-time (50 per cent) contractors with expertise in these areas on eight-hour shifts, resulting in an average cost of \$103,800 per full-time contractor.

#### **Human resources website**

446. The amount of \$30,000 for contractual services is proposed to cover the development of a consolidated human resources website for peacekeeping for the benefit of field personnel that would include links to local offices and divisions as well as relevant external sites. More than 20 different Secretariat websites include information on human resources-related issues, and a wide variety of approaches, structures and visual styles are used on these websites. A recent survey showed that peacekeeping personnel often find it difficult to locate the information that they need and that there is a demand for additional, timely communication on a full range of human resources issues. The cost estimates are for one part-time contractor at the vendor's rate of \$300/day.

447. The higher requirements are attributable to the hosting/on-demand services for disaster recovery for Inspira (\$142,000), which cannot usually be hosted within the data centre of the Office of Information and Communications Technology. With the deployment and the full operations of various modules scheduled for 2013/14, there is a need to continue and strengthen the disaster recovery capability of Inspira.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Other supplies, services and equipment</b>	\$146.0	\$7.0	5.0%

448. An amount of \$146,000 is proposed to provide for medical travel kits (\$100,000), the maintenance of medical equipment (\$30,000), materials and training fees for training on the new versions of the Inspira software (\$4,000); and training fees for mission-readiness and resilience workshops (\$5,000) and for workshops to improve human resources-related substantive skills (\$7,000).

#### **4. Office of Central Support Services**

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

449. The mandate of the Office of Central Support Services was established by the General Assembly in its resolution 13 (I). The functions of the Office are set out in ST/SGB/2010/9. The Office comprises the Office of the Assistant Secretary-General, the Procurement Division and the Facilities and Commercial Services Division.

450. The Procurement Division will continue to provide support to DFS and field operations by undertaking and conducting 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 in field operations. The priorities and challenges that are anticipated for the 2013/14 period include the provision of continuous support to meet procurement requirements for peacekeeping, including conducting procurement for field operations within the same region through the Regional Procurement Office in Entebbe; the conduct of further vendor outreach seminars to increase vendor registrations from developing

countries and countries with economies in transition and further improvement in the efficiency and effectiveness of the vendor registration process; the continuous maintenance and system administration of the online procurement training module and procurement certification programme; and the implementation of best procurement practices throughout United Nations Headquarters and field operations. The report of the Secretary-General on United Nations procurement activities (A/67/683) presents the new organizational structure of the Division, and the corresponding internal transfer of resources has been implemented, as reflected in the table following paragraph 457.

451. The priorities in the area of facilities management will be to continue to facilitate the work of DPKO, DFS and other staff funded from the support account by providing high-quality and safe working conditions and policy advice on facilities management matters that have specific implications for field missions. One particular challenge will be to improve the management of United Nations properties, which poses a significant risk to the successful implementation of IPSAS. Deficiencies have been identified which need to be adequately addressed by establishing property management policies, procedures, training and internal control mechanisms that incorporate peacekeeping specificities. The Facilities Management Service will continue to provide office space, furniture and related services at Headquarters to accommodate the backstopping of peacekeeping activities, including office reconfigurations to meet changing needs.

452. The Commercial Activities Service in the Facilities and Commercial Services Division 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 the 2013/14 period for the Service include the continued implementation of the security enhanced electronic United Nations laissez-passer and monitoring of the travel management services; continued improvement in business processes, promotion and assistance to peacekeeping missions in the implementation of the mail and pouch shipping and tracking system; and the preservation of electronic records and archival materials. The impact of the capital master plan on the issuance of United Nations travel documents and visa requirements, mail, pouch and messenger services will continue to be a challenge for efficient and cost-effective programme delivery. The Service will continue to support Umoja in developing its policies and processes in the related areas.

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*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 Archival material for all liquidating missions is available at Headquarters to the Organization, Member States and the general public (2011/12: 100 per cent; 2012/13: 100 per cent; 2013/14: 100 per cent)

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*Outputs*

- Identification of archival records at UNMIL for immediate and future transfer to United Nations Headquarters
- 50,000 pages of peacekeeping archives posted on the United Nations website for public consultation
- 1,000 reference responses to the Organization and Member States regarding peacekeeping archives

*Expected accomplishments**Indicators of achievement*

## 3.1 Increased efficiency and effectiveness of peacekeeping operations

3.1 Increase in the percentage of peacekeeping missions employing standard policies, tools and technical standards for records management (2011/12: 70 per cent; 2012/13: 60 per cent; 2013/14: 65 per cent)

3.2 Standard office accommodations are provided for all new and existing support account-funded personnel (staff and contracted personnel) at Headquarters

3.3 Review of 90 per cent of vendor registration applications within 2 months of the date of submission of the application (2011/12: 85.1 per cent; 2012/13: 90 per cent; 2013/14: 90 per cent)

3.4 Reduction in the average time for review of local procurement authority requests (2011/12: 14 days; 2012/13: 10 days; 2013/14: 8 days)

3.5 Reduction in the average time for submission of local committee on contracts cases to the Headquarters Committee on Contracts, excluding ex post facto cases (2011/12: 28 days; 2012/13: 24 days; 2013/14: 22 days)

3.6 Positive feedback on surveys of peacekeeping missions regarding the provision of mail services (2011/12: 90 per cent; 2012/13: 90 per cent; 2013/14: 90 per cent)

3.7 Positive feedback in surveys of users of travel and transportation services (2011/12: 85 per cent; 2012/13: 90 per cent; 2013/14: 90 per cent)

*Outputs*

- Implementation of a records management programme in adherence to United Nations record-keeping requirements at UNMIL and guidance on transferring digital archives from MINUSTAH to Headquarters for preservation
- 1 workshop on records, information and archives for peacekeeping operations personnel at the Regional Service Centre in Entebbe
- Office accommodation and related support services provided in accordance with United Nations standards to all staff and contractors funded from the support account at Headquarters
- Issuance of 2,000 purchase orders, 230 systems contracts including amendments and 440 regular contracts including amendments in support of peacekeeping operations
- Organization of business seminars in 36 locations for developing countries and countries with economies in transition and training of 10 staff from chambers of commerce on procedures for vendor registration

- Follow-up on applications for registration in the United Nations Global Marketplace with all vendors that participated in business seminars within one month
- 73 new international tenders launched in support of existing peacekeeping missions for the entire range of engineering support and equipment, modularization (enabling capacities in the context of the global field support strategy), vehicles, armoured vehicles, airport specialized vehicles and material handling equipment, including all related spare parts and after-sale service, fuel, including turn-key contracts, rations, general supplies, medical and security equipment and services and information technology and communications requirements
- 254 new international tenders launched in support of peacekeeping missions in relation to passengers and cargo movements, long-term air and sea charters, freight-forwarding, logistics and aviation services
- 25 site visits, bidders' conferences and contract negotiations prior to contract award for the new tenders launched, participation in 7 trade and industry fairs to ensure that competition is maximized and participation in the rations contract management conference of the Department of Field Support at UNLB
- Review of 250 local procurement authority requests and 160 local committees on contracts/Headquarters Committee on Contracts cases in which the threshold for the peacekeeping missions' delegation of procurement authority has been exceeded
- Organization of an air carrier workshop for the existing vendors and new applicants on revised solicitation and registration methods and the reviewed draft contract
- 7 procurement assistance visits (UNDOF, UNLB, UNISFA, MINURSO, UNFICYP, MONUSCO and UNOCI)
- Administration and management of 270 established high-value and complex systems contracts (26 vehicles contracts, 77 contracts on fuel, rations and supplies, 34 engineering contracts, 10 long-term freight-forwarding, logistics-related and ship charter contracts, 95 long-term air charter and aviation-related contracts and 28 information technology and communications contracts) in support of peacekeeping operations
- 35 staff trained in supply and value chain management, contracting for fuel, food rations, vehicles, sea charter, air charter and other specialized training courses
- 80 staff at Headquarters and field operations enrolled in external professional procurement certification courses, including online courses and webinars
- 100 staff in Headquarters and field operations trained in procurement courses offered at the online Procurement Training Campus
- Market surveys and review of 104 letters of assist/Headquarters Committee on Contracts cases from the Department of Field Support for the deployment, rotation and repatriation of troops and contingent-owned equipment and for the provision of military helicopters and maritime services in support of peacekeeping missions
- Performance of 350 cargo insurance requests in support of inter-mission shipments, including preparation of monthly reports for the Insurance and Disbursements Service, 20 mission cargo insurance claims handled in consultation with the Travel and Transportation Section and 30 shipping authorizations and import customs clearances performed for United Nations property shipped between missions and New York
- Performance of due diligence for requests for sole-source procurement based on proprietary nature of goods and services to ensure internal control, including performance of market research related to information technology and communications requirements from missions

- Screening and delivery of incoming and outgoing mail and valises to DPKO, DFS and all peacekeeping missions
- Negotiation or renegotiation of 39 airline agreements to reduce costs to field missions
- 7,500 travel authorization inspections
- Entitlement calculation of 350 lump-sum home leave travel requests for DPKO and DFS at Headquarters
- Issuance of 9,500 United Nations travel documents and visas
- Arrangement of 7,000 shipment consignments (registrations) of personal effects

*External factors*

Availability of an electronic record-keeping system in peacekeeping missions to manage compliant, reliable and authentic electronic records. Vendors will participate in business seminars; no vendors will fail to comply with the terms of the tender or resulting contracts or be unable to perform the contracts for reasons of force majeure. Contracted couriers will process shipments on a timely basis; developments in the airline and shipping industries will continue to allow for negotiation of favourable agreements and/or contracts

**(b) Human resources requirements**

<i>Category</i>	<i>Approved staffing 2012/13</i>	<i>Redeployment, reassignment, reclassification, abolition, discontinuation</i>	<i>General temporary assistance conversions</i>	<i>New posts/positions proposed</i>	<i>Total proposed 2013/14</i>	<i>Change</i>
<b>Posts</b>						
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	–	–	–	–	–	–
D-1	1	–	–	–	1	–
P-5	4	–	–	–	4	–
P-4	19	–	–	–	19	–
P-3	21	–	–	–	21	–
P-2/P-1	5	–	–	–	5	–
<b>Subtotal</b>	<b>50</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>50</b>	<b>–</b>
<b>General Service and related</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>–</b>	<b>–</b>	<b>78</b>	<b>–</b>

<i>Category</i>	<i>Approved staffing 2012/13</i>	<i>Redeployment, reassignment, abolishment, discontinuation</i>	<i>General temporary assistance conversions</i>	<i>New posts/positions proposed</i>	<i>Total proposed 2013/14</i>	<i>Change</i>
<b>General temporary assistance positions</b>						
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	–	–	–	–	–	–
D-1	–	–	–	–	–	–
P-5	–	–	–	–	–	–
P-4	–	–	–	–	–	–
P-3	6	–	–	–	6	–
P-2/P-1	1	–	–	–	1	–
<b>Subtotal</b>	<b>7</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>7</b>	<b>–</b>
<b>General Service and related</b>						
Principal level	–	–	–	–	–	–
Other level	3	(2)	–	–	1	(2)
<b>Subtotal</b>	<b>3</b>	<b>(2)</b>	<b>–</b>	<b>–</b>	<b>1</b>	<b>(2)</b>
<b>Total</b>	<b>10</b>	<b>(2)</b>	<b>–</b>	<b>–</b>	<b>8</b>	<b>(2)</b>
<b>Total posts and positions</b>	<b>88</b>	<b>(2)</b>	<b>–</b>	<b>–</b>	<b>86</b>	<b>(2)</b>

(c) **Justification of posts and general temporary assistance positions****Office of the Assistant Secretary-General***Administrative Officer (1 P-3 position, continuation)*

453. The approved staffing establishment of the Office of the Assistant Secretary-General comprises one general temporary assistance position funded from the support account. The Office of the Assistant Secretary-General provides primary support to the Assistant Secretary-General in the executive direction and management of procurement, facilities and commercial services and business continuity management. The Office has undertaken continuing efforts to ensure proper internal control mechanisms, one key element of which is the monitoring of the use of the delegation of procurement authority both at Headquarters and in field operations. Currently, the Director of the Procurement Division has been granted delegation of procurement authority for contract awards up to \$5 million for both capital master plan and short-term logistics and transportation and up to \$500,000 for other requirements; and the Under-Secretary-General for Field Support has been granted delegation of procurement authority for the review and approval of letters of assist valued up to \$200,000 and contract awards valued up to \$500,000 for non-core requirements and up to \$1 million for core requirements. Any award for higher amounts must be submitted for review to the Headquarters Committee on Contracts, which subsequently decides on recommendations to the Assistant Secretary-General for

Central Support Services for the approval of proposed awards. The incumbent would be responsible for the initial review of the designation of staff by liaising with other offices in the Department of Management. It should be noted that the delegation of procurement authority from the Under-Secretary-General for Field Support to personnel in the field missions is contingent upon the recipient being designated by the Department of Management under the provisions of Secretary-General's bulletin ST/SGB/2005/7.

454. The first table below summarizes the number of designations reviewed by the Office of the Assistant Secretary-General from 2009 to 2012. Designations related to field staff constitute over 70 per cent of all designations. The second table summarizes the number of cases reviewed by the Headquarters Committee on Contracts during the past seven years.

#### Number of designations reviewed by the Office of the Assistant Secretary-General from 2009 to 2012

	<i>Number of designations</i>	<i>Number of designations for field staff</i>	<i>Percentage of field designations of total</i>
2009	117	76	64.96
2010	160	105	65.63
2011	107	86	80.37
2012 <sup>a</sup>	80	57	71.25

<sup>a</sup> 2012 statistics as at October 2012.

#### Number of cases reviewed by the Headquarters Committee on Contracts between 2006 and 2012

(Millions of United States dollars)

	<i>Headquarters</i>		<i>Peacekeeping operations</i>		<i>Total</i>	
	<i>Cases</i>	<i>Value</i>	<i>Cases</i>	<i>Value</i>	<i>Cases</i>	<i>Value</i>
2006	137	637.34	630	4 398.48	<b>767</b>	<b>5 035.81</b>
2007	162	310.06	599	4 210.94	<b>761</b>	<b>4 521.00</b>
2008	157	898.70	572	7 983.24	<b>729</b>	<b>8 881.94</b>
2009 <sup>a</sup>	154	3 469.71	413	3 684.03	<b>567</b>	<b>7 153.74</b>
2010	204	1 168.01	473	3 285.80	<b>677</b>	<b>4 453.81</b>
2011	134	800.48	394	2 310.59	<b>528</b>	<b>3 111.07</b>
2012	142	772.84	382	4 906.09	<b>524</b>	<b>5 678.93</b>

<sup>a</sup> Reduction between 2008 and 2009 reflects an increase in the delegation of authority to peacekeeping missions from \$200,000 to \$500,000.

455. The Administrative Officer (P-3) will continue to assist in reviewing and monitoring the use of the delegation of authority by compiling information from various sources: reports of core requirements and other reports arising from the delegation of procurement authority to field missions; feedback obtained through procurement assistance visits to the field missions; recommendations of the

Headquarters Committee on Contracts on cases submitted for review; and recommendations of other oversight bodies.

### Procurement Division

456. Under the approved structure for the period 2012/13, the Procurement Division will comprise the Procurement Operations Service and the Integrated Support Service as follows:

<i>Approved posts and positions 2012/13</i>		<i>D-2</i>	<i>D-1</i>	<i>P-5</i>	<i>P-4</i>	<i>P-3</i>	<i>P-2/1</i>	<i>Subtotal</i>	<i>GS (PL)</i>	<i>GS (OL)</i>	<i>Subtotal</i>	<i>Total</i>
Front office	Office of the Director	-	-	-	1	-	-	1	-	1	1	2
Procurement Operations Service	Office of the Chief	-	1	-	-	-	-	1	-	1	1	2
	Regional Procurement Office, Entebbe	-	-	-	3	-	-	3	-	-	-	3
	Logistics and Transportation Section	-	-	1	1	6	1	9	-	6	6	15
	Peacekeeping Procurement Section	-	-	1	4	6	-	11	-	5	5	16
	Corporate and Information Technology Procurement Section	-	-	-	3	7	1	11	-	3	3	14
<b>Subtotal</b>		-	1	2	11	19	2	35	-	15	15	50
Integrated Support Service	Office of the Chief	-	-	-	-	-	-	-	-	1	1	1
	Planning Compliance Monitoring	-	-	1	3	-	-	4	1	-	1	5
	Procurement Management Section	-	-	1	3	2	2	8	-	6	6	14
<b>Subtotal</b>		-	-	2	6	2	2	12	1	7	8	20
<b>Total</b>		-	1	4	18	21	4	48	1	23	24	72

457. The report of the Secretary-General on procurement activities (A/67/683) presents the new organizational structure of the Division. Resource allocation is as follows:

<i>Proposed posts and positions 2013/14</i>		<i>D-2</i>	<i>D-1</i>	<i>P-5</i>	<i>P-4</i>	<i>P-3</i>	<i>P-2/1</i>	<i>Subtotal</i>	<i>GS (PL)</i>	<i>GS (OL)</i>	<i>Subtotal</i>	<i>Total</i>
Front office	Office of the Director	-	-	-	1	-	-	1	-	1	1	2
Planning, Compliance Monitoring Section		-	-	1	3	-	-	4	1	-	1	5

<i>Proposed posts and positions 2013/14</i>		<i>D-2</i>	<i>D-1</i>	<i>P-5</i>	<i>P-4</i>	<i>P-3</i>	<i>P-2/1</i>	<i>Subtotal</i>	<i>GS (PL)</i>	<i>GS (OL)</i>	<i>Subtotal</i>	<i>Total</i>
Field	Office of the Chief	–	1	–	–	–	–	<b>1</b>	–	1	<b>1</b>	<b>2</b>
Procurement Service	Logistics and Transportation Section	–	–	1	1	6	1	<b>9</b>	–	6	<b>6</b>	<b>15</b>
	Peacekeeping Procurement Section	–	–	1	4	6	–	<b>11</b>	–	5	<b>5</b>	<b>16</b>
	Communications and Information Technology support Section	–	–	–	1	3	–	<b>4</b>	–	2	<b>2</b>	<b>6</b>
<b>Subtotal</b>		<b>–</b>	<b>1</b>	<b>2</b>	<b>6</b>	<b>15</b>	<b>1</b>	<b>25</b>	<b>–</b>	<b>14</b>	<b>14</b>	<b>39</b>
Regional Procurement Office, Entebbe		–	–	–	3	–	–	<b>3</b>	–	–	–	<b>3</b>
Headquarters Procurement and Support Service	Office of the Chief	–	–	–	–	–	–	–	–	1	<b>1</b>	<b>1</b>
	Procurement Management Section	–	–	1	3	2	2	<b>8</b>	–	5	<b>5</b>	<b>13</b>
	Corporate Procurement Section	–	–	–	2	4	1	<b>7</b>	–	2	<b>2</b>	<b>9</b>
<b>Subtotal</b>		<b>–</b>	<b>–</b>	<b>1</b>	<b>5</b>	<b>6</b>	<b>3</b>	<b>15</b>	<b>–</b>	<b>8</b>	<b>8</b>	<b>23</b>
<b>Total</b>		<b>–</b>	<b>1</b>	<b>4</b>	<b>18</b>	<b>21</b>	<b>4</b>	<b>48</b>	<b>1</b>	<b>23</b>	<b>24</b>	<b>72</b>

### Procurement Management Section

#### Vendor Registration and Management Team

*Procurement Officer (1 P-3 position, continuation)*

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

*Reduction of 2 Procurement Assistant positions (2 GS (OL))*

458. The approved staffing establishment of the Vendor Registration and Management Team comprises six continuing posts (1 P-4, 1 P-3, 2 P-2 and 2 GS (OL)) and four general temporary assistance positions (1 P-3 and 3 GS (OL)), funded from the support account. The Team is responsible for the provision of all vendor-related support services and for managing the United Nations vendor roster, undertaking vendor due diligence, carrying out the administrative functions of the Vendor Review Committee and undertaking outreach efforts to source new vendors in order to expand the existing vendor roster to cover a wider geographical area of Member States and vendors from developing countries and countries with economies in transition. As a result of expanded vendor outreach efforts by the Procurement Division, there has been a significant increase in the number of new vendor applications and acceptance of these applications in the vendor roster. In 2010 and 2011, 754 and 751 vendors were reviewed and accepted on the vendor roster, representing a 39 per cent increase since 2009. In 2012, a total of 940 vendors were reviewed and accepted on the vendor roster. 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. With the roll-out of Umoja to all peacekeeping missions, starting with UNIFIL in July 2013, with all other missions due to go live by the end of 2013, the Vendor Registration and Management Team is now receiving a higher number of applications in the United Nations Global Marketplace, as the vendors previously registered in separate databases are being moved to the Global Marketplace application system as part of the overall vendor cleansing project and the consolidation of vendor records into a single global vendor database for the Secretariat.

459. In this context, it is proposed that one general temporary assistance position of Procurement Officer (P-3) be continued to undertake registrations that require more in-depth review, as well as to ensure that the Team has adequate long-term resources to maintain its priorities with respect to further outreach projects. The incumbent would also be charged with responsibility for managing the Division's outreach activities, which are receiving increased attention from Member States. This includes overseeing business seminar planning and Member State liaison activities, ensuring that the objectives of the Division outreach activities are met, as well as providing training and information as required to Member State representatives to improve their knowledge of vendor registration procedures. It is also proposed that one general temporary assistance position of Procurement Assistant (GS (OL)) be continued to carry out the manual process of data clean-up, the entering of data into IMIS and the procurement process system and the review of vendor applications, as well as to continue the cleansing of vendor records.

460. Two of the three general temporary assistance positions of Procurement Assistant (GS (OL)) approved for 2012/13 are not proposed for continuation in 2013/14, as it is expected that the workload of the Vendor Registration and Management Team will decrease after the cleansing of the field mission vendor database, to be completed with the implementation of Umoja in the field in 2013/14.

### **Vehicles Team**

#### *Procurement Officer (1 P-3 position, continuation)*

461. The approved staffing establishment of the Vehicles Team comprises five continuing posts (2 P-4, 2 P-3 and 1 GS (OL)) and one general temporary assistance position (P-3) funded from the support account. The Vehicles Team is responsible for the procurement of all vehicles, including spare parts and ancillary services, in support of field missions. It is estimated that the Vehicles Team would handle a total of 27 systems contracts in 2013/14 (26 existing contracts, of which 9 will require a rebidding exercise, and 1 new contract) with a total value of \$1 billion in support of peacekeeping operations. The additional workload derives also from the establishment in 2012/13 of the second highest-value vehicle contract for the provision of heavy- and medium-duty trucks to peacekeeping missions, which will result in additional purchase orders and contract administration tasks in 2013/14, and from the planned upcoming bidding exercise for armoured vehicle back-up contracts, to augment the capacity available to peacekeeping missions in case of surges in requirements owing to the deterioration of security conditions in peacekeeping missions.

462. In this context, it is proposed that one general temporary assistance position of Procurement Officer (P-3) be continued to further address all delivery issues, payment delays and after-sale support matters in a timely manner in accordance with the contracts, and to allow for the accurate and efficient management of contracts and

the processing of the expected number of requisitions for vehicles in support of field operations during the 2013/14 period, when all global system contracts will be in place and utilized by all field missions to place requisitions for their fleet vehicle replacements. Moreover, the responses to mission requests for local procurement authority and the extensive market research on vehicle-related requirements that the incumbent will provide are expected to result in a decrease in the overall acquisition costs of vehicles purchased directly from field operations, as a result of increased competition.

### **Engineering Support Team**

#### *Procurement Officer (1 P-3 position, continuation)*

463. The approved staffing establishment of the Engineering Support Team comprises five continuing posts (1 P-4, 2 P-3 and 2 GS (OL)) and one general temporary assistance position (P-3) funded from the support account. The Engineering Support Team is responsible for the procurement of prefabricated buildings, soft-skin structures, generators, hybrid power supply systems, electrical materials, water treatment systems, various field defence items/construction materials, tools and air conditioners in support of peacekeeping missions. In addition, the Team is responsible for the establishment of regular contracts for individual field missions, in particular in the field of construction, engineering and architectural services, as well as cartography. It is expected that the value of the contracts will increase in 2013/14, given the continued trend towards the life-cycle management of equipment through systems contracts to increase the lifespan of equipment and new technologies/concepts leading to additional contracts. It is estimated that the Team will handle a total of 47 system contracts in the 2013/14 period (34 existing contracts, of which 8 will require a rebidding exercise, and 13 new contracts), with a total value of \$1.75 billion. On the basis of those system contracts, the Team issues approximately 100 purchase orders per year. In addition to system contracts, the Team handles regular contracts and contract amendments/extensions (approximately 75 per year). In addition to handling system contracts, the Engineering Support Team is increasingly involved in the support of field missions through regular contracts (for example, uninterrupted power supply in MINUSTAH, prefabricated building construction in UNSOA). Such contracts are typically complex in nature and have not been managed by the Team in the past. Furthermore, owing to increased security risks faced by United Nations troops and staff, these solicitations must be handled with caution, due diligence and in closer coordination with all stakeholders involved.

464. Accordingly, it is proposed that one general temporary assistance position of Procurement Officer (P-3) be continued to manage the high-value and complex contracts in support of peacekeeping missions. Timely and efficient rebidding, including market research, management and negotiation of new contracts, will benefit the Organization by creating effective international competition and obtaining best value for money.

## **Logistics and Transportation Section**

### **Strategic Movements Team**

*Procurement Officer (1 P-3 position, continuation)*

465. The approved staffing establishment of the Strategic Movements Team comprises nine continuing posts (1 P-4, 4 P-3 and 4 GS (OL)) and one general temporary assistance position (P-3) funded from the support account. It is expected that the Strategic Movements Team will conclude 35 to 40 requirements into contracts for a total of \$30 million to \$35 million for sea cargo charters, 10 to 15 requirements for a total of \$15 million to \$20 million for air cargo charters and 2 to 4 requirements for a total of \$3 million to \$4 million for land movements. Sea cargo charters have a high degree of complexity and can be handled efficiently only by staff at the Professional level, as the contracts produced result frequently in contractual disputes. This is evidenced by the huge backlog of disputed cases that were handled by the Team between 2010 and 2012.

466. Accordingly, it is proposed that one general temporary assistance position of Procurement Officer (P-3) be continued. The incumbent would manage the sea cargo charter contracts, as they are critical in supporting contingent-owned-equipment deployments to and from troop-contributing countries.

## **Facilities and Commercial Services Division**

### **Facilities Management Service**

#### **Office Space and Assets Unit**

*Office Space Planning Officer (1 P-3 position, continuation)*

467. The approved staffing establishment of the Office Space and Assets Unit comprises no continuing posts and one general temporary assistance position (P-3) funded from the support account. The number of personnel at Headquarters whose positions are funded from the support account has increased by 58 per cent, from 830 in 2008/09 to approximately 1,308 in 2012/13, which has had a direct impact on the resources of the Facilities Management Service, specifically in the areas of space planning, contract management, building maintenance and asset management. The sustained high level of peacekeeping support staff and contractors in New York now represents approximately 19 per cent of the complex total occupancy and commensurate share of office space and related requirements. The high mobility of the DPKO/DFS workforce caused by field assignments, inter-office transfers and regular turnover, which results in frequent moves, requires ongoing space reconfiguration as well as enhanced coordination and tracking to maintain the accuracy of various office space allocations, contacts and assets databases. In addition, peacekeeping coordination teams as well as other ad hoc groups (such as the DPKO/DFS civilian capacity team, the cross-cutting team and the strategic planning team) are accommodated, as required by DPKO/DFS operational needs. Such services to accommodate peacekeeping activities cannot be sustained through existing staff funded from the regular budget, since those resources are limited and have remained at maintenance level over the period of growth of peacekeeping activities. The Unit which attends to the regular office space requirements for all departments across multiple locations has been particularly affected by the high

level of support-account-funded positions, although no post is funded from the support account for the additional workload.

468. In this context, it is proposed that one general temporary assistance position of Office Space Planning Officer (P-3) be continued. The Officer would be responsible for office space planning and project management issues that relate to peacekeeping support activities at Headquarters. The incumbent would receive space requests, prepare current and newly rented space for use according to organizational needs and manage all related planning and project management tasks to effectively utilize office space at Headquarters. The incumbent would serve as the DPKO/DFS focal point for all office space-related requirements, including the provision of temporary accommodation for planning teams and other field mission staff and the coordination of office reconfiguration, personnel moves, the acquisition of furniture and related services. The aim is to provide satisfactory services for all new staff and contractors funded under the support account and to accommodate peacekeeping coordination and other ad hoc peacekeeping teams in terms of providing new and suitable office accommodation and related support services in accordance with United Nations standards. The incumbent would also keep an up-to-date computerized graphic space database, monitor occupancy rates and report on space utilization.

#### **Archives and Records Management Section**

*Associate Information Management Officer (1 P-2 position, continuation)*

469. The approved staffing establishment of the Archives and Records Management Section comprises two continuing posts (1 P-4 and 1 P-2) and one general temporary assistance position (P-2) funded from the support account.

470. It is proposed that the general temporary assistance position of Associate Information Management Officer (P-2) be continued to implement processes for the fully accountable transfer of electronic records from peacekeeping operations to Headquarters for their preservation as digital archives. The incumbent would undertake the transfer of datasets from MINUSTAH and UNMIL to Headquarters and identify electronic records eligible for immediate disposal. For MINUSTAH, the electronic records of the Special Representative of the Secretary-General from 2007 to 2012 (5.7 gigabytes) will be transferred to Headquarters for storage and preservation. At UNMIL, the electronic records are located in various systems and shared drives and the permanent records have not been identified. Different levels of engagement with the Communications and Information Technology Sections and information management staff at MINUSTAH and UNMIL will be required. The incumbent would also support the Organization's collaboration with international and national judicial bodies for which the Section needs to be positioned to respond to complex, time-bound requests for records.

**(d) Financial resource requirements**

(Thousands of United States dollars)

<i>Category</i>	<i>Expenditures (2011/12)</i>	<i>Apportionment (2012/13)</i>	<i>Cost estimates (2013/14)</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	11 482.6	10 907.8	12 046.8	1 139.0	10.4
II. Non-post resources					
General temporary assistance	870.9	1 179.9	1 262.9	83.0	7.0
Consultants	584.7	416.3	242.0	(174.3)	(41.9)
Official travel	622.2	730.3	765.4	35.1	4.8
Facilities and infrastructure	176.1	–	–	–	–
Information technology	–	22.3	82.0	59.7	267.7
Other supplies, services and equipment	795.5	914.7	893.9	(20.8)	(2.3)
<b>Subtotal II</b>	<b>3 049.4</b>	<b>3 263.5</b>	<b>3 246.2</b>	<b>(17.3)</b>	<b>(0.5)</b>
<b>Total</b>	<b>14 532.0</b>	<b>14 171.3</b>	<b>15 293.0</b>	<b>1 121.7</b>	<b>7.9</b>

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

<b>Posts</b>	<i>Cost estimates</i>	<i>Variance</i>	
	\$12 046.8	\$1 139.0	10.4%

471. The provision would cover the salaries, common staff costs and staff assessments for the 78 posts. The higher requirements result from: (a) the application of lower vacancy factors to the cost estimates for the 2013/14 financial period compared with the rates factored in the resources approved for 2012/13 (see para. 28 above); and (b) the estimation of common staff costs at a higher percentage of net salaries compared with the budget for 2012/13 (see para. 29 above).

<b>General temporary assistance</b>	<i>Cost estimates</i>	<i>Variance</i>	
	\$1 262.9	\$83.0	7.0%

472. The requirements would provide for the proposed continuation of eight general temporary assistance positions. The higher requirements result from: (a) the application of lower vacancy factors to the cost estimates for the 2013/14 financial period compared with the rates factored in the resources approved for 2012/13 (see para. 28 above); and (b) the estimation of common staff costs at a higher percentage of net salaries compared with the budget for 2012/13 (see para. 29 above). The higher requirements are offset in part by the proposed reduction of two general temporary assistance positions.

<b>Consultants</b>	<i>Cost estimates</i>	<i>Variance</i>	
	\$242.0	(\$174.3)	(41.9%)

473. The consultancy requirements are as follows:

(United States dollars)

<i>Expertise</i>	<i>Person-months</i>	<i>Amount</i>	<i>Output reference</i>
Archive digitization/cataloguing/ preservation/security		200 000	50,000 pages of peacekeeping archives posted on the United Nations website for public consultation
Development of public access portal to non-sensitive archives arrangements	4	15 000	1,000 reference responses to the Organization and Member States regarding peacekeeping archives
Development of archival training video	4	20 000	50,000 pages of peacekeeping archives posted on the United Nations website for public consultation
Training	1	7 000	Follow-up on applications for registration in the United Nations Global Marketplace with all vendors that participated in business seminars within one month
<b>Total</b>		<b>242 000</b>	

474. An amount of \$200,000 is proposed for the engagement of a consultant for ongoing external archival cataloguing and digitization services as well as the digital preservation of peacekeeping records which are stored in a commercial facility.

475. An amount of \$15,000 is proposed for the engagement for four person-months of a consultant to develop a public access portal to non-sensitive archives of peacekeeping operations.

476. An amount of \$20,000 is proposed for the engagement of a consultant with technical expertise to develop a set of training videos on records management for peacekeeping mission personnel.

477. An amount of \$7,000 is proposed for the engagement for less than one person-month of a consultant with technical expertise to provide training on the evaluation of financial statements in the context of vendor registration and training on construction contract bidding, selection, negotiation and management.

478. The lower requirements are attributable to the fact that: (a) the consultancy services in relation to the review of corporate ethics and compliance, which in 2012/13 were reflected under the Office of Central Support Services, are proposed for 2013/14 under the Ethics Office, which will now oversee this process in order to ensure the independence of the review and to avoid conflicts of interest (see para. 622 below); and (b) the review of the information and communications technology contractual personnel arrangements, for which provision was made in 2012/13, has been completed and therefore will no longer be required.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Official travel</b>	\$765.4	\$35.1	4.8%

479. 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	65 000	25 site visits, bidders' conferences and contract negotiations prior to contract award for the new tenders launched, participation in 7 trade and industry fairs to ensure competition is maximized and participation in the rations contract management conference of the Department of Field Support at UNLB  Implementation of a records management programme in adherence to United Nations record-keeping requirements at UNMIL and guidance on transferring digital archives from MINUSTAH to Headquarters for preservation
Technical support	68 000	7 procurement assistance visits (UNDOF, UNLB, UNISFA, MINURSO, UNFICYP, MONUSCO and UNOCI)
Seminars/conferences/ workshops	571 000	25 site visits, bidders' conferences and contract negotiations prior to contract award for the new tenders launched, participation in 7 trade and industry fairs to ensure competition is maximized and participation in the rations contract management conference of the Department of Field Support at UNLB  Organization of an air carrier workshop for the existing vendors and new applicants on revised solicitation and registration methods and the reviewed draft contract  Organization of business seminars in 36 locations for developing countries and countries with economies in transition and training of 10 staff from chambers of commerce on procedures for vendor registration
Training travel	61 400	35 staff trained in supply and value chain management, contracting for fuel, food rations, vehicles, sea charter, air charter and other specialized training courses  100 staff in Headquarters and field operations trained in procurement courses offered online at the Procurement Training Campus  1 workshop on records, information and archives for peacekeeping operations personnel at the Regional Service Centre at Entebbe
<b>Total</b>	<b>765 400</b>	

480. An amount of \$65,000 is proposed to undertake complex contract negotiations with vendors for consultancies, rations management and aviation management software which would require site inspections (\$53,000); and two on-site mission visits to MINUSTAH and UNMIL to implement record management programmes in compliance with United Nations recordkeeping requirements and to identify archival records for immediate or future transfer to Headquarters (\$12,000).

481. An amount of \$68,000 is proposed to conduct annual reviews of procurement activities in field operations 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.

482. An amount of \$571,000 is proposed to provide for participation in or the delivery of the following seminars/conferences/workshops: (a) on-site bidders' conferences for high-value food, fuel and vehicle contracts in peacekeeping missions to provide first-hand knowledge of local infrastructures and the complex logistical

requirements of missions, which is needed by vendors in order to submit proposals or establish high-value systems contracts for engineering supplies/equipment; similarly, the establishment of high-value systems contracts for field supplies entails technical inspections of vendors' prototypes and/or production lines followed by contract negotiations (\$206,000); (b) business seminars in 36 locations and peacekeeping operations in order to review the capacity of vendors in those areas and disseminate information on procurement opportunities; the proposed visits would also allow the Procurement Division to conduct preliminary assessments of potential locations for consultation with host country organizations, such as chambers of commerce (\$347,000); and (c) an annual air carrier workshop, in cooperation with DFS, to brief the industry on new developments regarding solicitation methods and revised model contracts and to obtain industry feedback (\$18,000).

483. An amount of \$61,400 is proposed to undertake the following training activities: the conduct of training courses at UNLB to better support the procurement activities of peacekeeping operations through an improved understanding of requirements, processes, challenges and procedures that mission staff face on a daily basis (\$13,000); participation in supply chain management and high-value contract management training (\$15,000); delivery of air charter-related training to ensure better understanding of the technical requirements and cost implications of charterers' responsibilities, standard industry practice and terminology (\$12,000); the conduct of training on compliance with internal controls in United Nations procurement activities (\$3,000); and the delivery of a workshop on records, information and archives for peacekeeping staff (\$18,400).

484. The higher requirements are attributable to the required periodic rebidding and establishment of new systems contracts that will occur in 2013/14.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Information technology</b>	\$82.0	\$59.7	267.7%

485. An amount of \$82,000 is proposed for the archiving of software licences and upgrades (\$12,000); various non-standard information technology equipment and software acquisitions of the Procurement Division (\$45,000); and software acquisition for the digital preservation of peacekeeping archival materials and network storage requirements of peacekeeping missions' digital records (\$25,000).

486. The higher requirements are attributable to the fact that the resources for the acquisition of information technology equipment and software for the Procurement Division were reflected under the Executive Office of the Department of Management in the Office of the Under-Secretary-General in 2012/13 and are now reflected under the Office of Central Support Services, in order to allow appropriate management of the funds.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Other supplies, services and equipment</b>	\$893.9	(\$20.8)	(2.3%)

487. An amount of \$893,900 is proposed to provide for: the cost of commercial storage and handling with a third-party service provider for the archiving of peacekeeping operations records at Headquarters (\$200,000); vendor screening

services (\$200,000); maintenance of the United Nations Global Marketplace (\$200,000); subscription to Dun and Bradstreet vendor credit reports (\$35,000); storage supplies and specialized equipment related to archiving (\$45,000); subscription to an international publication search engine and news services related to global providers of energy and the chemical industry (\$38,500); and training fees to attend various specialized technical certification programmes in the Procurement Division (\$175,400).

488. The lower requirements are attributable primarily to the reduced requirements for archiving of peacekeeping operations records, based on past period expenditure patterns, offset in part by additional requirements for supply chain management training courses which will add value to procurement exercises in support of peacekeeping operations and additional training on information technology and change management in order to assist staff members in coping with current and future information systems-related challenges.

## **5. Office of Information and Communications Technology**

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

489. The mandate of the Office of Information and Communications Technology was established by the General Assembly in its resolution 63/262.

490. The Office provides central leadership for the establishment and implementation of Organization-wide information and communications technology standards and activities in order to ensure efficient utilization of resources, modernization of information systems and improvement in the information and communications technology services available to the United Nations. With regard to the development of information and communications technology for field missions, the Office works closely with DFS and focuses on the strategic initiatives set out in the report of the Secretary-General on investing in information and communications technology (A/62/793/Add.1), including: information and communications technology architecture and standard-setting efforts; planning and implementation of major infrastructure improvements for the field; development, implementation and support of Organization-wide and major shared applications; centralized information technology project management support activities; coordination of disaster recovery and business continuity planning for the field; review of information and communications technology budget requirements against strategy and priorities prior to their submission to the Controller; strategic oversight of functions related to information and communications technology at UNLB and the United Nations Support Base (secondary active telecommunications facility), including review and approval of strategic direction, technical architecture and design, and infrastructure improvements. In addition, the Office provides information technology infrastructure support at Headquarters to departments that backstop and support peacekeeping operations.

491. The Office currently comprises the immediate office of the Chief Information Technology Officer, the Strategic Management Service and the Programme Management Division, which includes the Resource Management Service, the Knowledge Management Service, the Infrastructure Management Service and the Field Systems Section.

<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 established information and communications technology infrastructure at Headquarters and existing enterprise information systems at Headquarters and all peacekeeping operations (2011/12: 99 per cent; 2012/13: 99 per cent; 2013/14: 99 per cent)</p> <p>3.2 99 per cent availability of implemented enterprise information systems at Headquarters and in field operations (2011/12: 99 per cent; 2012/13: 99 per cent; 2013/14: 99 per cent)</p> <p>3.3 98 per cent accuracy of profile information for peacekeeping staff in the global warden system (2011/12: not applicable; 2012/13: not applicable; 2013/14: 98 per cent)</p> <p>3.4 100 per cent geolocation of staff in peacekeeping operations where enterprise information portal-based presence awareness system is deployed (2011/12: not applicable; 2012/13: not applicable; 2013/14: 100 per cent)</p>

*Outputs*

- Connectivity to the network and infrastructure support for access to existing enterprise systems, for example the intranet and the integrated management information system, and to secure communications, including voice and video calls
- Implementation of the contingent-owned equipment application/customer relationship management solution for troop-contribution management in 2 peacekeeping operations
- Provision of application support to the United Nations Operations Crisis Centre 24 hours a day, 7 days a week
- Implementation of an electronic fuel management system in 2 peacekeeping operations
- Development of an electronic rations management solution
- Provision of application support for enterprise systems, including, where necessary, business process re-engineering to fully benefit from the enterprise identity management system
- Extension of the global warden system to include profiles of all peacekeeping personnel
- Implementation of the enterprise information portal in 4 peacekeeping operations, to include presence awareness and geolocation of staff

*External factors*

Security considerations in peacekeeping operations and UNSOA will allow for the successful implementation of approved enterprise information technology systems in the field

**(b) Human resources requirements**

<i>Category</i>	<i>Approved staffing 2012/13</i>	<i>Redeployment, reassignment, reclassification, abolishment, discontinuation</i>	<i>General temporary assistance conversions</i>	<i>New posts/positions proposed</i>	<i>Total proposed 2013/14</i>	<i>Change</i>
<b>Posts</b>						
<b>Professional and higher</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>–</b>	<b>–</b>	<b>–</b>	<b>10</b>	<b>–</b>
<b>General Service and related</b>						
Principal level	3	–	–	–	3	–
Other level	1	–	–	–	1	–
<b>Subtotal</b>	<b>4</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>4</b>	<b>–</b>
<b>Total</b>	<b>14</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>14</b>	<b>–</b>
<b>General temporary assistance positions</b>						
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	–	–	–	–	–	–
D-1	–	–	–	–	–	–
P-5	–	–	–	–	–	–
P-4	1	–	–	–	1	–
P-3	2	–	–	–	2	–
P-2/P-1	–	–	–	–	–	–
<b>Subtotal</b>	<b>3</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>3</b>	<b>–</b>
<b>General Service and related</b>						
Principal level	–	–	–	–	–	–
Other level	–	–	–	–	–	–
<b>Subtotal</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>–</b>
<b>Total</b>	<b>3</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>3</b>	<b>–</b>
<b>Total posts and positions</b>	<b>17</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>17</b>	<b>–</b>

(c) **Justification of general temporary assistance positions**

**Resource Management Service**

492. The approved staffing establishment of the Resource Management Service includes two general temporary assistance positions (1 P-4 and 1 P-3) and no posts funded from the support account.

**Customer relationship management solution for troop contribution management (contingent-owned equipment application)**

*Project Manager (1 P-4 position, continuation)*

*Information Systems Officer (1 P-3 position, continuation)*

493. The customer relationship management solution for troop contribution management has automated data import of memorandum of understanding and inspection processes for contingent-owned equipment in peacekeeping operations. Future plans include integration with the Umoja payment module and mobile technology for the inspectors in the field to streamline manual tasks. 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. As indicated in the 2011/12 performance report (A/67/635), the customer relationship management solution for troop contribution management was implemented in four field operations, and it is expected to maintain the same implementation pace for 2012/13, while implementation is planned in two additional peacekeeping operations in 2013/14. With all system implementation processes, the scheduling of the implementation of the contingent-owned equipment application is subject to the operational requirements of the missions, including external constraints such as the security situation on the ground, visa issuance by the host country and the mobilization of mission staff necessary for the implementation of the system in the event of unanticipated operations, such as that undertaken in Mali.

494. Each deployment of the contingent-owned equipment software application to a peacekeeping operation constitutes a specific project. These include such activities as the formalization of user requirements; analysis of business processes; re-engineering of business processes if necessary; data-mapping; design, configuration and/or customization of the software; testing, preparation of training material/data/equipment; training of users; and going live. Each operation has its own set of processes to record, analyse and assimilate inspection data to generate verification reports. The objective of the project is to standardize those processes (process re-engineering), thereby reducing the time and effort involved in submitting reports for reimbursement. No deployment is a replication of a previous deployment because the business processes and the substantive needs vary from one peacekeeping operation to another.

495. Accordingly, it is proposed that two general temporary assistance positions of Project Manager (P-4) and Information Systems Officer for application support (P-3) be continued to continue development and deployment for the duration of the project.

### Electronic fuel management system

#### *Information Systems Officer (1 P-3 position, continuation)*

496. The electronic fuel management system aims to provide full transparency of the fuel supply chain, monitor consumption and help detect misappropriation. The plan to roll out the electronic fuel management system software in four peacekeeping operations was not carried out owing to the termination of the contract with the vendor as indicated in the 2011/12 performance report (A/67/635). An in-house solution was subsequently developed and tested in MINUSTAH. Implementation in peacekeeping operations is ongoing, while enhancements are being added to achieve a higher level of automation, further streamline data entry and eliminate data input errors. The implementation of the system in two peacekeeping operations is planned for 2013/14.

497. Each deployment of the electronic fuel management system to a peacekeeping operation constitutes a specific project. These include such activities as analysis of business processes; re-engineering of business processes if necessary; data-mapping; configuration of mission equipment data; testing; preparation of training material/data/equipment; training of users; and going live. No deployment is a replication of a previous deployment, because the business processes and the substantive needs vary from one peacekeeping operation to another.

498. Accordingly, it is proposed that one general temporary assistance position of Information Systems Officer (P-3) be continued to assist the Resource Management Service, as the focal point for implementation of the system for peacekeeping operations and for developing the system interfaces with local applications at peacekeeping operations.

#### (d) Financial resource requirements

(Thousands of United States dollars)

Category	Expenditures (2011/12) (1)	Apportionment (2012/13) (2)	Cost estimates (2013/14) (3)	Variance	
				Amount (4)=(3)-(2)	Percentage (5)=(4)÷(2)
I. Post resources	1 706.9	1 899.5	2 163.0	263.5	13.9
II. Non-post resources					
General temporary assistance	789.3	327.1	552.1	225.0	68.8
Official travel	408.5	331.9	331.2	(0.7)	(0.2)
Facilities and infrastructure	7.5	–	–	–	–
Communications	21.0	–	–	–	–
Information technology	6 296.7	4 350.6	4 350.6	–	–
<b>Subtotal II</b>	<b>7 523.0</b>	<b>5 009.6</b>	<b>5 233.9</b>	<b>224.3</b>	<b>4.5</b>
<b>Total</b>	<b>9 229.9</b>	<b>6 909.1</b>	<b>7 369.9</b>	<b>487.8</b>	<b>7.1</b>

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

<b>Posts</b>	<i>Cost estimates</i>	<i>Variance</i>	
	\$2 163.0	\$263.5	13.9%

499. The provision would cover salaries, common staff costs and staff assessments for the 14 continuing posts. The higher requirements result from: (a) the application of lower vacancy factors to the cost estimates for the 2013/14 financial period compared with the rates factored in the resources approved for 2012/13 (see para. 28 above); and (b) the estimation of common staff costs at a higher percentage of net salaries compared with the budget for 2012/13 (see para. 29 above).

<b>General temporary assistance</b>	<i>Cost estimates</i>	<i>Variance</i>	
	\$552.1	\$225.0	68.8%

500. The requirements would provide for the proposed continuation of three general temporary assistance positions. The higher requirements result from: (a) the application of lower vacancy factors to the cost estimates for the 2013/14 financial period compared with the rates factored in the resources approved for 2012/13 (see para. 28 above); and (b) the estimation of common staff costs at a higher percentage of net salaries compared with the budget for 2012/13 (see para. 29 above).

<b>Official travel</b>	<i>Cost estimates</i>	<i>Variance</i>	
	\$331.2	(\$0.7)	(0.2%)

501. 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	31 500	Implementation of the contingent-owned equipment application/customer relationship management solution for troop contribution management in 2 peacekeeping operations  Provision of support to the United Nations Operations Crisis Centre 24 hours a day, 7 days a week  Implementation of an electronic fuel management system in 2 peacekeeping operations  Development of an electronic rations management solution
Technical support	299 700	Implementation of the contingent-owned equipment application/customer relationship management solution for troop contribution management in 2 peacekeeping operations  Implementation of an electronic fuel management system in 2 peacekeeping operations  Development of an electronic rations management solution  Provision of support to peacekeeping operations, including, where necessary, business process re-engineering to fully benefit from the enterprise identity management system

<i>Type of travel</i>	<i>Amount</i>	<i>Output reference</i>
		Deployment to 4 peacekeeping missions of the enterprise information portal to include presence awareness and geolocation of United Nations staff
		Extension of the global warden system to include profiles of all peacekeeping personnel
<b>Total</b>	<b>331 200</b>	

502. An amount of \$31,500 is proposed to undertake the following mission planning/assessment/consultation activities: assess field mission solutions for the global knowledge management strategy and ensure that institutional knowledge is retained, available and accessible throughout peacekeeping operations (\$26,700); and assess peacekeeping operation automation needs, the status of field systems and alignment between the Organization's strategic information and communications technology programmes and information systems delivery for peacekeeping operations (\$4,800).

503. An amount of \$299,700 is proposed to undertake the following technical support activities: the implementation of the electronic fuel management system in two peacekeeping operations (\$103,100); the implementation of the contingent-owned equipment application/customer relationship management solution for troop contribution management in two peacekeeping operations (\$90,600); the development of an electronic rations management solution (\$44,800); the provision of support to peacekeeping operations on the enterprise identity management system (\$25,200); the establishment of support capacity for the enterprise information portal solutions to ensure that the system is available and field missions are able to support it effectively (\$17,800); and the implementation of the profiles component of the global warden system and the establishment of capacity to geolocate personnel in four peacekeeping operations (\$18,200).

	<i>Cost estimates</i>	<i>Variance</i>
<b>Information technology</b>	\$4 350.6	- -

504. An amount of \$4,350,600 would provide for non-standard requirements for the acquisition of specialized information technology equipment and software, software licences and fees and contractual services for ongoing support and for the development of applications to meet peacekeeping business needs, as indicated in the tables and described in the paragraphs below.

#### **Non-standard information technology by category**

(United States dollars)

<b>Equipment</b>	
Satellite Earth station	90 000
<b>Subtotal</b>	<b>90 000</b>

<b>Software</b>	
Fuel management system	23 800
<b>Subtotal</b>	<b>23 800</b>
<b>Software licences and fees</b>	
Customer relationship management/troop contribution management project	8 100
Fuel management system	3 600
Enterprise identity management system	4 100
Global warden system	90 600
Contacts database	15 100
<b>Subtotal</b>	<b>121 500</b>
<b>Contractual services</b>	
<b>Ongoing support</b>	
Secondary data centre	370 465
Customer relationship management/troop contribution management project	466 200
Fuel management system	126 700
Enterprise information portal	480 000
Enterprise identity management system	475 200
Global warden system	120 000
Satellite Earth station	111 800
Contacts database	306 300
<b>Subtotal</b>	<b>2 456 665</b>
<b>Development of applications</b>	
Customer relationship management/troop contribution management project	253 400
Fuel management system	475 200
Rations management system	930 000
<b>Subtotal</b>	<b>1 658 600</b>
<b>Total</b>	<b>4 350 565</b>

### Non-standard information technology by project

(United States dollars)

<b>Secondary data centre</b>	<b>370 465</b>
<b>Customer relationship management/troop contribution management project</b>	
Software licences and fees	8 100
Contractual services — ongoing support	466 200
Contractual services — development of applications	253 400
<b>Subtotal</b>	<b>727 700</b>

<b>Fuel management system</b>	
Software	23 800
Software licences and fees	3 600
Contractual services — ongoing support	126 700
Contractual services — development of applications	475 200
<b>Subtotal</b>	<b>629 300</b>
<b>Rations management system</b>	
Contractual services — development of applications	930 000
<b>Subtotal</b>	<b>930 000</b>
<b>Enterprise information portal</b>	
Contractual services — ongoing support	480 000
<b>Subtotal</b>	<b>480 000</b>
<b>Enterprise identity management system</b>	
Software licences and fees	4 100
Contractual services — ongoing support	475 200
<b>Subtotal</b>	<b>479 300</b>
<b>Global warden system</b>	
Software licences and fees	90 600
Contractual services — ongoing support	120 000
<b>Subtotal</b>	<b>210 600</b>
<b>Satellite Earth station</b>	
Hardware	90 000
Contractual services — ongoing support	111 800
<b>Subtotal</b>	<b>201 800</b>
<b>Contacts database</b>	
Software licences and fees	15 100
Contractual services — ongoing support	306 300
<b>Subtotal</b>	<b>321 400</b>
<b>Total</b>	<b>4 350 565</b>

505. The resources for contractual personnel specializing in information technology are estimated on the basis of memorandums of understanding or contract agreements established with the International Computing Centre and UNOPS, including an 8 per cent personnel administration cost, or other approved vendors for ongoing support services and development projects. Contractual services at Headquarters are undertaken by a staffing complement of 25 contractual personnel working at levels equivalent to those under the United Nations grade-level system. A provision for common charges, such as rental space, office supplies and desktop services under the information technology standard-level agreement with the Office of Information and Communications Technology, has been estimated for contractual personnel at

Headquarters and included in the relevant resource class under the central responsible department or office. These initiatives do not overlap with, and are complementary to, the enterprise resource planning system (Umoja).

506. Software licences and their maintenance fees in connection with the expansion of the pool of registered users for field systems and contractual services for the ongoing support of these systems whereby implementation is complete would be included in the budgets of peacekeeping operations.

#### **Secondary data centre**

507. An amount of \$370,465 is proposed for the recurring requirements for the secondary data centre at Headquarters pursuant to General Assembly resolution 66/247.

#### **Customer relationship management solution for troop contribution management (contingent-owned equipment application)**

508. An amount of \$727,700 is proposed to continue the implementation of the contingent-owned equipment software application in peacekeeping operations. The first release of the application was implemented in May 2011; during the 2011/12 period, functional enhancements were added, and the application was deployed in four peacekeeping operations. Implementation is planned in two additional peacekeeping operations for 2013/14.

- **Software licences and fees.** An amount of \$8,100 is proposed for the maintenance of the software and database licences for 14 users of the contingent-owned equipment application in DFS at Headquarters.
- **Contractual services: ongoing support.** An amount of \$466,200 is proposed for continued ongoing support services for system users at Headquarters and for users across multiple time zones in peacekeeping operations during the deployment of the application, by five systems analysts on two 8-hour shifts.
- **Contractual services: development.** An amount of \$253,400 is proposed for continued development and deployment of the application by two application developers located in Entebbe, including business process mapping, data gathering, functional and integration testing, formulation of training material and end-user training.

509. The contractual services are estimated at \$8,567 per contractor per month for the period.

#### **Electronic fuel management system**

510. An amount of \$629,300 is proposed for the implementation of the electronic fuel management system. The first release of the system has been implemented in MINUSTAH, and further implementation of the system is planned in two additional peacekeeping operations in 2013/14.

- **Acquisition of software.** An amount of \$23,800 is proposed for software which will create a barcode on each driving licence, as required by the fuel management solution, to allow for the display of fuel storage and consumption data.

- **Software licences and fees.** An amount of \$3,600 is proposed for four DFS users of the system at Headquarters.
- **Contractual services: ongoing support.** An amount of \$126,700 is proposed for one contractor to provide level-1 support services to system users at Headquarters, and to users in peacekeeping operations during the deployment of the system.
- **Contractual services: development.** An amount of \$475,200 is proposed for three contractors to continue business process mapping, data-gathering, functional testing, formulating training material and end-user training. On the basis of the implementation in MINUSTAH, each deployment will require a significant amount of preparation on site before “going live”.

511. The contractual services are estimated at \$12,539 per contractor per month for the period.

#### **Electronic rations management system**

512. An amount of \$930,000 is proposed for the development of the application. After two failed attempts to acquire a commercial solution for rations and food management, the Office of Information and Communications Technology is developing an internal solution. A prototype is scheduled to be presented to DFS in the first quarter of 2013, and phase 1 will be ready for integration with Umoja by December 2013. The actual integration with Umoja is scheduled for the period from January to June 2014.

- **Contractual services: development.** An amount of \$930,000 is proposed for five contractors to work on business process mapping, data-gathering, software configuration, development, integration with Umoja and functional testing.

513. The contractual services are estimated at \$15,500 per contractor per month for the period.

#### **Enterprise information portal**

514. An amount of \$480,000 is proposed for the maintenance of the information portal and integration with the additional information technology systems that have been implemented in support of peacekeeping operations, specifically the peacekeeping policy and practice database, the intranet and mission websites.

- **Contractual services: ongoing support.** An amount of \$480,000 is proposed for two full-time analysts to provide support and undertake integration activities and two part-time analysts to provide support on an ad hoc basis, depending on user requirements, at Headquarters, and in peacekeeping operations during the deployment of the system.

515. The contractual services are estimated at \$13,300 per contractor per month for the period.

#### **Enterprise identity management system**

516. An amount of \$479,300 is proposed to continue the implementation of the enterprise identity management system, which streamlines organizational identity management processes and provides a single repository for user information

management. The system supports secure identity management and enhances information on the location of peacekeeping personnel in the field.

517. Since 2009, the system has consolidated an authoritative repository of United Nations personnel of eight peacekeeping missions (UNIFIL, UNMIL, MINUSTAH, UNDOF, UNFICYP, UNOCI, UNISFA and UNAMID), as well as UNLB, the Support Base in Valencia, and the Regional Service Centre in Entebbe. The implementation of the system is currently under way and deployment is planned for all remaining peacekeeping operations by June 2014. The deployment of the system is a prerequisite for the deployment of the contingent-owned equipment application.

- **Software licences and fees.** An amount of \$4,100 is proposed for the maintenance of the software licences of the 900 users of the application in DFS at Headquarters. Ongoing maintenance fees for users in the field are included in peacekeeping operation budgets.
- **Contractual services: ongoing support.** An amount of \$475,200 is proposed for two contractors to provide ongoing level-1 support services to users at Headquarters and in peacekeeping operations during the deployment of the system (\$316,800) and for one contractor to provide level-2 support, including change requests from the field missions, such as those related to business re-engineering, in order to maximize the benefits of the system (\$158,400).

518. The contractual services are estimated at \$13,200 per contractor per month for the period.

#### **Global warden system**

519. An amount of \$210,600 is proposed to continue the implementation of the system, the purpose of which is to manage the allocation of wardens to zones and provide United Nations personnel with the most up-to-date information about the steps being taken to prepare for crisis situations. In addition, it would ensure that all staff members and their dependants were briefed on security measures in place at the duty station and that appropriate arrangements were in place for the security of staff. It would also ensure the conduct of security surveys of residential areas and premises and the preparation and planning of responses to crisis situations. The proposal pertains to the ongoing support of the system.

- **Software licences and fees.** An amount of \$90,600 is proposed to cover maintenance fees on existing enterprise licences for users at Headquarters (\$60,600) and for the purchase of additional licences to extend access to the system (\$30,000).
- **Contractual services: ongoing support.** An amount of \$120,000 is proposed for one systems administrator to provide support services.

520. The contractual services are estimated at \$10,000 per contractor per month for the period.

#### **Satellite Earth station**

521. An amount of \$201,800 is proposed to maintain the operation of the station, which provides back-up communications infrastructure for high-level officials at United Nations Headquarters and in field operations. For example, the station would allow for continuous voice and data connectivity through the Global Service Centre

and/or other locations via satellite in the event of a crisis during the general debate of the General Assembly or during day-to-day interruptions in the links between Headquarters and field operations. The satellite technology complements the secondary data centre, which supports voice and data via telecommunication lines provided by local carriers, in the event that local communication is impaired.

- **Acquisition of hardware.** An amount of \$90,000 is proposed for the replacement of two broadband global area network satellite access terminals (\$14,000), routers (\$40,000) and switches (\$36,000), which allow the transmission of data between Headquarters and all field operations.
- **Contractual services: ongoing support.** An amount of \$111,800 is proposed for continued maintenance and usage of the satellite network, representing the yearly maintenance cost for the equipment (\$62,800) and the annual charges for service provider (\$49,000).

### **Contacts database**

522. An amount of \$321,400 is proposed to support the contacts database system for the United Nations Operations Crisis Centre, which was developed and implemented during 2012/13 within existing resources (see para. 12). The technology, which was developed leveraging existing United Nations systems, is used by operations officers to manage the emergency contact data of key United Nations personnel in the field and senior managers at Headquarters and to connect them with Member States at any given time, during crisis situations and regular operations. Resources approved for the enterprise information portal were reprioritized given the urgency of ensuring that crisis operations have the necessary dedicated support. The implementation of the portal project will continue in 2013/14. The funding proposal is presented under the Office of Information and Communications Technology, as the Office provides technological support to the United Nations Operations and Crisis Centre contacts database 24 hours a day, 7 days a week, and covers software licences for the operations officers running the system at Headquarters.

- **Software licences and fees.** An amount of \$15,100 is proposed to license 26 officers operating the contacts database application at Headquarters.
- **Contractual services: ongoing support.** An amount of \$306,300 is proposed to support the system, providing for two contractors to provide level-1 support (\$242,900). The system will need to be supported 24 hours, 7 days a week. There are 21 shifts of 8 hours per week, which justifies the use of four contractual personnel. However, it is proposed that 60 per cent of the workload be covered initially with adjustments made on the basis of actual need. It is also proposed that a contractor be provided for level-2 support to carry out changes as requested by stakeholders (\$63,400).

523. The contractual services are estimated at \$8,509 per contractor per month for the period.

## **D. Office of Internal Oversight Services**

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

524. The mandate of the Office of Internal Oversight Services was established by the General Assembly in its resolutions 48/218 B, 54/244 and 59/272. The functions of the Office are set out in 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 in coordination with the other United Nations oversight bodies, namely, the United Nations Board of Auditors and the Joint Inspection Unit.

525. The Office contributes to United Nations goals by promoting the responsible administration of resources and improved programme performance, as well as 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 effective 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.

526. The Internal Audit Division will continue to use a risk-based audit planning approach in accordance with the International Standards for the Professional Practice of Internal Auditing and develop its 2013/14 audit workplan taking into account the recommendations of the Independent Audit Advisory Committee. The Division identified and assessed the risks to peacekeeping operations, as well as the related key controls to mitigate these risks. Based on the level of residual risk, the Internal Audit Division will prioritize audit assignments for 2013/14. In addition, management requests for audits to address specific areas of concern were considered in selecting assignments. The Division also coordinated with the Board of Auditors, the Joint Inspection Unit and other divisions within OIOS to increase complementarities and avoid duplication.

527. The Inspection and Evaluation Division will continue to focus its work on evaluative oversight of peacekeeping through mission-specific and thematic evaluations and inspections assessing aspects of the relevance, efficiency and effectiveness (including impact) of peacekeeping operations. The workplan for 2013/14 will include three evaluations and/or inspections that are mission-specific and/or cross-cutting on topics of strategic importance to all peacekeeping missions within the context of the overall strategic approach of the OIOS evaluation and inspection function.

528. The Investigations Division will continue to focus its work on conducting administrative fact-finding investigations aimed at promoting the responsible administration of resources and improved programme performance, as well as a culture of accountability and transparency accomplished through the issuance of timely, high-quality reports on investigations, in accordance with applicable professional standards. With the conclusion of the pilot project designated by the General Assembly in its resolution 63/287, the financial period of 2013/14 represents

an opportunity to implement the findings of the pilot project and to put in place an integrated structure aimed at improving the full spectrum of service delivery while ensuring cost efficiencies and transparency. The operational component of the Division would thereby focus on only location-dependent activities performed at the regional centres based in Entebbe and Vienna, at specific mission locations (MONUSCO, MINUSTAH, UNMIL, UNMISS and UNOCI) and at the United Nations Headquarters in New York. The present report should be read in conjunction with the comprehensive reports of the Secretary-General on the implementation of the pilot project designated by the General Assembly in resolution 63/287 (A/66/755 and A/67/751).

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*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 90 per cent of OIOS reports are submitted to the General Assembly in accordance with required deadlines (2012/13: 90 per cent; 2013/14: 90 per cent)

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*Outputs*

- OIOS reports specifically requested by the General Assembly
- Annual report to the General Assembly on peacekeeping oversight results

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*Expected accomplishments*
*Indicators of achievement*

3.1 Increased efficiency and effectiveness of peacekeeping operations

3.1 Acceptance of 95 per cent of recommendations issued by the Internal Audit Division (2011/12: 100 per cent; 2012/13: 95 per cent; 2013/14: 95 per cent)

3.2 Acceptance of 95 per cent of evaluation and inspection recommendations (2011/12: 100 per cent; 2012/13: 95 per cent; 2013/14: 95 per cent)

3.3 100 per cent 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 are reviewed (2011/12: not applicable; 2012/13: 100 per cent; 2013/14: 100 per cent)

3.4 Advisory notes addressing oversight issues in peacekeeping operations issued to DFS and mission management, as well as to the Department of Management (2011/12: not applicable; 2012/13: 5 per cent of completed investigations; 2013/14: 6 per cent of completed investigations)

3.5 70 per cent of investigations are completed within 12 months or less (2011/12: not applicable; 2012/13: 70 per cent; 2013/14: 70 per cent)

3.6 Personnel of 70 per cent of peacekeeping missions are trained on basic investigation techniques (2011/12: not applicable; 2012/13: 70 per cent; 2013/14: 70 per cent)

3.7 50 per cent reduction of the backlog of investigation cases (2011/12: not applicable; 2012/13: 50 per cent; 2013/14: 50 per cent)

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*Outputs*

- 8 audit reports by United Nations Headquarters auditors
  - 40 audit reports by resident auditors located in peacekeeping missions
  - 6 horizontal audit reports by auditors at United Nations Headquarters and peacekeeping missions
  - 1 annual meeting of chief resident auditors for workplanning and professional development
  - 1 meeting of resident auditors/assistants for professional development and team-building
  - 1 evaluation report addressing aspects of performance in individual peacekeeping missions
  - 2 thematic evaluation or inspection reports addressing cross-cutting strategic priorities or topics
  - 400 reviews and analysis of reports of possible misconduct for decisions as to jurisdiction and investigative action
  - 10 advisory notes issued regarding the oversight of peacekeeping operations
  - 28 backlog investigation cases completed
  - 1 training session for programme managers from all peacekeeping missions on basic investigation techniques
  - 1 yearly review of the investigation policy and policy guidance and/or promulgation of additional policies/guidance on investigation techniques
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*External factors*

External parties will cooperate with the conduct of audit assignment, evaluation and inspection reviews, and investigations

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**(b) Human resources requirements**

<i>Category</i>	<i>Approved staffing 2012/13</i>	<i>Redeployment, reassignment, abolitionment, discontinuation</i>	<i>General temporary assistance conversions</i>	<i>New posts/positions proposed</i>	<i>Total proposed 2013/14</i>	<i>Change</i>
<b>Posts</b>						
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	–	–	–	–	–	–
D-1	1	–	2	–	3	2

<i>Category</i>	<i>Approved staffing 2012/13</i>	<i>Redeployment, reassignment, reclassification, abolishment, discontinuation</i>	<i>General temporary assistance conversions</i>	<i>New posts/positions proposed</i>	<i>Total proposed 2013/14</i>	<i>Change</i>
P-5	11	5	3	–	19	8
P-4	35	(6)	15	–	44	9
P-3	24	(1)	20	–	43	19
P-2/P-1	–	–	–	–	–	–
<b>Subtotal</b>	<b>71</b>	<b>(2)</b>	<b>40</b>	<b>–</b>	<b>109</b>	<b>38</b>
<b>General Service and related</b>						
Principal level	1	–	1	–	2	1
Other level	7	(4)	8	–	11	4
Field Service	16	(1)	–	–	15	(1)
National General Service	4	4	2	–	10	6
<b>Subtotal</b>	<b>28</b>	<b>(1)</b>	<b>11</b>	<b>–</b>	<b>38</b>	<b>10</b>
<b>Total</b>	<b>99</b>	<b>(3)</b>	<b>51</b>	<b>–</b>	<b>147</b>	<b>51</b>
<b>General temporary assistance positions</b>						
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	–	–	–	–	–	–
D-1	2	–	(2)	–	–	(2)
P-5	3	–	(3)	–	–	(3)
P-4	17	–	(15)	–	2	(15)
P-3	20	–	(20)	–	–	(20)
P-2/P-1	–	–	–	–	–	–
<b>Subtotal</b>	<b>42</b>	<b>–</b>	<b>(40)</b>	<b>–</b>	<b>2</b>	<b>(40)</b>
<b>General Service and related</b>						
Principal level	1	–	(1)	–	–	(1)
Other level	8	–	(8)	–	–	(8)
Field Service	–	–	–	–	–	–
National General Service	2	–	(2)	–	–	(2)
<b>Subtotal</b>	<b>11</b>	<b>–</b>	<b>(11)</b>	<b>–</b>	<b>–</b>	<b>(11)</b>
<b>Total</b>	<b>53</b>	<b>–</b>	<b>(51)</b>	<b>–</b>	<b>2</b>	<b>(51)</b>
<b>Total posts and positions</b>	<b>152</b>	<b>(3)</b>	<b>–</b>	<b>–</b>	<b>149</b>	<b>(3)</b>

**(c) Justification of posts****Investigations Division**

*Conversion of 51 general temporary assistance positions (2 D-1, 3 P-5, 15 P-4, 20 P-3, 1 GS (PL), 8 GS (OL) and 2 NGS) to posts*

*Redeployment of 7 posts (1 D-1, 1 P-5, 1 P-4, 3 P-3 and 1 GS (OL)) from Nairobi and 3 posts (1 P-4, 1 P-4 and 1 FS) from UNAMID, UNIFIL and UNMISS, respectively, to the Regional Investigation Office in Entebbe*

*Redeployment of 5 posts (3 P-3 from Vienna, 1 P-4 from New York and 1 GS (OL) from Nairobi) to MINUSTAH*

*Redeployment of 4 posts (1 P-4, 2 P-3 and 1 GS (OL)) from Nairobi to UNOCI*

*Redeployment of 3 posts (1 P-4, 1 P-3 and 1 GS (OL)) from Nairobi to UNMISS*

*Redeployment of 2 posts (1 P-4 and 1 P-3) from Nairobi to UNMIL*

*Redeployment of 1 post (1 P-4) from Nairobi to MONUSCO*

*Redeployment of 1 post (1 P-4) from New York to Vienna*

*Reclassification of 5 posts of Investigator (P-4) to Chief Resident Investigator (P-5) in MONUSCO, MINUSTAH, UNMIL, UNMISS and UNOCI*

*Reclassification of 4 posts (3 Investigations Assistants and 1 Administrative Assistant (General Service (Other level))) to National General Service*

529. In its resolution 63/287, the General Assembly designated a pilot project, from 1 July 2009 to 30 June 2012, on the structure of the Investigations Division based on centres of investigation in Nairobi, Vienna and New York, and resident investigators in seven peacekeeping missions (MONUSCO, MINUSTAH, UNMIL, UNMISS, UNOCI, UNAMID and UNIFIL). As requested by the Assembly in its resolutions 63/287 and 66/236, preliminary (A/65/765), comprehensive (A/66/755) and final reports (A/67/751) on the implementation of the pilot project have been submitted, each outlining lessons learned with a view to more efficient and effective resource allocation to support operational requirements. Furthermore, a comprehensive evaluation of the staffing requirements has been carried out and is reflected in the present budget proposal. The proposal also takes into account the global field support strategy framework and the need to achieve a better balance and performance, including effectiveness and transparency in the use of resources.

530. One of the lessons learned from the pilot project is that if the effectiveness of the new structure is to be ensured, the conversion to posts of 51 general temporary assistance positions (2 D-1, 3 P-5, 15 P-4, 20 P-3, 1 GS (PL), 8 GS (OL) and 2 NGS) is vital, as it has been determined that their functions are of a continuous nature, and the ability to recruit and retain experienced staff rests on the ability to offer a contract with a reasonable duration and meaningful career development.

531. The approved staffing establishment of the Division, in accordance with the pilot project, comprises 51 general temporary assistance positions (2 D-1, 3 P-5, 15 P-4, 20 P-3, 1 GS (PL), 8 GS (OL) and 2 NGS) and 5 posts (1 P-4 in UNIFIL, 1 P-4 in UNAMID, 1 P-3 in New York, 1 FS in UNMISS and 1 GS (OL) in New York), distributed among three centres of investigation and peacekeeping missions, as follows:

<i>Duty station</i>	<i>D-1</i>	<i>P-5</i>	<i>P-4</i>	<i>P-3</i>	<i>Subtotal</i>	<i>FS</i>	<i>GS (PL)</i>	<i>GS (OL)</i>	<i>NGS</i>	<i>Subtotal</i>	<i>Total</i>
New York	–	1	3	2	<b>6</b>	–	–	3	–	<b>3</b>	<b>9</b>
Nairobi	1	1	5	7	<b>14</b>	–	–	4	–	<b>4</b>	<b>18</b>
Vienna	1	1	2	7	<b>11</b>	–	1	2	–	<b>3</b>	<b>14</b>
MINUSTAH	–	–	1	–	<b>1</b>	–	–	–	–	–	<b>1</b>
MONUSCO	–	–	1	1	<b>2</b>	–	–	–	1	<b>1</b>	<b>3</b>
UNAMID	–	–	1	–	<b>1</b>	–	–	–	–	–	<b>1</b>
UNIFIL	–	–	1	–	<b>1</b>	–	–	–	–	–	<b>1</b>
UNMIL	–	–	1	2	<b>3</b>	–	–	–	1	<b>1</b>	<b>4</b>
UNMISS	–	–	1	2	<b>3</b>	1	–	–	–	<b>1</b>	<b>4</b>
UNOCI	–	–	1	–	<b>1</b>	–	–	–	–	–	<b>1</b>
<b>Total</b>	<b>2</b>	<b>3</b>	<b>17</b>	<b>21</b>	<b>43</b>	<b>1</b>	<b>1</b>	<b>9</b>	<b>2</b>	<b>13</b>	<b>56</b>

532. The proposed new structure would comprise a New York office, regional investigation offices in Vienna and Entebbe and resident investigators in five peacekeeping missions (MONUSCO, MINUSTAH, UNMIL, UNMISS and UNOCI), with 56 posts distributed as follows:

<i>Duty station</i>	<i>D-1</i>	<i>P-5</i>	<i>P-4</i>	<i>P-3</i>	<i>Subtotal</i>	<i>FS</i>	<i>GS (PL)</i>	<i>GS (OL)</i>	<i>NGS</i>	<i>Subtotal</i>	<i>Total</i>
New York	–	1	1	2	<b>4</b>	–	–	3	–	<b>3</b>	<b>7</b>
Entebbe	1	1	3	3	<b>8</b>	1	–	–	1	<b>2</b>	<b>10</b>
Vienna	1	1	3	4	<b>9</b>	–	1	2	–	<b>3</b>	<b>12</b>
MINUSTAH	–	1	1	3	<b>5</b>	–	–	–	1	<b>1</b>	<b>6</b>
MONUSCO	–	1	1	1	<b>3</b>	–	–	–	1	<b>1</b>	<b>4</b>
UNMIL	–	1	1	3	<b>5</b>	–	–	–	1	<b>1</b>	<b>6</b>
UNMISS	–	1	1	3	<b>5</b>	–	–	–	1	<b>1</b>	<b>6</b>
UNOCI	–	1	1	2	<b>4</b>	–	–	–	1	<b>1</b>	<b>5</b>
<b>Total</b>	<b>2</b>	<b>8</b>	<b>12</b>	<b>21</b>	<b>43</b>	<b>1</b>	<b>1</b>	<b>5</b>	<b>6</b>	<b>13</b>	<b>56</b>

533. The staffing requirements of each location have been determined on the basis of caseload statistics, historical trends, risk-based exposures, resource consumption by category of case and cost of deployment of staff to each location. With the proposed two regional offices and resident investigators placed in five peacekeeping missions, the new structure would provide a more responsive investigative structure, expedite and improve support to peacekeeping missions, strengthen resource stewardship and accountability while achieving greater efficiencies and allow for enhanced capacity-building of counterpart personnel. It is also expected that the productivity of the investigators placed in each mission will be enhanced, as their presence will facilitate more timely responses to reported matters, observations of the mission environment and the collection of case-specific information, which would result in increased trust in the investigative process. In addition, feedback from mission management has been consistent in supporting the building of the resident investigative capacity.

**Headquarters (New York)**

534. It is proposed that five general temporary assistance positions be converted to posts (1 P-5, 1 P-4, 1 P-3 and 2 GS (OL)) and remain in New York. The New York office would be responsible for investigations related to peacekeeping operations in the Latin American region and to missions with capacity shortfall with geographical proximity. It would also provide surge capacity for investigations necessitating additional resources, as well as assistance to investigations of peacekeeping cases with Headquarters-related aspects. Finally, the New York office would be responsible for the provision of administrative support to investigators in the field, including budget preparation and expenditure monitoring of the whole Division.

535. It is proposed that the New York office be composed of one Senior Investigator (P-5), two Investigators (1 P-4 and 1 P-3), one Administrative Officer (P-3), one Information Technology Assistant (GS (OL)), one Administrative Assistant (GS (OL)) and one Office Assistant (GS (OL)).

**Regional Investigation Office (Vienna)**

536. The Regional Investigation Office in Vienna would comprise 12 posts (1 D-1, 1 P-5, 3 P-4, 4 P-3, 1 GS (PL) and 2 GS (OL)) funded from the support account, and would be responsible for the investigation of cases related to peacekeeping operations in Europe, the Middle East, Asia and North and West Africa. The Division would no longer have a presence in UNIFIL, as the caseload of the Mission has been low. Furthermore, the Vienna Regional Office would be responsible for the case management applications of the Division and would build upon existing OIOS training programmes to increase training capacities as outlined by the General Assembly in its resolutions 57/282 and 59/287.

537. It is proposed that the Vienna Office be composed of one Deputy Director (D-1), one Senior Investigator (P-5), six Investigators (2 P-4 and 4 P-3), one Forensic Investigator (P-4), two Investigation Assistants (1 GS (OL) and 1 GS (PL)) and one Information Technology Assistant (GS (OL)).

**Regional Investigation Office (Entebbe)**

538. It is proposed that a Regional Investigation Office be established in Entebbe, with a simultaneous reduction of the staffing establishment of the Division in UNIFIL and UNAMID, which have low caseloads.

539. The Division will retain an office in Nairobi, however, with posts funded from the regular budget, only as the case file statistics indicate increasing caseloads related to political missions, in addition to carrying out investigations relating to regular budget activities.

540. Entebbe is more suited to handling cases related to peacekeeping than Nairobi, for the following reasons:

(a) With the establishment of a regional investigations centre in Entebbe, OIOS intends to make its peacekeeping support structure mirror that put in place by the Department of Field Support;

(b) In the near future OIOS anticipates increasing numbers of case files originating in Entebbe as DFS shifts more and more of its operations to the Regional Service Centre;

(c) Entebbe is an optimal option, both economically and operationally. With the Regional Service Centre in Entebbe providing United Nations flights to East African missions, OIOS will have the capacity to attend to a reported matter the next day at no air travel costs to OIOS. It should be noted that having OIOS personnel in Entebbe provides the Organization with a regional mission presence at lower salary and common staff costs combined compared with those of the actual peacekeeping mission environment;

(d) OIOS has already established a presence in Entebbe with its Internal Audit Division. Relocating to Entebbe would thus foster synergies within OIOS.

541. The Regional Investigation Office in Entebbe would comprise 10 posts (1 D-1, 1 P-5, 3 P-4, 3 P-3, 1 FS and 1 NGS) and would provide:

(a) A highly effective investigation capacity for:

(i) The entire UNAMID mission area;

(ii) The eastern portions of the Democratic Republic of the Congo covered by MONUSCO;

(b) Investigative assistance to UNMISS;

(c) Support for the entire East Africa region and operational capacity in both digital forensics and professional practices for case investigations;

(d) A significant and sufficiently staffed centre of operations that would promote and allow for increased staff mobility to/from the missions.

542. It is proposed that the Entebbe Office be composed of one Deputy Director (D-1), one Senior Investigator (P-5), five Investigators (2 P-4 and 3 P-3), one Forensic Investigator (P-4), one Investigation Assistant (FS) and one Administrative Assistant (NGS).

#### **Resident investigator offices**

543. It is proposed that resident investigator offices be established in MONUSCO, MINUSTAH, UNMIL, UNMISS and UNOCI. The offices in MINUSTAH, UNMIL and UNMISS would comprise six posts (1 P-5, 1 P-4, 3 P-3 and 1 NGS) each: a Chief Resident Investigator (P-5), four Investigators (1 P-4 and 3 P-3) and one Administrative Assistant (NGS). The Resident Investigator Office in UNOCI would comprise five posts (1 P-5, 1 P-4, 2 P-3 and 1 NGS): a Chief Resident Investigator (P-5), three Investigators (1 P-4 and 2 P-3) and one Administrative Assistant (NGS). The Resident Investigator Office in MONUSCO would comprise four posts (1 P-5, 1 P-4, 1 P-3 and 1 NGS): a Chief Resident Investigator (P-5), two Investigators (1 P-4 and 1 P-3) and one Administrative Assistant (NGS).

544. Each of the resident investigator offices would be headed by a Chief Resident Investigator (P-5), established through the reclassification of five posts of Investigator (P-4). The establishment of Chief Resident Investigator posts at the P-5 level in peacekeeping missions is based on the following rationale:

(a) The incumbents would provide enhanced and appropriate levels of communication/interaction between OIOS and its stakeholders, including senior mission management and conduct and discipline units;

(b) They would provide a more senior on-site leadership capacity in terms of investigative proficiencies, quality review of outgoing reports, and overall managerial responsibilities;

(c) The proposed structure would put in place a field staffing structure that facilitates and fosters mobility with the establishment of meaningful and rewarding career paths for resident investigators. This enhanced structure is expected to appeal to the most qualified applicants and would simultaneously offer long-term prospects, thus improving both staff satisfaction and staff retention.

### **Internal Audit Division**

#### **UNMIT Resident Audit Office**

*Abolishment of three posts (2 Resident Auditor (1 P-4 and 1 P-3) and 1 Auditing Assistant (FS))*

545. The approved staffing establishment of the Resident Audit Office of UNMIT comprises three posts (1 P-4, 1 P-3 and 1 FS) funded from the support account. In view of the closure of UNMIT, it is proposed that two posts of Resident Auditor (1 P-4 and 1 P-3) and one post of Audit Assistant (1 FS) approved for the UNMIT Resident Audit Office be abolished.

#### **(d) Justification of general temporary assistance positions**

### **Internal Audit Division**

#### **Information and Communications Technology Audit Section**

*Information and Communications Technology Auditor (1 P-4 position, continuation)*

546. The approved staffing establishment of the Information and Communications Technology Audit Section comprises one post (P-4) and one general temporary assistance position (P-4) funded from the support account. It is proposed that the general temporary assistance position of Information and Communications Technology Auditor (P-4) be continued. The Section is responsible for overseeing the implementation of the audit workplan in information and communications technology and providing ongoing independent advice to the missions' management on information and communications technology issues. The implementation of the risk-based audit plans in the Information and Communications Technology Audit Section is critical in mitigating risk associated with mission operations. The Information and Communications Technology Auditor would address the deployment in peacekeeping missions of two major Organization-wide enterprise systems (Umoja and Inspira) and the establishment of the Regional Service Centre in Entebbe and the United Nations Support Base in Valencia.

### **Resident Audit Office in UNSOA**

*Resident Auditor (1 P-4 position, continuation)*

547. The approved staffing establishment of the Resident Audit Office in UNSOA comprises three posts (1 P-5, 1 P-3 and 1 NGS) and one general temporary assistance position (P-4) funded from the support account. Since UNSOA is a relatively new operation, the implementation of the audit plan will address key controls necessary to manage risks associated with the operation's critical objectives.

548. The activities of UNSOA have increased significantly since 2010. In its resolution 2036 (2012), the Security Council decided to expand AMISOM from a maximum of 12,000 uniformed personnel to a maximum of 17,731 uniformed personnel, comprising troops and police personnel. The logistical support package for AMISOM has therefore been increased and, in the light of the Internal Audit Division's risk assessment and the audit plan for the period, there is a continuing need for a P-4 Resident Auditor post to ensure adequate audit coverage of higher risk areas.

**(e) Financial resource requirements**

(Thousands of United States dollars)

Category	Expenditures (2011/12)	Apportionment (2012/13)	Cost estimates (2013/14)	Variance	
				Amount (4)=(3)-(2)	Percentage (5)=(4)÷(2)
	(1)	(2)	(3)	(4)=(3)-(2)	(5)=(4)÷(2)
I. Post resources	15 553.9	15 220.2	26 687.0	11 466.8	75.3
II. Non-post resources					
General temporary assistance	7 124.4	7 465.5	653.0	(6 812.5)	(91.3)
Consultants	502.6	368.1	362.5	(5.6)	(1.5)
Official travel	970.4	1 189.2	1 056.0	(133.2)	(11.2)
Facilities and infrastructure	182.7	180.8	172.6	(8.2)	(4.5)
Communications	66.0	158.8	124.5	(34.3)	(21.6)
Information technology	294.4	433.7	409.8	(23.9)	(5.5)
Other supplies, services and equipment	130.9	134.2	225.9	91.7	68.3
<b>Subtotal II</b>	<b>9 271.4</b>	<b>9 930.3</b>	<b>3 004.3</b>	<b>(6 926.0)</b>	<b>(69.7)</b>
<b>Total</b>	<b>24 825.3</b>	<b>25 150.5</b>	<b>29 691.3</b>	<b>4 540.8</b>	<b>18.1</b>

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

	Cost estimates	Variance
<b>Posts</b>	\$26 687.0	\$11 466.8 75.3%

549. The provision would cover the salaries, common staff costs and staff assessments for the 150 proposed posts. The higher requirements result from: (a) the conversion of 51 general temporary assistance positions to posts; (b) the application of lower vacancy factors to the cost estimates for the 2013/14 financial period compared with the rates factored in the resources approved for 2012/13 (see para. 28 above); and (c) the estimation of common staff costs at a higher percentage of net salaries compared with the budget for 2012/13 (see para. 29 above). The higher requirements are offset in part by the abolishment of three posts in the UNMIT Resident Audit Office.

	Cost estimates	Variance
<b>General temporary assistance</b>	\$653.0	(\$6 812.5) (91.3%)

550. The requirements would provide for the proposed continuation of two general temporary assistance positions as well as the replacement of staff on maternity or sick leave (8 person-months at the P-3 level and 12 person-months at the General Service (OL) level). The lower requirements result principally from the conversion of 51 general temporary assistance positions to posts.

	<i>Cost estimates</i>	<i>Variance</i>
<b>Consultants</b>	\$362.5	(\$5.6) (1.5%)

551. The consultancy requirements are as follows:

(United States dollars)

<i>Expertise</i>	<i>Person-months</i>	<i>Amount</i>	<i>Output reference</i>
Multidimensional mission/thematic evaluations and inspections (Inspection and Evaluation Division)	24	259 200	Evaluation report addressing aspects of performance in individual peacekeeping missions 2 thematic evaluation or inspection reports addressing cross-cutting strategic priorities or topics
Multidimensional mission/thematic evaluations and inspections Advisory Panel (Inspection and Evaluation Division)	1.5	7 000	Evaluation report addressing aspects of performance in individual peacekeeping missions 2 thematic evaluation or inspection reports addressing cross-cutting strategic priorities or topics
Audit specialists (Internal Audit Division)	3	45 000	8 audit reports by United Nations Headquarters 6 horizontal audit reports by auditors at United Nations Headquarters and peacekeeping missions
Audit techniques and training specialists (Internal Audit Division)	3	35 000	1 meeting of resident auditors/assistants for professional development and team-building
Investigative techniques and training specialists (Investigations Division)	3	11 000	400 reviews and analysis of reports of possible misconduct for decisions as to jurisdiction and investigative action
Training (Inspection and Evaluation Division)	1	5 300	Evaluation report addressing aspects of performance in individual peacekeeping missions 2 thematic evaluation or inspection reports addressing cross-cutting strategic priorities or topics
<b>Total</b>		<b>362 500</b>	

552. An amount of \$259,200 is proposed for the engagement for 24 person-months of consultants with technical expertise to conduct two in-depth multidimensional mission evaluations and one thematic evaluation or inspection report. They would be supported by staff members of the Inspection and Evaluation Division, who would provide functional expertise in their respective areas, such as expertise in specific missions and regions, and have experience with the theme being evaluated. Evaluations examine the relevance, efficiency and effectiveness of missions or cross-cutting initiatives/themes common to peacekeeping missions. Thematic evaluations are carried out in response to high-risk cross-cutting issues that affect peacekeeping performance across missions.

553. An amount of \$7,000 is proposed for the engagement for 1.5 person-months of three or four consultants with technical expertise to assist the advisory panels of the Inspection and Evaluation Division in the analysis and review of each of the major thematic and mission-specific evaluation and inspection reports. The panels consist of three or four independent consultants who dedicate a total of approximately 10 days to each evaluation.

554. An amount of \$45,000 is proposed for the engagement for three person-months of three consultants to assist in the audit of freight-forwarding contracts for peacekeeping operations and in audits of the deployment of the Umoja foundation in UNIFIL and MINUSTAH.

555. An amount of \$35,000 is proposed for the engagement for three person-months of three consultants with training expertise to assist in the annual resident auditors/assistants training conference in the areas of audit sampling, leadership and team-building and strengthening of professional judgement.

556. An amount of \$11,000 is proposed for the engagement for a total of three person-months of a consultant with specialized investigative skills, such as handwriting analysis and financial auditing, which are not normally part of an investigator's skill set, to provide ongoing support services and to conduct training on interviewing and forensic techniques.

557. An amount of \$5,300 is proposed for the engagement of a consultant to provide in-house training on peacekeeping themes and related tools.

	<i>Cost estimates</i>	<i>Variance</i>
<b>Official travel</b>	\$1 056.0	(\$133.2) (11.2%)

558. 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	529 000	8 audit reports by United Nations Headquarters 6 horizontal audit reports by auditors at United Nations Headquarters and peacekeeping missions Evaluation report addressing aspects of performance in individual peacekeeping missions 2 thematic evaluation or inspection reports addressing cross-cutting strategic priorities or topics 400 reviews and analysis of reports of possible misconduct for decisions as to jurisdiction and investigative action
Technical support	95 000	Evaluation report addressing aspects of performance in individual peacekeeping missions 2 thematic evaluation or inspection reports addressing cross-cutting strategic priorities or topics 8 audit reports by United Nations Headquarters 6 horizontal audit reports by auditors at United Nations Headquarters and peacekeeping missions

<i>Type of travel</i>	<i>Amount</i>	<i>Output reference</i>
Seminars/conferences/ workshops	32 000	400 reviews and analysis of reports of possible misconduct for decisions as to jurisdiction and investigative action
Training	400 000	Evaluation report addressing aspects of performance in individual peacekeeping missions  2 thematic evaluation or inspection reports addressing cross-cutting strategic priorities or topics  1 meeting of resident auditors/assistants for professional development and team-building  1 training session for programme managers from all peacekeeping missions on basic investigation techniques
<b>Total</b>	<b>1 056 000</b>	

559. An amount of \$529,000 is proposed for the following mission planning/assessment/consultation activities: the provision of management oversight to resident audit offices in the field (\$46,000); the preparation of horizontal audit reports on peacekeeping operations by resident auditors in the field and of special audit assignments by Headquarters auditors (\$236,000); scoping and data-collection visits for multidimensional mission/thematic evaluation or inspection reports (\$84,000); and the conduct of investigations into possible misconduct (\$163,000).

560. An amount of \$95,000 is proposed for travel by Headquarters auditors to peacekeeping missions for special assignment, audit support and quality assurance.

561. An amount of \$32,000 is proposed for travel to participate in seminars/conferences/workshops. As a result of the Organization's efforts to promote accountability and transparency in its internal affairs and in dealing with parties external to the Organization, the staff of the Investigations Division meet once a year at a conference organized by an external financial institution. In addition, a technology seminar is organized by an external institution to provide information on the latest developments in forensic digital technology for the investigation of peacekeeping-related cases.

562. An amount of \$400,000 is proposed for travel to undertake the following training activities: training provided by the Investigations Division in peacekeeping missions and regional offices to customize and enforce investigative techniques (\$140,000) and the resident auditors/assistants biennial training conference, to be held in New York (\$260,000).

563. The lower requirements are attributable mainly to the proposed new structure of the Investigations Division, which would lead to reduced travel requirements as a result of an increased presence of investigators in peacekeeping missions and regional investigation offices. The lower requirements are offset in part by the biennial resident auditors/assistants training conference to be held in 2013/14.

	<i>Cost estimates</i>	<i>Variance</i>
<b>Facilities and infrastructure</b>	\$172.6	(\$8.2) (4.5%)

564. An amount of \$172,600 is proposed to provide for office premises rental and common services costs for the regional investigation office in Vienna (\$151,100) and the acquisition of office supplies (\$21,500).

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Communications</b>	\$124.5	(\$34.3)	(21.6%)

565. An amount of \$124,500 is proposed to provide for: requirements for commercial communications services at the standard rate derived from past expenditure trends (\$77,400); the acquisition of standard communications equipment (\$3,600) and specialized equipment (\$10,000), such as smart and satellite phones; and videoconferencing charges at the Investigations Division (\$8,500) and the Internal Audit Division (\$25,000).

566. The lower requirements are attributable to the reduced requirement for commercial communications services as a result of the proposed staffing establishment of the Investigations Division, which would relocate staff in peacekeeping missions, where the communications costs would be absorbed by the mission budget, and the reduced requirement for periodic replacement of smartphones.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Information technology</b>	\$409.8	(\$23.9)	(5.5%)

567. An amount of \$409,800 would cover requirements for: the maintenance and repair of information technology equipment based on standard service-level agreements established by the Office of Information and Communications Technology (\$64,500); the support account share of central information technology infrastructure costs (\$15,200) (information storage and backup, application hosting, departmental servers) derived from past expenditure patterns; and the acquisition of new and replacement standard information technology equipment (\$10,900).

568. In addition, the provision includes requirements for the acquisition of specialized information technology equipment for the replacement of forensic investigation hardware (\$69,000); the acquisition of the case management system and various forensic software (\$225,200) in the Investigations Division; and the software licences and fees for auto audit software (\$25,000).

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Other supplies, services and equipment</b>	\$225.9	\$91.7	68.3%

569. An amount of \$225,900 is proposed to provide for the following services: vendor background checks, DNA tests and subscriptions to various audit publications and an international publication search engine (\$79,100); office charges, such as library purchase and postage services for the Investigations Division (\$4,500); training materials (\$42,300); and transcription services for the Investigations Division (\$100,000). With regard to the latter, interviews are a critical part of investigations, and, when interviews are audio recorded, accurate and complete transcripts are required for internal administrative action. Transcription can be done either internally, by the investigator, as has been the case in the past, or

in accordance with industry best practice, externally, by a specialized service provider. Hiring an external provider would reduce the investigation time spent on transcriptions, free up the time of investigators, who would continue working on cases, thereby significantly reducing report closure time, and greatly increase the certainty, accuracy and completeness of the information obtained during interviews. The total cost for the service is estimated at \$167,000 for the year, of which 60 per cent (\$100,000) is proposed under the support account for peacekeeping operations, based on the number of cases received.

570. The higher requirements are primarily attributable to the transcription services.

## **E. Executive Office of the Secretary-General**

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

571. The organization and functions of the Executive Office of the Secretary-General are outlined in Secretary-General's bulletin ST/SGB/1998/18.

572. The Executive Office, headed by the Chef de Cabinet, assists the Secretary-General in the exercise of his responsibilities.

<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 95 per cent 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 2011/12: 87.5 per cent; 2012/13: 95 per cent; 2013/14: 95 per cent; reports to the General Assembly 2011/12: 87.7 per cent; 2012/13: 95 per cent; 2013/14: 95 per cent)
	1.2 All documents (for example, reports, talking points, statements, letters and speeches) are reviewed and returned to the lead department within a maximum of four days

#### *Outputs*

- Provision of advice for approximately 125 reports of the Secretary-General to the Security Council and General Assembly on peacekeeping issues
- Provision of advice for approximately 1,600 talking points, including the preparation of 12 presentations by the Secretary-General to the Security Council
- Provision of advice for 225 letters related to peacekeeping matters from the Secretary-General to the Security Council, the General Assembly, other intergovernmental bodies, troop-contributing countries and other key interlocutors on peacekeeping issues

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
3.1 Increased efficiency and effectiveness of peacekeeping operations	3.1 Provision of 50 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 to peacekeeping missions, the Department of Peacekeeping Operations and the Department of 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 for review is submitted to the Executive Office of the Secretary-General on a timely basis
- Advice from intergovernmental bodies on peacekeeping issues is requested

**(b) Human resources requirements**

<i>Category</i>	<i>Approved staffing 2012/13</i>	<i>Redeployment, reassignment, abolition, discontinuation</i>	<i>General temporary assistance conversions</i>	<i>New post/positions proposed</i>	<i>Total proposed 2013/14</i>	<i>Change</i>
<b>Posts</b>						
<b>Professional and higher</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>–</b>	<b>–</b>	<b>–</b>	<b>3</b>	<b>–</b>
<b>General Service and related</b>						
Principal level	–	–	–	–	–	–
Other level	2	–	–	–	2	–
<b>Subtotal</b>	<b>2</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>2</b>	<b>–</b>
<b>Total</b>	<b>5</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>5</b>	<b>–</b>

**(c) Financial resource requirements**

(Thousands of United States dollars)

<i>Category</i>	<i>Expenditures (2011/12)</i>	<i>Apportionment (2012/13)</i>	<i>Cost estimates (2013/14)</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	844.6	859.3	948.2	88.9	10.3
II. Non-post resources					
General temporary assistance	91.5	95.2	101.2	6.0	6.3
Facilities and infrastructure	2.5	2.5	2.5	–	–
Communications	8.4	8.4	11.0	2.6	31.0
Information technology	14.0	11.9	13.0	1.1	9.2
Other supplies, services and equipment	–	1.0	4.4	3.4	340.0
<b>Subtotal II</b>	<b>116.4</b>	<b>119.0</b>	<b>132.1</b>	<b>13.1</b>	<b>11.0</b>
<b>Total</b>	<b>961.0</b>	<b>978.3</b>	<b>1 080.3</b>	<b>102.0</b>	<b>10.4</b>

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

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Posts</b>	\$948.2	\$88.9	10.3%

573. The provision would cover the salaries, common staff costs and staff assessments for the 5 proposed posts. The higher requirements result from: (a) the application of lower vacancy factors to the cost estimates for the 2013/14 financial period compared with the rates factored in the resources approved for 2012/13 (see para. 28 above); and (b) the estimation of common staff costs at a higher percentage of net salaries compared with the budget for 2012/13 (see para. 29 above).

	<i>Cost estimates</i>	<i>Variance</i>	
<b>General temporary assistance</b>	\$101.2	\$6.0	6.3%

574. The provision is made for six person-months at the General Service (OL) level to support the Executive Office during peak workload periods and for six person-months at the General Service (OL) level for sick/maternity leave replacement.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Facilities and infrastructure</b>	\$2.5	–	–

575. An amount of \$2,500 is proposed to provide for office supplies for the five continuing posts.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Communications</b>	\$11.0	\$2.6	31.1%

576. An amount of \$11,000 is proposed to provide for recurring commercial communications services (\$9,600), based on past expenditure patterns, for five posts, as well as costs associated with the provision of mobile office licences for two staff members (\$1,400).

577. The higher requirements are attributable to an increase in common service rates for mobile phones and desk phones.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Information technology</b>	\$13.0	\$1.1	9.2%

578. An amount of \$13,000 is proposed to provide for standard resources 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 (\$7,500), the support account share (\$4,800) of central information technology infrastructure costs (information storage and backup, application hosting, departmental servers and other services) as derived from past expenditure patterns and the replacement of standard equipment (\$700) for five continuing posts.

579. The higher requirements are based on actual cost of infrastructure services provided by the Office of Information and Communications Technology in the 2011/12 financial period.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Other supplies, services and equipment</b>	\$4.4	\$3.4	340.0%

580. An amount of \$4,400 is proposed to provide for the rental of printers and copiers and for subscriptions to peacekeeping-related magazines. The higher requirements are attributable to the rental of printers and copiers (\$3,600). The total cost of the service is estimated at \$36,000 for the year, of which 10 per cent (\$3,600) is proposed under the support account for peacekeeping operations, based on the estimation of actual usage.

## F. Administration of justice

### 1. Cost-sharing arrangement

#### Financial resource requirements

(Thousands of United States dollars)

<i>Category</i>	<i>Expenditures (2011/12)</i>	<i>Apportionment (2012/13)</i>	<i>Cost estimates (2013/14)</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	-	-	-	-	-
II. Non-post resources					
Other supplies, services and equipment	2 379.7	3 321.8	3 113.1	(208.7)	(6.3)
<b>Subtotal II</b>	<b>2 379.7</b>	<b>3 321.8</b>	<b>3 113.1</b>	<b>(208.7)</b>	<b>(6.3)</b>
<b>Total</b>	<b>2 379.7</b>	<b>3 321.8</b>	<b>3 113.1</b>	<b>(208.7)</b>	<b>(6.3)</b>

581. Pursuant to General Assembly resolution 67/241 and section XI of resolution 66/247 on the administration of justice at the United Nations, the net amount of \$3,113,100 represents the share of costs to be funded from the support account for peacekeeping operations in accordance with resolution 62/228. The cost of the following elements of the system of administration of justice would be shared: the Office of Administration of Justice, which includes the Office of Staff Legal Assistance and the Office of the United Nations Ombudsman and Mediation Services, and the costs for interpretation, meetings servicing and translation. In order to ensure transparency and to reflect the support account-funded staffing element of the administration of justice, the resource requirements funded from the support account for the Office of Staff Legal Assistance and the Office of the United Nations Ombudsman and Mediation Services are included in sections 2 and 3 below. The costs for the backstopping of peacekeeping operations of the Office of the United Nations Ombudsman and Mediation Services and of the Office of Staff Legal Assistance, which are funded from the support account and presented in the proposals below, are deducted from the overall share approved for the administration of justice to be funded from the support account.

582. The reduced requirements are attributable to increases in the requirements of the Office of the United Nations Ombudsman and Mediation Services and the Office of Staff Legal Assistance, while the total support account share for the administration of justice in 2013/14 remains the same as in 2012/13.

#### **Net amount of support account share of the costs for the administration of justice for 2013/14**

Total support account for peacekeeping operations share	5 174.6
Less: Office of the United Nations Ombudsman and Mediation Services <sup>a</sup>	(1 894.5)
Less: Office of Staff Legal Assistance <sup>a</sup>	(167.0)
<b>Net amount of support account share for the administration of justice</b>	<b>3 113.1</b>

<sup>a</sup> Based on 2013/14 budget proposal.

## **2. Office of Staff Legal Assistance**

### **(a) Human resources requirements**

<i>Category</i>	<i>Approved staffing 2012/13</i>	<i>Redeployment, reassignment, reclassification, abolition, discontinuation</i>	<i>General temporary assistance conversions</i>	<i>New posts/positions proposed</i>	<i>Total proposed 2013/14</i>	<i>Change</i>
<b>General temporary assistance positions</b>						
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	–	–	–	–	–	–
D-1	–	–	–	–	–	–
P-5	–	–	–	–	–	–
P-4	–	–	–	–	–	–

Category	Approved staffing 2012/13	Redeployment, reassignment, abolishment, discontinuation	General temporary assistance conversions	New posts/positions proposed	Total proposed 2013/14	Change
P-3 <sup>a</sup>	1	–	–	–	1	–
P-2/P-1	–	–	–	–	–	–
<b>Subtotal</b>	<b>1</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>1</b>	<b>–</b>
<b>General Service and related</b>						
Principal level	–	–	–	–	–	–
Other level	–	–	–	–	–	–
<b>Subtotal</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>–</b>
<b>Total</b>	<b>1</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>1</b>	<b>–</b>

<sup>a</sup> One position was approved in 2012/13 for the Office of Staff Legal Assistance, pursuant to General Assembly resolution 67/241.

**(b) Justification of general temporary assistance positions**

*Legal Officer (1 P-3, continuation)*

583. The approved staffing establishment of the Office of Staff Legal Assistance comprises one general temporary assistance position of Legal Officer (P-3), located in Nairobi, funded from the support account.

584. Pursuant to General Assembly resolution 67/241 and in the light of the continuing trend of a large number of cases involving staff of field missions, which demonstrates an ongoing need, it is proposed that the general temporary assistance position of Legal Officer (P-3) in the Office of Staff Legal Assistance in Nairobi be continued to assist the Office with its caseload from peacekeeping missions.

**(c) Financial resource requirements**

(Thousands of United States dollars)

Category	Expenditures (2011/12)	Apportionment (2012/13)	Cost estimates (2013/14)	Variance	
				Amount	Percentage
	(1)	(2)	(3)	(4)=(3)-(2)	(5)=(4)÷(2)
I. Post resources	–	–	–	–	–
II. Non-post resources					
General temporary assistance	148.0	75.6	147.3	71.7	94.8
Facilities and infrastructure	–	–	0.5	0.5	–
Communications	–	–	1.8	1.8	–
Information technology	–	–	1.5	1.5	–
<b>Subtotal II</b>	<b>148.0</b>	<b>75.6</b>	<b>151.1</b>	<b>75.5</b>	<b>99.9</b>
<b>Total</b>	<b>148.0</b>	<b>75.6</b>	<b>151.1</b>	<b>75.5</b>	<b>99.9</b>

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

	<u>Cost estimates</u>	<u>Variance</u>	
<b>General temporary assistance</b>	\$147.3	\$71.7	94.8%

585. The requirements would provide for the proposed continuation of one general temporary assistance position. The higher requirements result from the fact that the resource requirements were approved for six months in 2012/13, while a provision is made for 12 months for 2013/14.

	<u>Cost estimates</u>	<u>Variance</u>	
<b>Facilities and infrastructure</b>	\$0.5	\$0.5	–

586. An amount of \$500 is proposed to provide for the acquisition of office supplies.

	<u>Cost estimates</u>	<u>Variance</u>	
<b>Communications</b>	\$1.8	\$1.8	–

587. An amount of \$1,800 is proposed to provide for commercial communications services based on past expenditure patterns.

	<u>Cost estimates</u>	<u>Variance</u>	
<b>Information technology</b>	\$1.5	\$1.5	–

588. An amount of \$1,500 is proposed to provide for standard resources 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.

**3. Office of the United Nations Ombudsman and Mediation Services****(a) Results-based-budgeting framework**

589. The Office of the United Nations Ombudsman and Mediation Services was established pursuant to General Assembly resolutions 55/258 and 56/253. By its resolution 62/228, the General Assembly strengthened the office capacity by creating: (a) a single, integrated and geographically decentralized Ombudsman structure which serves the Secretariat, funds and programmes and the Office of the United Nations High Commissioner for Refugees; (b) a mediation service; and (c) regional branches. The current terms of reference as contained in Secretary-General's bulletin ST/SGB/2002/12 are undergoing revision to reflect the changed structure of the Office.

590. As a first step in resolving workplace concerns, the Office of the United Nations Ombudsman and Mediation Services will continue to provide the full range of informal dispute resolution services in peacekeeping missions; identify systemic issues for organizational improvement; and enhance conflict resolution competence among staff and managers through outreach and awareness-raising measures. By

means of this concerted approach to conflict resolution, the Office will contribute to greater output and productivity in the workplace in peacekeeping missions.

591. During the 2011/12 financial period, the Office saw further increase in the number of cases received from staff in peacekeeping missions (628 cases compared with 606 cases in 2010/11). This trend is indicative of the added value that the informal system offers and the increased trust placed in it by staff and managers. The regional branches based in Entebbe and Kinshasa, complemented by on-call ombudsmen and mediators as well as regular and ad hoc visits to other peacekeeping missions, are essential to the Office's ability to respond in a timely manner to conflict. However, owing to the increased demand for informal resolution, challenges remain in providing equal and timely access to services across the population covered.

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*Expected accomplishments*

*Indicators of achievement*

3.1 Increased efficiency and effectiveness of peacekeeping operations

3.1 Response and first action taken within 30 days from the time of receipt of enquiries in 100 per cent of cases (2011/12: 95 per cent; 2012/13: 100 per cent; 2013/14: 100 per cent)

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*Outputs*

- Provision of full services in at least 500 ombudsmen and mediation cases, including through on-call ombudsmen and mediators
- Cross-cutting tracking and analysis of 500 cases to identify contributing factors to conflict and systemic issues for regular upward feedback with a view to organizational improvement
- Provision of an annual report to the General Assembly, including information on systemic issues
- 13 regular and ad hoc visits to peacekeeping operations that are not covered by the regional ombudsmen to provide on-site conflict resolution services and to enhance conflict competence through outreach and awareness
- 8 visits to provide services within the mission area by the Regional Ombudsman in Kinshasa (MONUSCO)
- 8 visits to provide services within the mission area by the Regional Ombudsman in Entebbe (UNMISS, UNAMID and UNISFA)
- Outreach and awareness-raising activities, including to enhance conflict competence, through bimonthly updates of the website and the development, production and distribution of electronic and print informational material (2,000 brochures, 500 folders and 500 posters)

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*External factors*

Security situation in peacekeeping operations may have an impact on plans for visits and delivery of service

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**(b) Human resources requirements**

<i>Category</i>	<i>Approved staffing 2012/13</i>	<i>Redeployment, reassignment, reclassification, abolishment, discontinuation</i>	<i>General temporary assistance conversions</i>	<i>New posts/positions proposed</i>	<i>Total proposed 2013/14</i>	<i>Change</i>
<b>Posts</b>						
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	–	–	–	–	–	–
D-1	–	–	–	–	–	–
P-5	3	–	–	–	3	–
P-4	–	–	1	–	1	1
P-3	2	–	–	–	2	–
P-2/P-1	–	–	–	–	–	–
<b>Subtotal</b>	<b>5</b>	<b>–</b>	<b>1</b>	<b>–</b>	<b>6</b>	<b>–</b>
<b>General Service and related</b>						
Principal level	–	–	–	–	–	–
Other level	–	–	1	–	1	1
Field Service	2	–	–	–	2	–
<b>Subtotal</b>	<b>2</b>	<b>–</b>	<b>1</b>	<b>–</b>	<b>3</b>	<b>–</b>
<b>Total</b>	<b>7</b>	<b>–</b>	<b>2</b>	<b>–</b>	<b>9</b>	<b>2</b>
<b>General temporary assistance positions</b>						
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	–	–	–	–	–	–
D-1	–	–	–	–	–	–
P-5	–	–	–	–	–	–
P-4	1	–	(1)	–	–	(1)
P-3	–	–	–	–	–	–
P-2/P-1	–	–	–	–	–	–
<b>Subtotal</b>	<b>1</b>	<b>–</b>	<b>(1)</b>	<b>–</b>	<b>–</b>	<b>(1)</b>
<b>General Service and related</b>						
Principal level	–	–	–	–	–	–

<i>Category</i>	<i>Approved staffing 2012/13</i>	<i>Redeployment, reassignment, reclassification, abolishment, discontinuation</i>	<i>General temporary assistance conversions</i>	<i>New posts/ positions proposed</i>	<i>Total proposed 2013/14</i>	<i>Change</i>
Other level	1	–	(1)	–	–	(1)
<b>Subtotal</b>	<b>1</b>	–	<b>(1)</b>	–	–	<b>(1)</b>
<b>Total</b>	<b>2</b>	–	<b>(2)</b>	–	–	<b>(2)</b>
<b>Total posts and positions</b>	<b>9</b>	–	–	–	<b>9</b>	–

(c) **Justification of posts**

**Headquarters**

*Conversion of two general temporary assistance positions (1 P-4 Case Officer and 1 GS (OL) Administrative Assistant) to posts*

592. The approved staffing establishment of the Office comprises seven posts (3 P-5, 2 P-3 and 2 FS) and two general temporary assistance positions (1 P-4 and 1 GS (OL)), funded from the support account.

593. The peacekeeping caseload of the Office of the United Nations Ombudsman and Mediation Services increased considerably between 2009/10 and 2010/11, from 401 to 606 cases. It increased further between 2010/11 and 2011/12 to 628 cases, and it is expected that for the 2013/14 period at least 500 cases will be received. The need for the dedicated capacity in the Office at Headquarters to handle cases originating with peacekeeping personnel other than those covered by the regional ombudsman branches in Kinshasa and Entebbe is not likely to decrease, and it is therefore proposed that the general temporary assistance position of Case Officer (P-4) and the general temporary assistance position of Administrative Assistant (GS (OL)) handling peacekeeping cases be converted to posts, as their functions are of a continuous nature. Those two general temporary assistance positions have been approved by the General Assembly since 1 July 2010.

594. The Case Officer (P-4) would service cases originating in MINURSO, MINUSTAH, UNDOF, UNMIK, UNMIL, UNOCI, UNFICYP, UNIFIL, UNSOA and the Global Service Centre. These missions employ more than 7,000 staff who are not served by the regional ombudsmen. In addition, the Case Officer would support the Office in the management of operations between Headquarters and the regional branches, which involves the processing of and follow-up on the expected total number of 500 cases from peacekeeping missions in conformity with the operating procedures of the Office. The Case Officer would identify lessons learned, contribute to sharing best practices and assist in the identification and analysis of cross-cutting issues, as well as serve as a secretary to the forum on systemic issues. The incumbent would also assist the Senior Conflict Resolution System Officer (P-5) in handling queries, consultations and requests for comments from other components of the system of administration of justice relating to peacekeeping field cases and act as a conduit between the regional branches and counterparts in the administration at Headquarters. The incumbent will continue to assist in the finalization of consistent case-handling procedures for all peacekeeping cases and perform other tasks as

related to the delivery of conflict resolution services to staff in peacekeeping missions.

595. The Administrative Assistant (GS (OL)) would provide the necessary administrative support to the Office, given the sustained increase in the caseload. The Administrative Assistant would perform the following functions: receive and process requests for appointments, carry out basic research, organize videoconferences and relevant briefing materials for outreach and consultation with the regional branches and peacekeeping missions; provide background information; and support office operations relating to field cases from MINURSO, MINUSTAH, UNDOF, UNMIK, UNMIL, UNOCI, UNFICYP, UNSOA and UNIFIL. The incumbent would further assist in preparing case files and provide support in the administration of the overall work related to case management.

**(d) Financial resource requirements**

(Thousands of United States dollars)

Category	Expenditures (2011/12)	Apportionment (2012/13)	Cost estimates (2013/14)	Variance	
				Amount	Percentage
				(4)=(3)-(2)	(5)=(4)÷(2)
I. Post resources	1 157.2	1 206.4	1 598.4	392.0	32.5
II. Non-post resources					
General temporary assistance	254.3	254.7	–	(254.7)	(100.0)
Consultants	129.4	70.0	70.0	–	–
Official travel	153.2	129.1	156.5	27.4	21.2
Facilities and infrastructure	1.5	–	–	–	–
Communications	9.4	9.6	9.6	–	–
Information technology	7.3	7.5	7.5	–	–
Other supplies, services and equipment	5.4	28.5	52.5	24.0	84.2
<b>Subtotal II</b>	<b>560.5</b>	<b>499.4</b>	<b>296.1</b>	<b>(203.3)</b>	<b>(40.7)</b>
<b>Total</b>	<b>1 717.7</b>	<b>1 705.8</b>	<b>1 894.5</b>	<b>188.7</b>	<b>11.1</b>

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

Posts	Cost estimates	Variance	
	\$1 598.4	\$392.0	32.5%

596. The provision would cover the salaries, common staff costs and staff assessments for nine posts. The higher requirements result from: (a) the conversion to posts of two general temporary assistance positions; (b) the application of lower vacancy factors to the cost estimates for the 2013/14 financial period compared with the rates factored in the resources approved for 2012/13 (see para. 28 above); and (c) the estimation of common staff costs at a higher percentage of net salaries compared with the budget for 2012/13 (see para. 29 above).

	<u>Cost estimates</u>	<u>Variance</u>
<b>General temporary assistance</b>	–	(\$254.7) (100.0%)

597. No resource requirements are proposed, as it is proposed that the two general temporary assistance positions approved for 2012/13 be converted to posts.

	<u>Cost estimates</u>	<u>Variance</u>
<b>Consultants</b>	\$70.0	–

598. The consultancy requirements are as follows:

(United States dollars)

<i>Expertise</i>	<i>Person-months</i>	<i>Amount</i>	<i>Output reference</i>
Provision of on-call ombudsman and mediation services	12	70 000	Provision of full services in at least 500 ombudsmen and mediation cases, including through on-call ombudsmen and mediators
<b>Total</b>		<b>70 000</b>	

599. An amount of \$70,000 is proposed for the recruitment of a consultant with technical expertise for 12 person-months to continue providing on-call mediation assistance to peacekeeping personnel. On the basis of the number of approaches by peacekeeping personnel during the past two years, the Office estimates that it will be called on to respond with in-person intervention in at least five high-risk situations in peacekeeping missions during the 2013/14 period. The complexity of ombudsman and mediation interventions requires an on-call ombudsman/mediator to conduct the conflict resolution process, from obtaining agreements to mediating the conclusion and implementation of a settlement agreement.

	<u>Cost estimates</u>	<u>Variance</u>
<b>Official travel</b>	\$156.5	\$27.4 21.2%

600. 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	125 000	13 regular and ad hoc visits to peacekeeping operations that are not covered by the regional ombudsmen to provide on-site conflict resolution services and to enhance conflict competence through outreach and awareness
Training	31 500	Provision of full services in at least 500 ombudsman and mediation cases, including through on-call ombudsmen and mediators
<b>Total</b>	<b>156 500</b>	

601. An amount of \$125,000 is proposed to provide Headquarters and regional on-site conflict resolution services to peacekeeping personnel in UNLB, MINURSO, UNFICYP, UNIFIL, UNDOF, UNMIL, UNOCI, UNISFA, MONUSCO and UNMISS.

602. An amount of \$19,900 is proposed for travel of the chiefs of the Entebbe and MONUSCO regional ombudsman branches to attend an advanced training programme in New York, where the ombudsman associations that provide specialized training for organizational ombudsmen are available. While in New York, the two chiefs would meet with the Headquarters Ombudsman and the ombudsmen of United Nations funds and programmes and receive further training on enhancement of coordination, consultations and harmonization of practices among the integrated office, and meet with officials of the Department of Field Support to discuss new developments in peacekeeping operations. It is expected that the two chiefs will be able to duplicate the training that they receive in the United States and transfer their knowledge to the other staff of the branch offices.

603. A provision of \$6,500 is also proposed to cover the travel of Entebbe and MONUSCO regional branch ombudsmen to Nairobi for a training programme related to the upgrading of skills for ombudsmen and mediators in informal conflict resolution and mediation, and \$5,100 is proposed for the travel of three Headquarters staff within the United States for ombudsman skills training for handling peacekeeping cases.

604. The higher requirements are attributable to the training activities mentioned above, as a result of increasing advancements made in the ombudsman industry and the need for the Organization's ombudsmen to be at the cutting edge in terms of new skills.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Communications</b>	\$9.6	–	–

605. An amount of \$9,600 is proposed for recurring requirements for commercial communications services based on past expenditure patterns (\$6,000); and the acquisition of standard replacement communication equipment and specialized services for video telecommunication conferences (\$3,600).

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Information technology</b>	\$7.5	–	–

606. An amount of \$7,500 is proposed to provide for standard resources 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 (\$4,500) and standard replacement of equipment (\$3,000).

607. The higher requirements are attributable to the periodic replacement of a network printer.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Other supplies, services and equipment</b>	\$52.5	\$24.0	84.2%

608. An amount of \$52,500 is proposed for the rental of office and conference room furniture and equipment for the three ombudsmen of the regional branches in the Regional Service Centre in Entebbe (\$24,000), the cost of website and case database maintenance (\$10,900), production of posters, brochures and folders (\$8,400) and training fees related to the upgrading of substantive skills (\$9,200).

609. The higher requirements are the result of the fact that the regional branch in the Regional Service Centre in Entebbe will need to pay the rent for its office space, which used to be absorbed by UNMIS when the regional branch was located in the peacekeeping mission.

## G. Ethics Office

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

610. The mandate of the Ethics Office was established by the General Assembly in its resolution 60/254. The terms of reference of the Office are contained in Secretary-General's bulletin ST/SGB/2005/22.

611. The Ethics Office will continue to fulfil its role of promoting and sustaining an ethical organizational culture of integrity, accountability and transparency and thereby enhance the trust in, and credibility of, the United Nations. Through its five mandated activities, the Ethics Office will provide confidential ethics advisory services, administer protection against retaliation and financial disclosure policies, design and deliver ethics training in coordination with OHRM and provide functional leadership in the area of organizational ethics to the funds, programmes and specialized agencies of the United Nations.

612. The Ethics Office will continue to aim for full compliance with the financial disclosure programme and provide ethics advice to field-based staff members. Given that the Ethics Office is located in New York, the provision of in-person advisory services will be achieved by undertaking visits to field missions.

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
3.1 Increased efficiency and effectiveness of peacekeeping operations	<p>3.1 Maintenance of the number of requests for ethics advice/guidance reflecting enhanced ethical awareness (2011/12: 75 enquiries; 2012/13: 85 enquiries; 2013/14: 85 enquiries)</p> <p>3.2 Full compliance with the financial disclosure programme (2011/12: 99.9 per cent; 2012/13: 100 per cent; 2013/14: 100 per cent)</p> <p>3.3 Continuous provision of outreach and briefing sessions to peacekeeping missions (2011/12: 25 sessions; 2012/13: 35 sessions; 2013/14: 26 sessions)</p> <p>3.4 All requests for protection against retaliation receive an initial evaluation within 14 days (2011/12: 90 per cent; 2012/13: 100 per cent; 2013/14: 100 per cent)</p>

3.5 Requests from the Procurement Division for corporate compliance on due diligence matters receive an initial evaluation within 14 days (2011/12: not applicable; 2012/13: not applicable; 2013/14: 100 per cent)

*Outputs*

- Response to 85 enquiries from field missions
- Administration of approximately 1,660 financial disclosure filings or declarations of interest from personnel in peacekeeping missions
- Four official visits to peacekeeping missions (UNMIL, UNMISS, MINUSTAH and MONUSCO)
- Completion of preliminary review of 6 protection against retaliation cases
- Design, production and dissemination to all peacekeeping missions of 1 new ethics poster
- 1 workshop on ethics and compliance guidance at the Regional Service Centre in Entebbe
- 2 new ethics training modules/programmes for peacekeeping staff
- 1 evaluation to assess the organizational culture with regard to ethics and integrity in peacekeeping missions
- Completion of 12 due diligence reviews for corporate compliance/business ethics in connection with procurement issues

*External factors*

Staff avail themselves of the services provided by the Office; submissions of financial disclosure statements are received from staff in a timely manner; all necessary documentation is received in cases of protection against retaliation; the security situation in peacekeeping missions allows visits; staff participate in ethics training activities; United Nations leaders continue to provide strong “tone from the top” leadership; mid-level managers serve as champions for ethics and integrity and encourage staff to speak up, report concerns and seek confidential advice; United Nations Dispute Tribunal and United Nations Appeals Tribunal decisions are supportive of the confidential and independent nature of the United Nations Ethics Office; and heads of office continue to pursue avenues to improve the organizational culture in terms of ethics and integrity

**(b) Human resources requirements**

<i>Category</i>	<i>Approved staffing 2012/13</i>	<i>Redeployment, reassignment, reclassification, abolition, discontinuation</i>	<i>General temporary assistance conversions</i>	<i>New posts/ positions proposed</i>	<i>Total proposed 2013/14</i>	<i>Change</i>
<b>Posts</b>						
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	–	–	–	–	–	–
D-1	–	–	–	–	–	–
P-5	–	–	–	–	–	–

Category	Approved staffing 2012/13	Redeployment, reassignment, reclassification, abolishment, discontinuation	General temporary assistance conversions	New posts/ positions proposed	Total proposed 2013/14	Change
P-4	-	-	-	-	-	-
P-3	1	-	-	-	1	-
P-2/P-1	-	-	-	-	-	-
<b>Subtotal</b>	<b>1</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>1</b>	<b>-</b>
<b>General Service and related</b>						
Principal level	-	-	-	-	-	-
Other level	-	-	-	-	-	-
<b>Subtotal</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Total</b>	<b>1</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>1</b>	<b>-</b>
<b>General temporary assistance positions</b>						
<b>Professional and higher</b>						
Under-Secretary-General	-	-	-	-	-	-
Assistant Secretary-General	-	-	-	-	-	-
D-2	-	-	-	-	-	-
D-1	-	-	-	-	-	-
P-5	-	-	-	-	-	-
P-4	-	-	-	-	-	-
P-3	-	-	-	-	-	-
P-2/P-1	-	-	-	-	-	-
<b>Subtotal</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>General Service and related</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>1</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>1</b>	<b>-</b>
<b>Total posts and positions</b>	<b>2</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>2</b>	<b>-</b>

(c) **Justification of general temporary assistance positions***Administrative Assistant (1 GS (OL) position, continuation)*

613. The approved staffing establishment of the Ethics Office comprises one post (P-3) and one general temporary assistance position (GS (OL)) funded from the support account. As one of its core mandates, the Ethics Office administers the financial disclosure programme, which is an ongoing annual programme. The implementation of the programme involves a heavy administrative burden on the Ethics Office. The Office is involved in every aspect of the implementation of the

programme and requires sufficient human resources to adequately administer the programme's approximately 4,630 participants, of whom 1,620 (35 per cent) are peacekeeping-related personnel. Participation of peacekeeping staff in the programme rose from 603 in 2006 to 1,615 as at July 2012, representing an increase of 168 per cent, stretching the Office's resources and forcing it to curtail some of its other mandated activities, in particular in the areas of developing standards, raising awareness, education and training. The impact of this increase is reflected in all five phases (preparation and planning, review and verification, closure and reporting, voluntary public disclosure and technical requirements) of the implementation of the programme.

614. In this context, it is proposed that one general temporary assistance position of Administrative Assistant (GS (OL)) be continued to support the administration of the financial disclosure programme. The incumbent would continue to provide dedicated support for the administration and management of the financial disclosure programme and would be involved in all phases of the implementation of the financial disclosure programme, including in relation to declaration of interest forms submitted by peacekeeping staff.

**(d) Financial resource requirements**

(Thousands of United States dollars)

Category	Expenditures (2011/12) (1)	Apportionment (2012/13) (2)	Cost estimates (2013/14) (3)	Variance	
				Amount (4)=(3)-(2)	Percentage (5)=(4)÷(2)
I. Post resources	–	149.4	167.8	18.4	12.3
II. Non-post resources					
General temporary assistance	345.8	92.9	96.2	3.3	3.6
Consultants	705.4	808.9	962.0	153.1	18.9
Official travel	72.3	70.0	78.0	8.0	11.4
Facilities and infrastructure	0.9	1.0	1.0	–	–
Communications	2.8	2.8	21.6	18.8	671.4
Information technology	1.9	7.4	3.7	(3.7)	(50.0)
Other supplies, services and equipment	–	37.8	12.0	(25.8)	(68.3)
<b>Subtotal II</b>	<b>1 129.1</b>	<b>1 020.8</b>	<b>1 174.5</b>	<b>153.7</b>	<b>15.1</b>
<b>Total</b>	<b>1 129.1</b>	<b>1 170.2</b>	<b>1 342.3</b>	<b>172.1</b>	<b>14.7</b>

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

Posts	Cost estimates	Variance	
	\$167.8	\$18.4	12.3%

615. The provision would cover the salaries, common staff costs and staff assessments for one post. The higher requirements result from: (a) the application of lower vacancy factors to the cost estimates for the 2013/14 financial period compared with the rates factored in the resources approved for 2012/13 (see para. 28

above); and (b) the estimation of common staff costs at a higher percentage of net salaries compared with the budget for 2012/13 (see para. 29 above).

	<i>Cost estimates</i>	<i>Variance</i>	
<b>General temporary assistance</b>	\$96.2	\$3.3	3.6%

616. The requirements would provide for the proposed continuation of one general temporary assistance position. The higher requirements result from: (a) the application of lower vacancy factors to the cost estimates for the 2013/14 financial period compared with the rates factored in the resources approved for 2012/13 (see para. 28 above); and (b) the estimation of common staff costs at a higher percentage of net salaries compared with the budget for 2012/13 (see para. 29 above).

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Consultants</b>	\$962.0	\$153.1	18.9%

617. The consultancy requirements are as follows:

(United States dollars)

<i>Expertise</i>	<i>Person-months</i>	<i>Amount</i>	<i>Output reference</i>
Financial disclosure programme	12	672 000	Administration of approximately 1,660 financial disclosure filings or declarations of interest from personnel in peacekeeping missions
Review of corporate ethics and compliance	12	132 000	Completion of 12 due diligence reviews for corporate compliance/business ethics in connection with procurement issues
Ethics evaluation	8	98 000	1 evaluation to assess the organizational culture with regard to ethics and integrity in peacekeeping missions
E-learning module for field personnel	–	60 000	2 new ethics training modules/programmes for peacekeeping staff
<b>Total</b>		<b>962 000</b>	

618. An amount of \$672,000 is proposed for the engagement of a consulting firm with technical expertise to continue the independent review of staff files in connection with the financial disclosure programme. It is expected that 1,660 peacekeeping staff members will be required to participate in the financial disclosure programme. The provision is based on the expected unit price of \$405 per statement per person, which in turn is based on the quote from the external firm that would conduct the review of statements for the 2013/14 period.

619. An amount of \$132,000 is proposed for the engagement of a consultant with corporate compliance expertise for 12 person-months to provide objective and independent advice concerning the ethics and compliance programmes of selected vendors on which sanctions have previously been imposed by the United Nations and to conduct due diligence on the prospective ethical and reputational risks that could arise should the United Nations consider such companies as qualified vendors.

In doing so, the consultant would determine whether specified vendors have satisfied the United Nations ethics and compliance-related conditions for eligibility to be considered as qualified vendors and provide to the Procurement Division of the Department of Management independent and objective third-party evaluations in responding to allegations of misconduct, accounting irregularities and other forms of fraud committed by vendors. The resource requirements were previously reflected under the Procurement Division of the Department of Management, which oversaw the due diligence review process. In order to ensure that the review is independent and to avoid conflict of interest, the Ethics Office will now oversee the process.

620. An amount of \$98,000 is proposed for the engagement for eight person-months of a consultant with technical expertise to conduct an evaluation to assess the organizational culture for ethics and integrity in peacekeeping missions. This cost has been extrapolated from the statistical survey recently carried out by the Ethics Office. No unit or office is dedicated to conducting such surveys within the Organization. The use of an independent external consultant would add credibility to the survey, and increase the likelihood of full participation by staff members. The survey work completed in 2012/13 would provide the baseline data. The proposed annual surveys would permit senior management to target specific issues requiring management interventions, develop action plans and measure progress towards goals. The survey results would provide the organization the opportunity to understand root causes and causative factors that either enhance or limit the organization's culture with regard to integrity.

621. An amount of \$60,000 is proposed for the engagement of a consulting firm with technical expertise to develop two e-learning modules on ethics for peacekeeping mission staff. It is proposed that short, interactive e-learning modules be created, in coordination with the Office of Human Resources Management, to guide field staff members when faced with various scenarios (for example, receipt of gifts, threats to independence, political engagement, bribery and cases of sexual exploitation and abuse).

622. The higher requirements are mainly attributable to the corporate compliance due diligence reviews conducted for vendors providing goods and services to United Nations peacekeeping operations, which were previously handled by the Office of Central Support Services of the Department of Management, and to the expected increase in the number of financial disclosure files to be reviewed.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Official travel</b>	\$78.0	\$8.0	11.4%

623. The official travel requirements are described below:

(United States dollars)

<i>Type of travel</i>	<i>Amount</i>	<i>Output reference</i>
Seminars/conferences/ workshops	57 000	Four visits to peacekeeping missions (UNMIL, UNMISS, MINUSTAH and MONUSCO)
Training	21 000	1 workshop on ethics and compliance guidance at the Regional Service Centre in Entebbe
<b>Total</b>	<b>78 000</b>	

624. An amount of \$57,000 is proposed to conduct workshops in UNMIL, UNMISS, MINUSTAH and MONUSCO to raise awareness about ethical issues and concerns facing peacekeeping operations, provide staff with in-person consultation opportunities, provide direct access to the United Nations Ethics Office and address ethics-related issues particular to specific missions, as well as financial disclosure matters.

625. An amount of \$21,000 is proposed to carry out a workshop to improve staff compliance with the Regulations and Rules of the United Nations at the Regional Service Centre in Entebbe (\$18,000) and to attend an annual professional conference in the United States to provide the most up-to-date information on ethics and corporate compliance matters (\$3,000).

626. The higher requirements are attributable to the annual conference in the United States on ethics and corporate compliance and to higher travel costs to the missions.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Facilities and infrastructure</b>	\$1.0	–	–

627. An amount of \$1,000 is proposed for the acquisition of office supplies for one continuing post and one continuing general temporary assistance position.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Communications</b>	\$21.6	\$18.8	671.4%

628. An amount of \$21,600 is proposed for recurring requirements for commercial communications services, based on past expenditure patterns, for one post and one general temporary assistance position (\$3,600). The amount also provides for the purchase of telecommunication equipment and videoconferencing charges (\$18,000) to conduct videoconferences with missions.

629. The higher requirements are attributable to the videoconferencing equipment and charges (\$18,000), which the Ethics Office used to share with DFS, with which it was co-located. The Office is moving to its own office space in 2012/13; it will need its own equipment and will bear the videoconferencing costs.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Information technology</b>	\$3.7	(\$3.7)	(50.0%)

630. An amount of \$3,700 is proposed to provide for standard resources 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 (\$3,000) and standard replacement of equipment (\$700) for one continuing post and one continuing general temporary assistance position.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Other supplies, services and equipment</b>	\$12.0	(\$25.8)	(68.3%)

631. An amount of \$12,000 would provide for the purchase of printing and publishing materials for the Office's publications and posters in support of peacekeeping missions.

632. The lower requirements are attributable to the reduced requirements for printing and shipping posters to peacekeeping missions, as they will not require major updates in 2013/14.

## **H. Office of Legal Affairs**

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

633. The mandate of the Office of Legal Affairs was established by the General Assembly in its resolution 13 (I) as the central legal service for the Secretary-General, the Secretariat and United Nations organs. The organization and functions of the Office of Legal Affairs are set out in Secretary-General's bulletin ST/SGB/2008/13.

634. The Office of Legal Affairs provides centralized legal support and assistance in order to protect the legal interests and minimize the legal liabilities of the United Nations. Legal support and assistance is provided in response to requests made by principal and subsidiary organs of the United Nations, by offices and departments at Headquarters, including DPKO and DFS, as well as offices away from Headquarters, by the separately administered funds and programmes of the United Nations and by United Nations peacekeeping, political and humanitarian missions and operations.

635. Legal support and assistance provided by the Office of Legal Affairs in support of the Organization focus on questions relating to international peacekeeping, including the use of force, sanctions, investigations, accountability issues, commissions of inquiry, expert groups, privileges and immunities, relations with host countries and third-party liability. They also concern questions related to public international law, including legal disputes, human rights, humanitarian law and international criminal law, including the formulation of statements of a legal nature for the Secretary-General. The Office of Legal Affairs provides regular legal assistance and advice on the myriad support functions relating to the Organization's peacekeeping activities and operations, including arrangements with Governments, procurement activities and contracting for logistical requirements, the resolution of disputes and claims, the implementation and enhancement of the Organization's accountability measures, the interpretation and application of the financial and staff regulations and rules of the United Nations for proper administration, and reforms thereof, and the defence of the Secretary-General and of the Organization's interests in the system of administration of justice.

*Expected accomplishments**Indicators of achievement*

## 3.1 Increased efficiency and effectiveness of peacekeeping operations

3.1 Liabilities arising out of peacekeeping operations and activities are minimized to the maximum extent practicable versus claims made against the Organization (2011/12: actual liability for claims arising out of peacekeeping operations was less than 31 per cent of the amounts claimed; 2012/13: less than 40 per cent; 2013/14: less than 40 per cent)

3.2 Absence of instances arising out of peacekeeping operations in which, unless waived, the status and privileges and immunities of the United Nations are not maintained (2011/12: no instances; 2012/13: no instances; 2013/14: no instances)

*Outputs*

- Provision of legal support and assistance in the form of legal opinions, advice, legal defence, communications, support and assistance to all peacekeeping missions and Headquarters on an as-needed and ongoing basis, regarding the following:
- 70 legislative aspects of peacekeeping missions, including their governance and the applicability of United Nations regulations and rules
- 250 institutional and operational arrangements (for example, status-of-forces agreements, status-of-mission agreements and similar agreements, as well as general questions of public international law, rules of engagement and measures to counter piracy), 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 and other commissions and boards 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 instances of advice on claims with respect to contractual and real property disputes, as well as claims for property damage, personal injury and death, including claims arising from aircraft accidents or attacks on United Nations premises or officials
- 15 financial questions, including formation and interpretation of the financial regulations and rules, treasury operations and complex banking and custody arrangements for peacekeeping operations
- 2 arbitration or litigation instances or advisory services relating thereto, including representation of the Organization before arbitral, judicial and 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 administrative bodies

- 20 instances of advice relating to accountability issues, including internal and external investigations, conduct and discipline matters relating to peacekeeping personnel, allegations of criminal conduct and the Organization's cooperation with and referrals of matters to the authorities of Member States
- 175 instances of advice on personnel matters, including interpretation and application of the staff regulations and rules, issues relating to the rights and obligations of staff members, benefits and allowances
- 20 cases representing the Secretary-General before the United Nations Appeals Tribunal
- 240 instances of advice on matters and cases under the system for the administration of justice
- 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 staffing 2012/13</i>	<i>Redeployment, reassignment, abolishment, discontinuation</i>	<i>General temporary assistance conversions</i>	<i>New posts/ positions proposed</i>	<i>Total proposed 2013/14</i>	<i>Change</i>
<b>Posts</b>						
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	–	–	–	–	–	–
D-1	–	–	–	–	–	–
P-5	5	–	–	–	5	–
P-4	6	–	2	–	8	2
P-3	1	–	1	–	2	1
P-2/P-1	1	–	–	–	1	–
<b>Subtotal</b>	<b>13</b>	<b>–</b>	<b>3</b>	<b>–</b>	<b>16</b>	<b>3</b>
<b>General Service and related</b>						
Principal level	–	–	–	–	–	–
Other level	2	–	–	–	2	–
<b>Subtotal</b>	<b>2</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>2</b>	<b>–</b>
<b>Total</b>	<b>15</b>	<b>–</b>	<b>3</b>	<b>–</b>	<b>18</b>	<b>3</b>
<b>General temporary assistance positions</b>						
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–

Category	Approved staffing 2012/13	Redeployment, reassignment, reclassification, abolishment, discontinuation	General temporary assistance conversions	New posts/ positions proposed	Total proposed 2013/14	Change
D-2	–	–	–	–	–	–
D-1	–	–	–	–	–	–
P-5	–	–	–	–	–	–
P-4	2	–	(2)	–	–	(2)
P-3	1	–	(1)	–	–	(1)
P-2/P-1	–	–	–	–	–	–
<b>Subtotal</b>	<b>3</b>	<b>–</b>	<b>(3)</b>	<b>–</b>	<b>–</b>	<b>(3)</b>
<b>General Service and related</b>						
Principal level	–	–	–	–	–	–
Other level	–	–	–	–	–	–
<b>Subtotal</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>–</b>
<b>Total</b>	<b>3</b>	<b>–</b>	<b>(3)</b>	<b>–</b>	<b>–</b>	<b>(3)</b>
<b>Total posts and positions</b>	<b>18</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>18</b>	<b>–</b>

(c) **Justifications of posts****General Legal Division**

*Conversion of 3 general temporary assistance positions of Legal Officer (2 P-4 and 1 P-3) to posts*

636. The approved staffing establishment of the General Legal Division comprises 10 continuing posts (4 P-5, 4 P-4, 1 P-3 and 1 GS (OL)) and three general temporary assistance positions (2 P-4 and 1 P-3) funded from the support account.

637. The General Legal Division provides a wide range of legal services and support for the Organization's peacekeeping operations: legal assistance concerning logistics support arrangements for peacekeeping operations, including commercial procurement activities, as well as arrangements with Governments of Member States and other peacekeeping partners (the African Union and the European Union). In conjunction with the Office of the Legal Counsel, the Division assists in maintaining the privileges and immunities of the United Nations with respect to the Organization's tax and import and export exemptions and in connection with the immunities applicable to the Organization's assets and personnel involved in United Nations peacekeeping operations; provides assistance regarding the interpretation and application of the Organization's administrative law in peacekeeping operations and the interpretation and application of the Staff Regulations and Rules, the Financial Regulations and Rules and relevant policies and practices, including those relating to banking, asset custody and treasury operations; affords legal support for the resolution of complex claims, arbitration and other litigation arising in peacekeeping operations, including commercial claims by contractors and claims by third parties for property damage or loss and personal injury or death. In conjunction with the Office of the Legal Counsel, the Division offers ongoing

support for improvements in and application of security arrangements, including in respect of facilities management and logistical operations and activities for improving facilities and controls in United Nations premises in peacekeeping missions; provides ongoing assistance for the institutional and management arrangements relating to peacekeeping operations, including with respect to ongoing reforms; and advises and assists in enhancing the Organization's accountability measures, including, inter alia, through procedural advice and substantive action in relation to both internal sanctions and external enforcement action against United Nations officials and third parties who may be responsible for fraud, corruption and other misconduct or crimes, and through referrals of internal cases of such conduct to national investigative authorities and the provision of assistance to investigations and prosecutions by means of evidence production, as well as by ensuring that the Organization's legal and restitutory interests as a victim are protected.

638. The requests for legal support and services related to peacekeeping have consistently represented more than 48 per cent of the Division's workload. Not only has the volume of requests increased, but the types of requests for such support have become far more time-consuming, given the increasingly complex nature of peacekeeping operations, with complex logistical arrangements (for example, turn-key commercial contracts for the provision and distribution of fuel and food/rations in support of various missions and multipurpose logistical support arrangements with Member State Governments, the African Union and the European Union) involving hundreds of millions of dollars in contractual liability, as well as the potential for substantial liability from claims arising from such activities. Overall, commercial procurement on the part of the Secretariat has significantly expanded and exceeds \$4.5 billion annually, relating principally to the Organization's peacekeeping activities. Moreover, even as peacekeeping operations downsize and the number of missions begins to decrease, the demand for legal services continues to increase, principally as a result of claims by former contractors and former peacekeeping mission staff members. The Office is already facing substantial claims as a result of the closure of missions.

639. In this context, it is proposed that one general temporary assistance position of Legal Officer for Accountability and Judicial Support Matters (P-4), the incumbent of which deals with matters of accountability arising from peacekeeping operations, be converted to a post. The dramatic expansion of the Organization's commercial procurement activities in support of its peacekeeping operations has led to calls by Member States for increased oversight of such activities. Such expanded oversight has led to a corresponding increase in the number of investigations by investigative entities, including OIOS, into fraud, corruption and allegations of sexual exploitation and abuse, which, in turn, has resulted in a significant increase in demand for legal support and assistance from the General Legal Division. Division support includes: (a) referrals to national authorities of credible allegations that a crime has been committed and cooperation with national authorities in their investigations and/or proceedings within the framework of the Organization's privileges and immunities; (b) recovery efforts in cases with regard to which the United Nations has been identified as a victim; and (c) the enhancement of internal policies and contractual frameworks to guard against fraud, corruption and sexual exploitation and abuse.

640. During the 2011/12 financial period, the support of the General Legal Division relating to peacekeeping matters included reports, recommendations, cooperation

and reporting obligations related to MINUSTAH, MONUSCO, UNOCI and UNIFIL, as well as high-value contracts concluded with a potentially corrupt vendor covering multiple peacekeeping missions. During the same period, the Division referred 13 cases to multiple jurisdictions, of which 6 involved allegations of criminal conduct in relation to peacekeeping operations, and cooperated with national authorities on five matters in connection with investigations or proceedings involving peacekeeping operations. As part of its recovery actions, since 2008 the Office of Legal Affairs has successfully obtained restitution awards of more than \$1.7 million in connection with peacekeeping operations. Finally, in 2011/12 the Division provided advice to a number of departments and offices on various accountability frameworks, in particular on the enforcement of the Organization's zero tolerance policy with regard to incidents of sexual exploitation and abuse in peacekeeping operations, including novel contractual frameworks established to guard against such incidents involving vendors. As this significant workload resulting from accountability matters with respect to peacekeeping activities is expected to remain high, the functions of the general temporary assistance position of Legal Officer for Accountability and Judicial Support Matters (P-4) are now considered to be of a continuing nature, warranting conversion to a post.

641. It is also proposed that two general temporary assistance positions of Legal Officer for Administration of Justice Matters (1 P-4 and 1 P-3) be converted to posts. With the introduction of the new system of administration of justice on 1 July 2009, the responsibilities of the General Legal Division in the area of administration of justice and management have dramatically increased, as the Division has been required to provide legal advice to a broader range of clients on increasingly complex issues, which entails significant financial, legal and operational implications for and risks to the Organization. Moreover, the Division has been required to provide such legal support on an even more urgent basis because of the statutory deadlines imposed under the new system for the administration of justice. Such legal support generally pertains to: (a) pre-litigation cases; (b) cases at the level of the Dispute Tribunal; and (c) the representation of the Organization before the Appeals Tribunal. These responsibilities are a continuing component of the new system of administration of justice.

642. With regard to pre-litigation advice on individual cases, approximately 76 per cent of the recommendations for the dismissal of staff members reviewed by the General Legal Division since 1 July 2009 related to staff members in peacekeeping operations. With regard to advice on individual cases at the level of the Dispute Tribunal, approximately 26 per cent of the advice provided by the Division to Secretariat entities representing the Organization before the Dispute Tribunal related to cases arising out of peacekeeping operations, and 17 per cent of the judgements issued by the Dispute Tribunal related to cases arising in peacekeeping missions. Finally, with regard to the representation of the Organization before the Appeals Tribunal, approximately 17 per cent of the submissions filed by the General Legal Division since 1 July 2009 related to cases arising in peacekeeping missions.

643. The work of the General Legal Division in the area of the administration of justice has always been a core function of the Office of Legal Affairs. With the establishment of the new system of administration of justice, the re-examination by the new tribunals of the jurisprudence of the former Administrative Tribunal has required the work related to the administration of justice system to be performed by a dedicated unit that can closely monitor and promptly respond to the new trends

emerging from the tribunals. As indicated above, a significant percentage of the work of the General Legal Division relates to cases arising in peacekeeping missions. Owing to the continuing nature of such work, it is proposed that the two general temporary assistance positions of Legal Officer for Administration of Justice Matters (1 P-4 and 1 P-3) be converted to posts.

**(d) Financial resource requirements**

(Thousands of United States dollars)

Category	Expenditures (2011/12)	Apportionment (2012/13)	Cost estimates (2013/14)	Variance	
				Amount	Percentage
	(1)	(2)	(3)	(4)=(3)-(2)	(5)=(4)÷(2)
I. Post resources	2 640.8	2 623.2	3 503.3	880.1	33.6
II. Non-post resources					
General temporary assistance	357.0	456.1	111.3	(344.8)	(75.6)
Consultants	32.2	55.3	55.3	–	–
Official travel	31.8	34.0	34.2	0.2	0.6
Facilities and infrastructure	9.0	9.0	9.0	–	–
Communications	34.2	42.4	60.5	18.1	42.7
Information technology	81.4	115.7	91.7	(24.0)	(20.7)
Other supplies, services and equipment	3.5	3.5	8.9	5.4	154.3
<b>Subtotal II</b>	<b>549.1</b>	<b>716.0</b>	<b>370.9</b>	<b>(345.1)</b>	<b>(48.2)</b>
<b>Total</b>	<b>3 189.9</b>	<b>3 339.2</b>	<b>3 874.2</b>	<b>535.0</b>	<b>16.0</b>

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

	Cost estimates	Variance
<b>Posts</b>	\$3 503.3	\$880.1 33.6%

644. The provision would cover the salaries, common staff costs and staff assessments for the 18 posts. The higher requirements result from: (a) the conversion to posts of three general temporary assistance positions; (b) the application of lower vacancy factors to the cost estimates for the 2013/14 financial period compared with the rates factored in the resources approved for 2012/13 (see para. 28 above); and (c) the estimation of common staff costs at a higher percentage of net salaries compared with the budget for 2012/13 (see para. 29 above).

	Cost estimates	Variance
<b>General temporary assistance</b>	\$111.3	(\$344.8) (75.6%)

645. The proposed requirements would provide for the replacement of staff on maternity or sick leave (6 person-months for the Professional category). The lower requirements are attributable to the proposed conversion to posts of three general temporary assistance positions.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Consultants</b>	\$55.3	–	–

646. The consultancy requirements are as follows:

(United States dollars)

<i>Expertise</i>	<i>Person-months</i>	<i>Amount</i>	<i>Output reference</i>
Outside legal counsel	3	55 300	Provision of legal support and assistance in the form of legal opinions, advice, legal defence, communications, support and assistance to all peacekeeping missions and Headquarters on an as-needed and ongoing basis
<b>Total</b>		<b>55 300</b>	

647. An amount of \$55,300 is proposed for the engagement of outside legal counsel for three months for the provision of advice and assistance in peacekeeping-related legal matters requiring special expertise that is not available in the Office of Legal Affairs, such as the interpretation of national law and representation before national courts or administrative bodies.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Official travel</b>	\$34.2	\$0.2	0.6%

648. 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	34 200	Provision of legal support and assistance in the form of legal opinions, advice, legal defence, communications, support and assistance to all peacekeeping missions and Headquarters on an as-needed and ongoing basis
<b>Total</b>	<b>34 200</b>	

649. An amount of \$34,200 is proposed to provide legal support and assistance to peacekeeping missions.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Facilities and infrastructure</b>	\$9.0	–	–

650. An amount of \$9,000 is proposed to provide for office supplies for the 18 posts.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Communications</b>	\$60.5	\$18.1	42.7%

651. An amount of \$60,500 is proposed to provide for recurring requirements for commercial communications services, at the standard rate derived from past expenditure patterns (\$34,500), as well as requirements for 10 mobile office licences, provision for wireless services, replacement of smart telephones and licence fees (\$26,000).

652. The higher requirements are attributable to an increase in common service rates for mobile phones and desk phones.

	<i>Cost estimates</i>	<i>Variance</i>
<b>Information technology</b>	\$91.7	(\$24.0) (20.7%)

653. An amount of \$91,700 is proposed to provide for standard resources 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 (\$27,000), the support account share of the central information technology infrastructure costs (\$17,700) (information storage and backup, application hosting, departmental servers and other services) derived from past expenditure patterns, and standard replacement of equipment (\$5,100), for 18 posts. The amount would also provide for an annual licence subscription to Westlaw, an online legal service portal (\$20,000), and the renewal of licensing agreements for the case management system (\$21,900), which facilitates the registration, management and tracking of legal cases.

	<i>Cost estimates</i>	<i>Variance</i>
<b>Other supplies, services and equipment</b>	\$8.9	\$5.4 154.3%

654. An amount of \$8,900 is proposed for training fees to access to the virtual legal educational programme of the Practising Law Institute and additional requirements for printing and scanning services (\$5,400) related to peacekeeping operations, which used to be charged to the regular budget, as no tracking mechanism for peacekeeping-related expenditure exists. A dedicated printer and user consumption standard will be established in 2013/14 for the tracking of workload related to peacekeeping operations.

## I. Department of Public Information

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

655. The mandate of the Department of Public Information was established by the General Assembly in its resolution 13 (I). The organization and functions of the Department are set out in Secretary-General's bulletin ST/SGB/1999/10.

#### *Expected accomplishments*

3.1 Increased efficiency and effectiveness of peacekeeping operations

#### *Indicators of achievement*

3.1 90 per cent of peacekeeping surveyed operations indicate overall satisfaction with the quality of public information support (2011/12: not applicable; 2012/13: not applicable; 2013/14: 90 per cent)

3.2 60 per cent of the stories produced on peacekeeping topics are incorporated into web-based news sites by at least 5 regionally represented media outlets (2011/12: 50 per cent; 2012/13: 60 per cent; 2013/14: 60 per cent)

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*Outputs*

- 25 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 to the web of 30 peacekeeping-related stories per month in broadcast quality for download by broadcasters from the Department's UNifeed website
- Production of 7 feature stories per year on peacekeeping topics for distribution to broadcasters worldwide
- Production of video for non-broadcast purposes, such as presentations to the Security Council and to potential troop-contributing countries, as needed
- Provision, in collaboration with the Department of Peacekeeping Operations, of strategic guidance, advice and backstopping support to 12 peacekeeping operations
- Field visits to three peacekeeping operations to provide communications guidance and support in situ (UNAMID, MINUSTAH and UNFICYP)
- Organization and facilitation of a one-week specialized training course, in cooperation with the Departments of Peacekeeping Operations and Field Support, for 30 mission and Headquarters public information personnel involved in peacekeeping matters
- Hosting, updating and maintaining, in collaboration with the Department of Peacekeeping Operations, of approximately 500 web pages on the peacekeeping website in English, including substantive revisions, as required, of approximately 130 Headquarters-hosted web pages for 12 peacekeeping operations (MINURSO, MINUSTAH, MONUSCO, UNAMID, UNDOF, UNFICYP, UNIFIL, UNISFA, UNMIK, UNMIL, UNMISS and UNOCI)
- Coordination of maintenance of the peacekeeping website in all of the official languages of the United Nations
- Serving, in conjunction with the Department of Field Support, as mission focal point for the UNLB-hosted Content Management System introduced for local peacekeeping mission websites to ensure a system with consistent branding and content and requiring minimum maintenance cost for the mission
- Updating, in consultation with the Departments of Peacekeeping Operations and Field Support, of the policy and guidance manual for public information in United Nations peacekeeping operations, as required by a policy change and new developments in media techniques and technology
- Outreach to 50 troop- and police-contributing countries on mission activities by means of press releases, photographs, posters and feature articles sent to major media outlets, government agencies and permanent missions of troop- and police-contributing countries, and through United Nations information centres/services network on issues relevant to individual countries' participation in specific peacekeeping operations

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*External factors*

Peacekeeping operations, external partners and stakeholders will continue to work together with the Department in a timely manner on public information issues

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**(b) Human resources requirements**

<i>Category</i>	<i>Approved staffing 2012/13</i>	<i>Redeployment, reassignment, reclassification, abolishment, discontinuation</i>	<i>General temporary assistance conversions</i>	<i>New posts/positions proposed</i>	<i>Total proposed 2013/14</i>	<i>Change</i>
<b>Posts</b>						
<b>Professional and higher</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 related</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 (2011/12)</i>	<i>Apportionment (2012/13)</i>	<i>Cost estimates (2013/14)</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	586.4	576.5	640.3	63.8	11.1
II. Non-post resources					
Consultants	–	16.6	17.0	0.4	2.4
Official travel	49.3	51.9	57.0	5.1	9.8
Facilities and infrastructure	2.0	2.0	2.0	–	–
Communications	6.3	6.3	7.5	1.2	19.0
Information technology	20.1	39.4	34.4	(5.0)	(12.7)
Other supplies, services and equipment	11.1	4.1	5.7	1.6	39.0
<b>Subtotal II</b>	<b>88.8</b>	<b>120.3</b>	<b>123.6</b>	<b>3.3</b>	<b>2.7</b>
<b>Total</b>	<b>675.2</b>	<b>696.8</b>	<b>763.9</b>	<b>67.1</b>	<b>9.6</b>

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

<b>Posts</b>	<i>Cost estimates</i>	<i>Variance</i>	
	\$640.3	\$63.8	11.1%

656. The provision would cover the salaries, common staff costs and staff assessments for four posts. The higher requirements result from: (a) the application of lower vacancy factors to the cost estimates for the 2013/14 financial period compared with the rates factored in the resources approved for 2012/13 (see para. 28 above); and (b) the estimation of common staff costs at a higher percentage of net salaries compared with the budget for 2012/13 (see para. 29 above).

<b>Consultants</b>	<i>Cost estimates</i>	<i>Variance</i>	
	\$17.0	\$0.4	2.4%

657. The consultancy requirements are as follows:

(United States dollars)

<i>Expertise</i>	<i>Person-months</i>	<i>Amount</i>	<i>Output reference</i>
Training	Less than 1	17 000	Organization and facilitation of a one-week specialized training course, in cooperation with the Departments of Peacekeeping Operations and Field Support, for 30 mission and Headquarters public information personnel involved in peacekeeping matters
<b>Total</b>		<b>17 000</b>	

658. An amount of \$17,000 is proposed for the engagement of a consultant with technical expertise to conduct a one-week specialized training course for approximately 30 public information personnel from peacekeeping operations and Headquarters, including course fees. A communications expert with practical knowledge of the most modern communications techniques and technology appropriate for field conditions is required to facilitate the workshop, the primary objective of which would be to provide participants with the skills required to establish an effective public information capacity in peacekeeping missions.

<b>Official travel</b>	<i>Cost estimates</i>	<i>Variance</i>	
	\$57.0	\$5.1	9.8%

659. 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	19 000	Provision, in collaboration with the Department of Peacekeeping Operations, of strategic guidance, advice and backstopping support to 12 peacekeeping operations

<i>Type of travel</i>	<i>Amount</i>	<i>Output reference</i>
Training	38 000	Organization and facilitation of a one-week specialized training course, in cooperation with the Departments of Peacekeeping Operations and Field Support, for 30 mission and Headquarters public information personnel involved in peacekeeping matters
<b>Total</b>	<b>57 000</b>	

660. An amount of \$19,000 is proposed for travel to peacekeeping missions (MINUSTAH, UNFICYP and UNMISS) to work directly with mission personnel in the development and improvement of communications strategies and to ensure the effective implementation of the public information plan of action.

661. An amount of \$38,000 is proposed to conduct and facilitate the one-week specialized training course referred to in paragraph 658 above.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Facilities and infrastructure</b>	\$2.0	–	–

662. An amount of \$2,000 is proposed for the acquisition of office supplies for four continuing posts.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Communications</b>	\$7.5	\$1.2	19.0%

663. An amount of \$7,500 is proposed for recurring requirements for commercial communications services, based on past expenditure patterns, for four posts.

664. The higher requirements are attributable to the higher budgeted standard rate for commercial communications services.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Information technology</b>	\$34.4	(\$5.0)	(12.7%)

665. An amount of \$34,400 is proposed to provide for: standard resources 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 (\$6,000); the support account share of the central information technology infrastructure costs (\$5,200) (information storage and backup, application hosting, departmental servers and other services) derived from past expenditure patterns; and the acquisition of standard information technology equipment, including the acquisition of new and replacement desktop computers, laptop computers and network printers (\$700). The amount also includes specialized resources for software licences and fees for bandwidth and multimedia portal storage (\$22,500).

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Other supplies, services and equipment</b>	\$5.7	\$1.6	39.0%

666. An amount of \$5,700 is proposed to cover the cost of training materials related to the organization of the training course referred to in paragraph 658 above (\$2,000), training fees for one editor and one news writer to improve capturing, sound editing and the creation of bins and sequences (\$2,200) and special colour cartridges used for producing print material (fliers, posters and large photographs) in support of peacekeeping operations (\$1,500). The variance is attributable to the training necessary to improve professional skills of the editor and the news writer.

## J. Department of Safety and Security

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

667. The mandate of the Department of Safety and Security was established by the General Assembly in its resolution 59/276.

668. The Department of Safety and Security will continue to focus on implementing its mandate by providing security policy guidance, security training and technical guidance to field personnel in peacekeeping missions. Security management-related support provided by the Department to peacekeeping missions is contingent on a proper understanding by mission security personnel of the updated and improved policies and approaches within the Organization's security management system. For 2013/14, the Department will therefore increase its focus on delivering the security certification programme to mission security personnel to build mission capacity to manage security risks, since at present, less than 5 per cent of mission security personnel have been certified under the programme.

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#### *Expected accomplishments*

#### *Indicators of achievement*

3.1 Increased efficiency and effectiveness of peacekeeping operations

3.1 Implementation of 100 per cent of the Department's security standards, policy, guidelines, directives, procedures and recommendations of security management reviews of field operations (2011/12: not applicable; 2012/13: not applicable; 2013/14: 100 per cent)

3.2 All peacekeeping mission personnel on security management teams in field operations are trained (2011/12: 100 per cent; 2012/13: 100 per cent; 2013/14: 100 per cent)

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#### *Outputs*

- 20 visits to review security management arrangements for 14 peacekeeping missions, the Global Service Centre (the United Nations Logistics Base at Brindisi and the United Nations Support Base in Valencia) and the Regional Service Centre in Entebbe, and reports containing recommendations for each. Provision of briefings to security management teams in all field missions on security management, United Nations security management system policies and emerging security issues/threats
- Review of the security risk management process (security risk assessment, minimum operating security standards, security plan, security budget, et cetera) of 14 peacekeeping missions, the Global Service Centre and the Regional Service Centre in Entebbe; and provision of daily substantive security briefings and guidance on threats and mandate implementation to senior field personnel

- Provision of training on security management: certification of 72 peacekeeping mission security personnel in the security certification programme; annual workshop for 20 senior security personnel from 14 peacekeeping missions, the Global Service Centre and the Regional Service Centre in Entebbe; facilitation of “designated official” security training for the newly appointed heads of missions
- Compilation of 261 security inputs for the daily security report for peacekeeping and United Nations security management system security focal points and regular provision of significant security incident reports on all peacekeeping missions and UNSOA in crisis situations
- 6 strategic threat assessments or strategic security threat information liaison visit reports on 6 peacekeeping operations
- Coordination, monitoring and enhancement of technical standard operating procedures relevant to the acquisition, collation and analysis of security information in support of joint mission analysis centres, security information operations centres and security information coordination units in peacekeeping missions
- Development of 8 training modules and 27 lessons on the analysis of security threat information for joint mission analysis centres, security information operations centres and security information coordination units and development of best practices for all field missions
- Conduct of 2 security analysis process and practice courses for a total of 40 security information analysts supporting improved analysis, situational awareness and reporting on peacekeeping missions
- Provision of training on safety and security policies and procedures for personnel, security officers, security guards and training instructors, including on use of force; use of lethal and less lethal tactical measures; fire safety; hazardous materials equipment usage; and prevention and evacuation procedures; first aid/cardio-pulmonary resuscitation and automated external defibrillator training, emergency trauma bag training and supervisor leadership training (5 peacekeeping missions, approximately 300 personnel); and basic security training, including on physical security, access control, screening procedures and surveillance detection (5 peacekeeping missions, approximately 200 personnel)
- Instructor assessment, certification and recertification in the use of lethal and less lethal tactics for firearms training officers and instructor trainers in field missions
- 6 evaluation reports and assistance provided for security training units, facilities and equipment in 6 peacekeeping missions to ensure quality and consistency of instructors and of the management and delivery of security training modules
- Provision of needs assessment and stress management sessions for staff in 7 peacekeeping missions and rapid deployment of stress counsellors to provide emergency critical incident stress management, needs assessment and technical services on crisis response in 4 peacekeeping missions
- Training and certification on critical incident stress prevention and management for 15 counsellors in peacekeeping operations; and 3 peer helper workshops for 30 staff in 3 peacekeeping missions
- Provision of technical guidance to 10 senior counsellors from peacekeeping missions, and technical support and advice to Headquarters managers on the psychosocial aspects of crises, as well as coordination of the provision of counselling services and subsequent follow-up for all staff who need special measures/services through the review and assessment of affected staff and the provision of recommendations on case management

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*External factors*

United Nations peacekeeping partners and local institutions will cooperate on security matters

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**(b) Human resources requirements**

<i>Category</i>	<i>Approved staffing 2012/13</i>	<i>Redeployment, reassignment, abolishment, discontinuation</i>	<i>General temporary assistance conversions</i>	<i>New posts/ positions proposed</i>	<i>Total proposed 2013/14</i>	<i>Change</i>
<b>Posts</b>						
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	–	–	–	–	–	–
D-1	–	–	–	–	–	–
P-5	1	–	–	–	1	–
P-4	6	–	–	–	6	–
P-3	5	–	–	–	5	–
P-2/P-1	1	–	–	–	1	–
<b>Subtotal</b>	<b>13</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>13</b>	<b>–</b>
<b>General Service and related</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>–</b>	<b>18</b>	<b>–</b>

**(c) Financial resource requirements**

(Thousands of United States dollars)

<i>Category</i>	<i>Expenditures (2011/12)</i>	<i>Apportionment (2012/13)</i>	<i>Cost estimates (2013/14)</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	2 653.5	2 649.0	2 939.4	290.4	11.0
II. Non-post resources					
Official travel	670.5	789.7	789.0	(0.7)	(0.1)
Facilities and infrastructure	2.9	9.0	9.0	–	–
Communications	31.8	25.2	33.6	8.4	33.3
Information technology	65.2	55.8	77.6	21.8	39.1
Other supplies, services and equipment	18.6	4.8	14.0	9.2	191.7
<b>Subtotal II</b>	<b>789.0</b>	<b>884.5</b>	<b>923.2</b>	<b>38.7</b>	<b>4.4</b>
<b>Total</b>	<b>3 442.5</b>	<b>3 533.5</b>	<b>3 862.6</b>	<b>329.1</b>	<b>9.3</b>

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

<b>Posts</b>	<i>Cost estimates</i>	<i>Variance</i>	
	\$2 939.4	\$290.4	11.0%

669. The provision would cover the salaries, common staff costs and staff assessments for the 18 posts. The higher requirements result from: (a) the application of lower vacancy factors to the cost estimates for the 2013/14 financial period compared with the rates factored in the resources approved for 2012/13 (see para. 28 above); and (b) the estimation of common staff costs at a higher percentage of net salaries compared with the budget for 2012/13 (see para. 29 above).

<b>Official travel</b>	<i>Cost estimates</i>	<i>Variance</i>	
	\$789.0	(\$0.7)	(0.1%)

670. 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	334 000	20 visits to review security management arrangements for 14 peacekeeping missions, the Global Service Centre (the United Nations Logistics Base at Brindisi and the United Nations Support Base in Valencia) and the Regional Service Centre in Entebbe, and reports with recommendations for each. Provision of briefings to security management teams in all field missions on security management, United Nations Security Management System policies and emerging security issues/threats 6 strategic threat assessments or strategic security threat information liaison visit reports on 6 peacekeeping operations 6 evaluation reports and assistance provided for security training units, facilities and equipment in 6 peacekeeping missions to ensure quality and consistency of instructors and of the management and delivery of security training modules Provision of needs assessment and stress management sessions for staff in 7 peacekeeping missions
Technical support	37 000	Rapid deployment of stress counsellors to provide emergency critical incident stress management, needs assessment and technical services on crisis response in 4 peacekeeping missions
Seminars/conferences/workshops	31 000	Instructor assessment, certification and recertification in the use of lethal and less lethal tactics for firearms training officers and instructor trainers in field missions
Training	387 000	Provision of training on security management: certification of 72 peacekeeping mission security personnel in the security certification programme; annual workshop for 20 senior security personnel from 14 peacekeeping missions, the Global Service Centre and the Regional Service Centre in Entebbe; facilitation of "designated official" security training for the newly appointed heads of missions

<i>Type of travel</i>	<i>Amount</i>	<i>Output reference</i>
		Conduct of 2 security analysis process and practice courses for a total of 40 security information analysts supporting improved analysis, situational awareness and reporting on peacekeeping missions
		Provision of training on safety and security policies and procedures for personnel, security officers, security guards and training instructors, including on use of force; use of lethal and less lethal tactical measures; fire safety; hazardous materials equipment usage; and prevention and evacuation procedures; first aid/cardio-pulmonary resuscitation and automated external defibrillator training, emergency trauma bag training and supervisor leadership training (5 peacekeeping missions, approximately 300 personnel); and basic security training, including on physical security; access control, screening procedures and surveillance detection (5 peacekeeping missions, approximately 200 personnel)
		Instructor assessment, certification and recertification in the use of lethal and less lethal tactics for firearms training officers and instructor trainers in field missions
		Training and certification on critical incident stress prevention and management for 15 counsellors in peacekeeping operations; and 3 peer helper workshops for 30 staff in 3 peacekeeping missions
<b>Total</b>	<b>789 000</b>	

671. An amount of \$334,000 is proposed to undertake the following mission planning/assessment/consultation activities: (a) conduct security assistance visits and review compliance with minimum operating security standards and promulgate new security policies in peacekeeping missions, including UNLB, the United Nations Support Base in Valencia and the Regional Service Centre in Entebbe (\$173,000); (b) conduct strategic threat assessments and strategic security threat information liaison visits in six peacekeeping missions (\$38,000); (c) conduct on-site assessment and verification and assist in the delivery of training in six peacekeeping missions (\$80,000); and (d) provide needs assessment and stress management sessions to promote the productivity, resilience and workplace wellness of personnel in peacekeeping missions through the provision of technical advice and counselling sessions on measures for mitigating and preventing stress to managers and staff of peacekeeping missions (\$43,000).

672. An amount of \$37,000 is proposed to provide technical support in connection with the rapid deployment of stress counsellors for the provision of emergency critical incident stress management and needs assessment in four peacekeeping missions.

673. An amount of \$31,000 is proposed for travel by firearms training instructors of the Security and Safety Service to attend a workshop in UNIFIL to assess and test updated instruction programmes, firearms training and policy developments.

674. An amount of \$387,000 is proposed in connection with the following training activities: (a) security certification programmes in the areas of security management

and the use of the emergency trauma bag for 72 security officers in 3 peacekeeping missions (\$106,000); (b) two security analysis process and practice courses at the Global Service Centre for 40 security information analysts (\$45,000); (c) training on safety and security policies and procedures for security officers, security guards and field instructors in the areas of use of force, use of lethal and less lethal tactical measures, fire safety, hazardous materials equipment usage, prevention and evacuation procedures and other relevant safety matters (\$196,000); (d) three peer helper workshops on critical incident stress intervention, including skills and knowledge development, with a view to building cells in the field to improve emergency response and psychosocial services and provide a standardized approach (\$28,000); and (e) a training and certification programme on critical incident stress prevention and management for 15 counsellors from peacekeeping missions (\$12,000).

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Facilities and infrastructure</b>	\$9.0	–	–

675. An amount of \$9,000 is proposed to provide for the acquisition of office supplies for 18 continuing posts.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Communications</b>	\$33.6	\$8.4	33.3%

676. The amount of \$33,600 is proposed to provide for recurring requirements for commercial communications services, at the standard rate derived from past expenditure patterns, for 18 posts.

677. The higher requirements are attributable to an increase in common service rates for mobile phones and desk phones.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Information technology</b>	\$77.6	\$21.8	39.1%

678. The amount of \$77,600 is proposed to provide for standard resources 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 (\$27,000), the support account share of the central information technology infrastructure costs (\$45,800) (information storage and backup, application hosting, departmental servers and other services), as derived from past expenditure patterns, and standard replacement of equipment (\$4,800) for 18 continuing posts.

679. The higher requirements are mainly attributable to an underestimation of the provision included in the 2012/13 budget, whereas the estimates for 2013/14 are based on actual cost of infrastructure services provided by the Office of Information and Communications Technology in the 2011/12 financial period.

	<i>Cost estimates</i>	<i>Variance</i>
<b>Other supplies, services and equipment</b>	\$14.0	\$9.2 191.7%

680. An amount of \$14,000 is proposed to provide for the cost of training fees related to certification and recertification on the use of lethal and less lethal tactics for instructors in Headquarters.

681. The higher requirements are attributable to the increased number of Department training officers enrolled in certification and recertification courses on the use of lethal and less lethal tactics and more advanced programmes designed to maintain their instructor level skills and allow them to conduct security officer training in peacekeeping missions.

## **K. Secretariat of the Advisory Committee on Administrative and Budgetary Questions**

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

682. The mandate of the secretariat 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 procedures of the General Assembly.

683. The Advisory Committee is responsible for examining and reporting on the proposed budgets and performance reports and reports on administrative issues submitted by the Secretary-General to the General Assembly. The activities of the secretariat of the Advisory Committee include the provision of advice and technical support to the Committee on issues relating to policy and/or procedure and the drafting of the conclusions and recommendations set out in the Committee's reports. Its activities also include the examination and analysis of the proposals contained in the reports of the Secretary-General and all relevant supplementary and background documentation; definition of issues; and the formulation of administrative and financial regulations and rules for consideration by the Committee.

684. Additional activities include the scheduling of the sessions on peacekeeping operations and the departments and offices of the Secretariat funded from the support account, the Board of Auditors, the Independent Audit Advisory Committee 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 departments and offices of the Secretariat, in particular the Department of Management. That collaboration and cooperation includes the examination, substantive analysis and clarification required in the preparation of the reports and the sharing of information and experience.

685. 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. The primary challenge faced by the secretariat of the Advisory Committee is the short time frame allotted for the production of 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 the reports of the Advisory Committee are submitted within the deadline (2011/12: 100 per cent; 2012/13: 100 per cent; 2013/14: 100 per cent)
	1.2 100 per cent of the reports of the Advisory Committee are free of error (2011/12: 100 per cent; 2012/13: 100 per cent; 2013/14: 100 per cent)

*Outputs*

- Substantive servicing of meetings: provision of substantive and technical advice and support to approximately 112 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

**(b) Human resources requirements**

<i>Category</i>	<i>Approved staffing 2012/13</i>	<i>Redeployment, reassignment, abolition, discontinuation</i>	<i>General temporary assistance conversions</i>	<i>New posts/positions proposed</i>	<i>Total proposed 2013/14</i>	<i>Change</i>
<b>Posts</b>						
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	–	–	–	–	–	–
D-1	–	–	–	–	–	–
P-5	–	–	–	–	–	–
P-4	–	–	1	–	1	1
P-3	–	–	–	–	–	–
P-2/P-1	–	–	–	–	–	–
<b>Subtotal</b>	–	–	<b>1</b>	–	<b>1</b>	<b>1</b>
<b>General Service and related</b>						
Principal level	–	–	–	–	–	–
Other level	–	–	–	–	–	–
<b>Subtotal</b>	–	–	–	–	–	–
<b>Total</b>	–	–	<b>1</b>	–	<b>1</b>	<b>1</b>

<i>Category</i>	<i>Approved staffing 2012/13</i>	<i>Redeployment, reassignment, abolishment, discontinuation</i>	<i>General temporary assistance conversions</i>	<i>New posts/ positions proposed</i>	<i>Total proposed 2013/14</i>	<i>Change</i>
<b>General temporary assistance positions</b>						
<b>Professional and higher</b>						
Under-Secretary-General	-	-	-	-	-	-
Assistant Secretary-General	-	-	-	-	-	-
D-2	-	-	-	-	-	-
D-1	-	-	-	-	-	-
P-5	-	-	-	-	-	-
P-4	1	-	(1)	-	-	(1)
P-3	-	-	-	-	-	-
P-2/P-1	-	-	-	-	-	-
<b>Subtotal</b>	<b>1</b>	<b>-</b>	<b>(1)</b>	<b>-</b>	<b>-</b>	<b>(1)</b>
<b>General Service and related</b>						
Principal level	-	-	-	-	-	-
Other level	-	-	-	-	-	-
<b>Subtotal</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Total</b>	<b>1</b>	<b>-</b>	<b>(1)</b>	<b>-</b>	<b>-</b>	<b>(1)</b>
<b>Total posts and positions</b>	<b>1</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>1</b>	<b>-</b>

(c) **Justification of posts**

*Conversion of one general temporary assistance position (P-4 Administrative Officer) to a post*

686. The approved staffing establishment of the secretariat of the Advisory Committee on Administrative and Budgetary Questions comprises no post funded from the support account and one general temporary assistance position (P-4) of Administrative Officer, the incumbent of which supports the peacekeeping-related work undertaken by the secretariat.

687. The Administrative Officer (P-4) is responsible primarily 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 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; the drafting of the Committee's reports, setting forth its conclusions and recommendations; and the provision of advice on and the clarification of the substance of the Committee's reports.

688. Workload statistics indicate that there has been a general increase in the number of reports received for review by the Advisory Committee during the past decade. Reports relating to peacekeeping operations represent approximately 30 per cent of the workload. For 2013/14, it is estimated that in addition to 36 budget-related reports, the Advisory Committee may consider reports on the progress of the implementation of IPSAS in peacekeeping missions. As the peacekeeping-related workload is not likely to subside in the near future, and as the function of the position is of a continuous nature, it is proposed that the general temporary assistance position of Administrative Officer (P-4) be converted to a post. The position has been approved by the General Assembly since 1 July 2010.

**(d) Financial resource requirements**

(Thousands of United States dollars)

Category	Expenditures (2011/12) (1)	Apportionment (2012/13) (2)	Cost estimates (2013/14) (3)	Variance	
				Amount (4)=(3)-(2)	Percentage (5)=(4)÷(2)
I. Post resources	–	–	204.7	204.7	–
II. Non-post resources					
General temporary assistance	218.5	161.8	–	(161.8)	(100.0)
Facilities and infrastructure	–	0.5	0.5	–	–
Communications	1.4	1.4	2.1	0.7	50.0
Information technology	–	1.5	2.0	0.5	33.3
<b>Subtotal II</b>	<b>219.9</b>	<b>165.2</b>	<b>4.6</b>	<b>(160.6)</b>	<b>(97.2)</b>
<b>Total</b>	<b>219.9</b>	<b>165.2</b>	<b>209.3</b>	<b>44.1</b>	<b>26.7</b>

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

	Cost estimates	Variance
<b>Post</b>	\$204.7	\$204.7 –

689. The provision would cover the salaries, common staff costs and staff assessments for one post. The higher requirements result from the conversion of one post.

	Cost estimates	Variance
<b>General temporary assistance</b>	–	(\$161.8) (100.0%)

690. No resources will be needed, as it is proposed that one general temporary assistance position be converted to a post.

	Cost estimates	Variance
<b>Facilities and infrastructure</b>	\$0.5	– –

691. An amount of \$500 is proposed to provide for the acquisition of office supplies.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Communications</b>	\$2.1	\$0.7	50.0%

692. An amount of \$2,100 is proposed to provide for requirements for commercial communications services at the standard rate derived from past expenditure patterns. The higher requirements are attributable to an increase in common service rates for mobile phones and desk phones.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Information technology</b>	\$2.0	\$0.5	33.3%

693. An amount of \$2,000 is proposed to provide for standard resources 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.

694. The higher requirements are mainly attributable to an underestimation of the provision included in the 2012/13 budget, whereas the estimates for 2013/14 are based on the actual cost of infrastructure services provided by the Office in the 2011/12 financial period.

## **L. Office of the United Nations High Commissioner for Human Rights**

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

695. Recognizing the need for adequate support from Headquarters during all phases of peacekeeping operations, including the liquidation and termination phases, the General Assembly has been mindful that the level of the support account should broadly correspond to the mandate, number, size and complexity of peacekeeping missions. To date, however, this has not included the Office of the United Nations High Commissioner for Human Rights, which is now supporting and guiding a workforce of human rights components of peacekeeping operations, comprising close to 600 posts in seven peacekeeping operations. This support comes at a time when the protection of human rights is almost systematically described by the Security Council as central to the very objectives and success of peacekeeping missions.

696. In 1999, OHCHR signed a memorandum of understanding with DPKO, renewed in 2002, which initiated the specific integration of human rights into United Nations peacekeeping missions. In 2005, the Secretary-General issued Policy Committee decision No. 2005/24 on human rights in integrated missions which endorsed such integration in DPKO/Department of Political Affairs-led peacekeeping missions, creating human rights components in all integrated missions, with double reporting lines to the High Commissioner, and reaffirming OHCHR as the lead agency on human rights issues with responsibility for

backstopping human rights in peacekeeping, notably by providing expertise, guidance and support to human rights components.

697. Subsequently, the Secretary-General's decisions on integration clarified the responsibilities of various United Nations actors with regard to conflict and post-conflict settings and reiterated the overall need for the integration of peacekeeping missions. This resulted in the creation of new structures and processes and, hence, new responsibilities for OHCHR in support of the human rights components of peacekeeping missions, including: participation in the Integrated Steering Group and the sub-working groups; integrated task forces; strategic assessments and integrated strategic frameworks and integrated mission planning processes. The systematic inclusion of human rights in peacekeeping mission mandates, the prevalence of the multidisciplinary operation model and Security Council resolutions on the protection of civilians, women and peace and security and sexual violence in conflict, including resolutions 1820 (2008), 1888 (2009), 1925 (2010) and 1960 (2010), resulted in new mandated priorities for human rights components, including additional monitoring and reporting functions on the ground, increased backstopping requirements on the part of Headquarters and the need for additional human rights training and guidance for uniformed and civilian peacekeeping personnel. In practical terms, those multiple mandates and lines of responsibility led to an intensive day-by-day working relationship between peacekeeping human rights components and OHCHR with the overall goal of strengthening the efficiency, quality and integrity of the contribution of peacekeeping missions to human rights. For example, every major substantive report prepared by each peacekeeping human rights component is subjected to at least one thorough substantive review by several OHCHR departments and subsequently cleared by the High Commissioner prior to release by the mission.

698. In 2011, two major policy developments emphasized further the need for backstopping for human rights in peacekeeping. OHCHR, DPKO, the Department of Political Affairs and DFS signed a joint policy on human rights in United Nations peacekeeping operations and political missions which clearly defines, inter alia, the responsibilities of OHCHR in providing support to the human rights components of peacekeeping missions and in developing human rights guidance and training for peacekeeping personnel, building upon and providing greater guidance than that contained in the 1999 DPKO-OHCHR memorandum of understanding. That joint policy sets out all integration developments and commitments that affect the protection and promotion by all mission components of human rights in peacekeeping missions. In 2011, the Secretary-General also issued the human rights due diligence policy on support to non-United Nations security forces, which places additional requirements on OHCHR to support its implementation in peacekeeping missions. The design and roll-out of both policies was led by OHCHR, which oversees the monitoring of and reporting on their implementation.

699. Over a period of nearly 10 years, there has been a significant growth in the human rights functions of peacekeeping operations such that human rights components are now central to the mandates given by Member States. With that in mind, and in line with the recommendation made in paragraph 245 of the report of the panel on peace operations (see A/55/305-S/2000/809) that the field mission planning and preparation capacity of OHCHR be enhanced, with funding partly from the regular budget and partly from peace operations mission budgets, the

following resources for human rights are proposed under the support account for peacekeeping operations.

700. While OHCHR-mandated activities as described in the joint policy on human rights in integrated peace missions of DPKO, the Department of Political Affairs, DFS and OHCHR will require additional support capacity that should be built over time, the proposed peacekeeping support account resource requirements for the 2013/14 period reflect the prioritization of the following critical objectives, with other, equally important objectives to be included in future:

(a) Strengthening OHCHR senior-level representation and strategic engagement in decision-making processes, planning and operational support related to peacekeeping and enhancing integration of human rights in peacekeeping missions;

(b) Strengthening mission planning on human rights through the provision of enhanced support for human rights-related integrated mission planning processes, including with regard to mission start-up and the reconfiguration of peacekeeping operations, as needed;

(c) Furthering the capacity of uniformed and civilian peacekeeping personnel through guidance and training to integrate human rights protection into the conduct of their activities.

701. The Office comprises the Office of the Under-Secretary-General, which includes the External Relations Division, the Research and Right to Development Division, the Human Rights Treaties Division, the Field Operations and Technical Cooperation Division, and the Human Rights Council and Special Procedures Division.

<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 reflect the specific range of activities to be carried out by human rights officers 1.2 Security Council resolutions incorporate recommendations and specific actions related to human rights 1.3 Increased requests from Member States for briefings and documented reports on human rights

*Outputs*

- 8 regular country reports submitted by the Secretary-General to the Security Council include recommendations on human rights, including in the areas of transitional justice, human rights compliance on the part of judicial, police and prison authorities, security sector reform, detention, sexual violence in conflict, protection of victims and witnesses and protection of civilians in conflict and crisis situations
- One annual report of the Secretary-General on sexual violence in conflict reflects human rights trends and includes information on patterns of sexual violence; 2 periodic reports on sexual violence in conflict are issued under the monitoring, analysis and reporting arrangements established pursuant to Security Council resolution 1960 (2010)
- One regular report of the Secretary-General on the protection of civilians reflects trends and patterns of violations against civilians emanating from the conflict and includes recommendations on protection needs

- 1 briefing to troop- and police-contributing countries providing updates on good practices and innovations relating to cooperation between human rights components and blue helmets in the area of protection against human rights violations
- 1 consultation with host States to discuss human rights functions and structures during and following a peacekeeping operation
- 5 briefings to Member States, regional organizations and groups of friends/contact groups on human rights developments in countries with peacekeeping missions
- 1 briefing to United Nations departments, agencies, funds, programmes, regional entities on human-rights-related issues and activities in peacekeeping missions

*Expected accomplishments**Indicators of achievement*

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

2.1 Deployment of senior human rights officers, within time requirements for establishing new peacekeeping operations

*Outputs*

- Once a year participate in strategic assessment missions, predeployment missions and/or start-ups to contribute from a human rights perspective to needs assessments, assist with the establishment of human rights priorities and human rights components advanced teams and provide start-up human rights induction briefings to newly deployed personnel

*Expected accomplishments**Indicators of achievement*

3.1 Increased efficiency or effectiveness of peacekeeping operations

3.1 National authorities participate in implementing recommendations related to human rights

3.2 Human rights training for police and military functions is increasingly included and delivered in predeployment training by troop- and police-contributing countries

3.3 Human rights induction briefings are increasingly delivered to senior uniformed personnel in peacekeeping operations

3.4 Standard operating procedures and instructions to guide military components in taking action when confronted with human rights violations and issues are developed in 1 peacekeeping operation

*Outputs*

- 3 operational visits and participation in technical assessment missions, with priority accorded to new missions and those going through a transition, to review progress and provide input to mission leadership and direction to the human rights component regarding mandate implementation
- 1 annual meeting of heads of human rights components of peacekeeping operations on lessons learned relating to policy implementation and to advance integration of human rights in peacekeeping contexts
- Briefing and start-up package provided to 3 new human rights chiefs

- Human rights content is provided for 4 DPKO specialized predeployment training materials for military and police personnel
- 3 human rights training courses are delivered as part of DPKO predeployment training-of-trainers for police and military personnel
- Training package on human rights for military peacekeepers is finalized and printed for distribution
- 3 specialized training courses on human rights for military peacekeeping personnel (60 participants) are organized jointly with peacekeeping missions and troop-contributing countries
- 1 human rights training course is provided to the Standing Police Capacity (30 participants) at UNLB
- 1 consultation is organized on human rights operational guidance for military personnel
- Briefing materials and start-up packages are provided to human rights components to support briefings to the force commanders, police commissioners and other senior uniformed personnel on human rights integration requirements
- 5 visits to New York for consultations with DPKO/DFS partners on integration of human rights in peacekeeping missions

**(b) Human resources requirements**

<i>Category</i>	<i>Approved staffing 2012/13</i>	<i>Redeployment, reassignment, abolition, discontinuation</i>	<i>General temporary assistance conversions</i>	<i>New posts/positions proposed</i>	<i>Total proposed 2013/14</i>	<i>Change</i>
<b>Posts</b>						
<b>Professional and higher</b>						
Under-Secretary-General	–	–	–	–	–	–
Assistant Secretary-General	–	–	–	–	–	–
D-2	–	–	–	–	–	–
D-1	–	–	–	1	1	1
P-5	–	–	–	–	–	–
P-4	–	–	–	1	1	1
P-3	–	–	–	1	1	1
P-2/P-1	–	–	–	–	–	–
<b>Subtotal</b>	–	–	–	<b>3</b>	<b>3</b>	<b>3</b>
<b>General Service and related</b>						
Principal level	–	–	–	–	–	–
Other level	–	–	–	–	–	–
<b>Subtotal</b>	–	–	–	–	–	–
<b>Total</b>	–	–	–	<b>3</b>	<b>3</b>	<b>3</b>

**(c) Justification of posts**

702. In order for OHCHR to respond to the immediate gap in the delivery of backstopping functions, which is hampering the work of peacekeeping missions in the area of human rights, it is proposed that the office's capacity for strategic assessment and planning and the provision of programmatic and operational support to human rights components be strengthened by consolidating the existing Peace Mission Support Unit under the leadership of a chief at the D-1 level within the Field Operations and Technical Cooperation Division, which would also be strengthened with one additional post at the P-3 level. It is also proposed that OHCHR capacity to design and support the delivery of human rights training to police and military personnel be strengthened by creating a dedicated post at the P-4 level within the Research and Right to Development Division. OHCHR would also carry out a comprehensive assessment of the necessary resources, and develop a mid-term strategy, to deliver fully on backstopping human rights for peacekeeping operations. The findings resulting from the assessment would be taken into account to ensure the best possible rationalization of and maximize support provided to peacekeeping missions, including any necessary restructuring and the relocation of the Peace Mission Support Unit.

**Field Operations and Technical Cooperation Division (Headquarters)***Establishment of two new posts (1 D-1 Chief of Service and 1 P-3 Human Rights Officer)*

703. The Field Operations and Technical Cooperation Division leads and coordinates the provision of substantive and operational support to human rights field presences, including human rights components in peacekeeping missions. The Division provides advice, guidance and information on the human rights situations of countries to legislative bodies, the High Commissioner for Human Rights, United Nations departments and agencies and the Secretary-General. The New York office, through its Assistant Secretary-General, represents the Division in senior-level decision-making and strategic planning meetings related to peacekeeping.

704. Division support for peacekeeping operations is provided mainly by the Peace Mission Support and Rapid Response Section and the geographical branches, notably the Africa Branch, the Europe and the Americas Branch and the Asia-Pacific Branch. As described below, the Peace Mission Support Unit, located in the Peace Mission Support and Rapid Response Section, is currently in charge of leading the Division's effort to provide support for the planning and design of missions and their review in fulfilling their human rights mandates; supporting the selection of human rights officers; working together with the Methodology, Education and Training Section of the Research and Right to Development Division in the development, review and implementation of human-rights-related policies for peacekeeping missions; and providing operational directives and guidance on the integration of human rights in peacekeeping missions and supporting human rights components in the field on a day-to-day basis. To cover its vast portfolio, the Unit is composed of two Professional posts (1 P-4 and 1 P-3) and one General Service post (1 GS (OL)) funded from the regular budget and one post (P-3) funded from extrabudgetary contributions. In the New York office, there is one dedicated post (P-4) funded from the regular budget focusing on peace and security issues, including, but not limited to, peacekeeping, in close collaboration with relevant

colleagues in the Field Operations and Technical Cooperation Division and the Research and Right to Development Division.

705. There are seven current peacekeeping operations led by DPKO with significant human rights mandates. The current capacity has proved inadequate to support those missions in undertaking their important cross-cutting functions, engaging in integrated assessment and planning efforts for potential new missions and fulfilling the support required from Department of Political Affairs-led special political missions also serviced from those posts. The result of the inadequate staffing is that many missions receive only minimal support and guidance in the area of human rights. Engagement in strategic integrated planning has also been inconsistent and the provision of programmatic operational support to the human rights components for development of programmes minimal.

706. It is therefore proposed that the Peace Mission Support Unit within the Field Operations and Technical Cooperation Division and the New York office be reinforced to respond to the identified need for increased dedicated backstopping on strategic planning, policy implementation and operational guidance for human rights in peacekeeping operations and become the Peace Mission Support Service, led by a chief at the D-1 level who would report directly to the Director of the Division. Such a reinforced support unit would incorporate existing staff resources under the Peace Mission Support Service to provide enhanced support for policy planning for mission start-up and planning for peacekeeping mission reconfiguration, drawdown and exit strategies.

707. It is proposed that a post of Chief (D-1) be created, funded from the support account, to lead, represent and provide direction on the integration of human rights into peacekeeping mission planning and the delivery of operational support and on OHCHR engagement with New York-based political processes in relation to peacekeeping operations. She or he would advise the geographical branches, the Division Director and senior management of OHCHR on peacekeeping matters. The Chief would oversee and manage the work of the enhanced Peace Mission Support Service in the area of political engagement, planning and substantive operational support, as well as represent and support the Assistant Secretary-General for Human Rights in terms of participating in senior-level strategic planning and decision-making related to peacekeeping in New York. She or he would lead the engagement on human rights mandates with relevant senior-level interlocutors from Member States and various United Nations departments, ensuring that they received regular briefings about the human rights situation in host countries and possible courses of action. The Chief would participate in senior-level interdepartmental processes related to peacekeeping operations, including the integrated steering group meetings and integrated mission planning processes (such as director-level integrated mission task forces) and provide advice, as needed, on the integrated operational teams of DPKO. She or he would articulate new mission strategies for the delivery of human rights mandates and the work of human rights components. The incumbent would also serve as a dedicated capacity on standby to head advanced human rights teams in early peacekeeping deployments. She or he would also participate in high-level assessment missions with a view to developing mission concepts for the implementation of human rights mandates and obligations. Finally, the incumbent would also serve as a peer-level interlocutor with the heads of existing human rights components, with the heads of partner components in missions and with peacekeeping-related team heads at United Nations Headquarters. Such dedicated

capacity is warranted by the integration of human rights throughout United Nations peacekeeping operations. Given the responsibilities and interaction of the future incumbent, it is suggested that the post be located in the New York office.

708. The existing Human Rights Officer post (P-4, funded from the regular budget) in the current Peace Mission Support Unit would continue to focus on policy and planning for mission start-up and reconfiguration and to support planning for special political missions and would focus on support for policy development and planning processes related to mission start-up and advanced teams, including for peacekeeping operations. The incumbent would assist in the development and revision of mission concepts to ensure that human rights issues are adequately reflected in the definition of peacekeeping operations; coordinate OHCHR support aimed at the establishment of human rights priorities, structure and staffing for new human rights components; and, within his or her capacity, provide basic support for existing human rights components in peacekeeping operations. The incumbent would also support the Chief of Service in providing input into submissions for mandate renewals, policy committee discussions and reports of the Secretary-General on peace and security. In coordination with the Research and Right to Development Division, the incumbent would continue to assist on policy implementation related to protection issues, oversee the work of the proposed new Human Rights Officer under the support account (P-3, see para. 709 below), and continue to oversee the work of four staff funded from the regular budget (3 P-3 and 1 General Service).

709. The existing Human Rights Officer (P-3, funded from the regular budget) in the Peace Mission Support Unit would continue to support strategic planning for special political missions and peacekeeping processes related to mission start-up and participate in the working-level Integrated Mission Task Force meetings. The Human Rights Officer would continue to provide support to human rights components of special political missions with regard to their budget submissions. She or he would continue to provide substantive support to human rights components and OHCHR senior management on the protection of civilians, notably by participating in the inter-agency working group on the protection of civilians, drafting inputs for the High Commissioner's briefings to the Security Council on the protection of civilians, supporting human rights component submissions for country-specific expert groups on the protection of civilians and providing inputs for reports of the Secretary-General on the protection of civilians and advice on operational arrangements, structure and staffing to address the protection of civilians and sexual violence in conflict, in consultation with the relevant thematic sections of the Research and Right to Development Division.

710. One new Human Rights Officer (P-3), funded from the support account, is proposed to assist the Chief (D-1) and the Human Rights Officer (P-4) in providing support to peacekeeping missions for mission reconfiguration and transition planning. The incumbent would also provide programmatic guidance to human rights components in the implementation of human rights-related policies and decisions binding on human rights and other components in peacekeeping operations. In cooperation with the Methodology, Education and Training Section of the Research and Right to Development Division, she or he would be responsible for providing advice on and supporting the implementation, monitoring, evaluation and review of the joint policy on human rights in peacekeeping operations; supporting the implementation of the human rights public reporting policy, notably by

supporting human rights components in the issuance of human rights public reports, reviewing drafts and coordinating comments; maintaining the human rights peace mission resource centre in support of heads of human rights components and desk officers; drafting the monthly human rights peacekeeping mission bulletin; updating the start-up package of incoming heads; developing an induction package for desk officers and conducting regular briefings for newcomers; and developing practitioner's tools to support OHCHR in peacekeeping processes, notably frequently asked questions relating to OHCHR involvement in the technical assessment missions and DPKO/DFS planning and budget processes. She or he would support the Human Rights Officer (P-4) in designing and organizing the annual meeting of heads of human rights components.

711. The existing Human Rights Officer (P-3, Roster Manager), currently funded through OHCHR extrabudgetary contributions, would continue to work in support of the technical assessment for the human rights roster; provide advice on staffing processes related to human rights officers, in particular with regard to drafting the terms of reference; provide technical guidance on the drafting of written tests for expert panels; provide substantive support for the organization of expert panels; evaluate United Nations Volunteer human rights officer candidates; and support the role of OHCHR in the recruitment of heads of human rights components who are also representatives of the High Commissioner in line with the joint policy procedure.

## **Research and Right to Development Division**

### **Methodology, Education and Training Section (Geneva)**

#### *Establishment of one new post (1 P-4 Human Rights Officer)*

712. The Research and Right to Development Division currently has only one post of Human Rights Officer (P-4), funded from the regular budget, located in the Methodology, Education and Training Section, which is dedicated to developing policy, guidance and training for peacekeeping missions. These resources are inadequate to respond to the increased guidance and training demands emanating from peacekeeping missions, notably in the areas of the protection of civilians and human rights due diligence on United Nations support to non-United Nations security forces.

713. In addition to that dedicated capacity, some regular budget (3 P-4 and 1 P-3) and extrabudgetary (3 P-4 and 2 P-3) resources cover demands emanating from peacekeeping operations in the areas of the rule of law, security sector reform, transitional justice, human rights monitoring and investigation methodology, legal advice and women's rights and sexual violence, but tasks in those areas can take up no more than 40 per cent of the time available to the relevant staff, given that they are also responsible for responding to requests in their respective areas of expertise emanating from OHCHR field presences, the Human Rights Council, treaty bodies and the High Commissioner.

714. It is proposed that the existing resources in the Division be reinforced to create a dedicated capacity able to support demands in the area of human rights training for peacekeeping personnel.

715. It is proposed that one Human Rights Officer at the P-4 level based in Geneva be established to reinforce the policy, methodology and training capacity of the Methodology, Education and Training Section. The focus of the Human Rights

Officer would be on supporting the integration of human rights into the work of United Nations military and police components, in line with human rights integration requirements and OHCHR responsibilities in that area. The incumbent would work closely with the Office of Military Affairs, the Police Division, the Integrated Training Service of DPKO/DFS and troop- and police-contributing countries to assess cost-effective training strategies and training needs of military and police personnel, with the aim of supporting the incorporation into training strategies of human rights standards and requirements, in accordance with Security Council mandates, United Nations policy and DPKO training standards. The incumbent would develop training packages and other materials and provide advice and content for specialized DPKO/DFS training materials aimed at military and police personnel. The incumbent would contribute specialist expertise to DPKO/DFS predeployment training-of-trainers courses for troop- and police-contributing countries. She or he would liaise with national and regional peacekeeping training centres to provide support and advice as needed and would contribute monitoring and evaluating the impact of human rights training initiatives in furthering the human rights protection capabilities of military and police personnel. The incumbent would also be responsible for the development of standard briefing and start-up packages for senior uniformed personnel.

716. Current resources would continue to be focused on the significant development of policy and methodological guidance to advance human rights integration in peacekeeping operations. The strengthened capacity of the Section would also provide advice with regard to support and evaluate the implementation of various human rights-related policies, including the joint policy on human rights in peacekeeping operations, the human rights due diligence policy on United Nations support to non-United Nations security forces and guidance on the protection of civilians. The Section would also fulfil a knowledge-management function through the gathering and sharing of practices on the implementation of mandates relating to human rights and the protection of civilians and focus on training for peacekeeping civilian personnel (predeployment, support for inductions and senior mission leaders).

**(d) Financial resource requirements**

(Thousands of United States dollars)

Category	Expenditures (2011/12)	Apportionment (2012/13)	Cost estimates (2013/14)	Variance	
				Amount	Percentage
	(1)	(2)	(3)	(4)=(3)-(2)	(5)=(4)÷(2)
I. Post resources	–	–	332.8	332.8	–
II. Non-post resources					
Official travel	–	–	232.6	232.6	–
Facilities and infrastructure	–	–	59.1	59.1	–
Communications	–	–	7.8	7.8	–
Information technology	–	–	8.5	8.5	–
Other supplies, services and equipment	–	–	50.0	50.0	–
<b>Subtotal II</b>	–	–	<b>358.0</b>	<b>358.0</b>	–
<b>Total</b>	–	–	<b>690.8</b>	<b>690.8</b>	–

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

	<i>Cost estimates</i>	<i>Variance</i>
<b>Posts</b>	\$332.8	\$332.8 –

717. The provision would cover the salaries, common staff costs and staff assessments for the establishment of three new posts (1 D-1, 1 P-4 and 1 P-3), with the application of the budgeted vacancy rate of 50 per cent.

	<i>Cost estimates</i>	<i>Variance</i>
<b>Official travel</b>	\$232.6	\$232.6 –

718. 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	38 300	3 operational visits and participation in technical assessment missions, prioritizing new missions and those going through a transition, to review progress, provide input to mission leadership and direction to human rights components regarding mandate implementation  Once a year, participate in strategic assessment missions, predeployment missions and/or start-ups to contribute, from a human rights lens perspective, to the needs assessment, provide start-up human rights induction to newly deployed personnel and assist with the establishment of human rights priorities
Technical support	54 900	1 annual meeting of heads of human rights components of peacekeeping operations on lessons learned with regard to policy implementation and to advance integration of human rights in peacekeeping contexts  5 visits to New York for consultations with DPKO/DFS partners  1 consultation organized on operational guidance to military personnel
Seminars/conferences/ workshops	27 100	1 briefing with troop-contributing countries providing updates related to the human rights situation in peace mission countries and innovations in cooperation between human rights components and blue helmets related to civil protection  1 consultation with host States to discuss human rights roles during and following a peacekeeping operation  5 briefings to Member States, regional organizations and groups of friends/contact groups on human rights developments in countries with a peacekeeping mission
Training	112 300	3 human rights training courses are delivered as part of DPKO predeployment training-of-trainers organized for police and military personnel  3 specialized training courses on human rights for military peacekeeping personnel (60 participants) organized jointly with peacekeeping missions and troop-contributing countries

<i>Type of travel</i>	<i>Amount</i>	<i>Output reference</i>
		1 human rights training course provided to the Standing Police Capacity (30 participants) at UNLB
<b>Total</b>	<b>232 600</b>	

719. The amount of \$38,300 is proposed for travel related to the establishment of peacekeeping operations and the conduct of strategic and technical assessment missions in the context of transition phases. In this respect, three visits (\$23,400) are expected to be undertaken to missions currently in transition (UNMIL and UNOCI) or recently established (UNMISS). The proposed amount would also cover the costs associated with the deployment of a Senior Human Rights Officer for a maximum of 30 days as part of the advance team in the start-up of a new mission (\$14,900).

720. The amount of \$54,900 is proposed for travel to Geneva and New York, including for an annual gathering of heads of human rights components (\$19,600). The purpose of the annual meeting is for heads of human rights components to provide training on new policies and guidance, exchange practices, review the operational implementation of policies, challenges and lessons learned and brief Member States and partner agencies and departments. The amount would also cover costs associated with the organization of a consultation for United Nations military personnel with a view to the development of operational guidance on actions to be taken in the face of grave violations (\$12,400). Travel related to internal consultations between staff in Geneva and New York will be limited to what is strictly necessary, but two trips are planned in 2013/14 for consultations with DPKO and DFS partners in New York (\$22,900) for internal strategic consultations in support of human rights components in transition processes.

721. The amount of \$27,100 is proposed for seminars and workshops, including to cover the costs associated with the participation of senior management responsible for operational and/or policy development in retreats held for heads of mission, and briefings for troop-contributing countries, host States, members of the Security Council and regional organizations on human rights situations in peacekeeping mission countries and on the cooperation of uniformed personnel in advancing human rights in peacekeeping contexts.

722. The amount of \$112,300 is proposed for the costs associated with facilitating specialized training-of-trainer courses on human rights for military personnel, to be organized jointly with United Nations peacekeeping operations and troop-contributing countries and in consultation with the Integrated Training Services of DPKO (\$87,100). Courses will be based on the OHCHR training package for military peacekeeping personnel. In addition, one human rights training course would be facilitated for the Standing Police Capacity at UNLB (\$5,900). The four courses would benefit 60 military peacekeepers in MONUSCO, UNMISS and one troop-contributing country and 30 United Nations police personnel of the Standing Police Capacity at UNLB, and the proposed amounts would cover costs associated with trainers from OHCHR. The amount would also cover costs associated with the delivery by OHCHR of three predeployment training-of-trainer courses at DPKO for United Nations police and military personnel (\$19,300).

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Facilities and infrastructure</b>	\$59.1	\$59.1	–

723. A provision of \$59,100 is made to provide for the rental of office premises and common service costs for the regional office in Geneva (\$57,600) and the acquisition of office supplies (\$1,500).

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Communications</b>	\$7.8	\$7.8	–

724. An amount of \$7,800 is proposed to provide for commercial communications, at the standard rate derived from past expenditure patterns (\$5,400), and to provide for the acquisition of standard communications equipment for three new posts (\$2,400).

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Information technology</b>	\$8.5	\$8.5	–

725. An amount of \$8,500 is proposed to provide for: standard resources 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 (\$4,500); the support account share of the central information technology infrastructure costs (\$300) (information storage and backup, application hosting, departmental servers and other services) derived from past expenditure patterns; and the acquisition of standard information technology equipment, including the acquisition of new desktop computers, laptop computers and network printers (\$3,700).

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Other supplies, services and equipment</b>	\$50.0	\$50.0	–

726. An amount of \$50,000 is proposed to cover the cost of the translation and printing services related to the production and dissemination of training material for military personnel. The proposed amount would also cover costs related to conference services for the organization of workshops and annual consultations (\$20,000) and to the editing, layout and printing of a training package on human rights intended for military peacekeepers (\$30,000).

#### **IV. Action to be taken by the General Assembly**

727. **The actions to be taken by the General Assembly are as follows:**

(a) **To approve additional requirements in the amount of \$15,050,200 for the 12-month period from 1 July 2012 to 30 June 2013;**

(b) **To approve the support account requirements in the amount of \$308,575,800 for the 12-month period from 1 July 2013 to 30 June 2014;**

(c) To apply the unencumbered balance of \$6,000 in respect of the financial period from 1 July 2011 to 30 June 2012 to the support account requirements for the period from 1 July 2013 to 30 June 2014;

(d) To apply the total amount of other income amounting to \$3,134,900, comprising interest income (\$883,400), other miscellaneous income (\$111,300), cancellations of prior-period obligations (\$2,141,300) and prior-period adjustments (\$1,100), in respect of the period from 1 July 2011 to 30 June 2012 to the support account requirements for the period from 1 July 2013 to 30 June 2014;

(e) To apply the excess of the authorized level of the Peacekeeping Reserve Fund in respect of the financial period ended 30 June 2012 in the amount of \$1,245,800 to the support account requirements for the period from 1 July 2013 to 30 June 2014;

(f) To prorate the balance of \$304,195,100 among the budgets of the active peacekeeping operations for the financial period from 1 July 2013 to 30 June 2014.

## Annex I

## Proposed staffing of the Department of Peacekeeping Operations for the period from 1 July 2013 to 30 June 2014

<b>Office of the Under-Secretary-General</b> (74 support account posts)				
Posts		General temporary assistance		
Regular budget	Support account	Support account		
1 USG	1 D-2	1 P-4 <sup>a</sup>		
1 D-1	1 D-2 <sup>b</sup>	1 GS(OL) <sup>a</sup>		
1 P-4	2 D-1	3 P-3 <sup>c</sup>		
2 GS(OL)	5 P-5	3 GS(OL) <sup>c</sup>		
	2 P-5 <sup>d</sup>			
	11 P-4			
	1 P-4 <sup>d</sup>			
	21 P-3			
	4 P-2/1			
	2 GS(PL)			
	23 GS(OL)			
	1 GS(OL) <sup>b</sup>			

<b>United Nations Office to the African Union</b> (54 support account posts)			
Posts		General temporary assistance	
Regular budget	Support account	Support account	
1 ASG	2 P-5		
1 D-2	20 P-4		
1 P-5	3 P-3		
1 P-4	11 FS		
2 NGS	-1 FS <sup>e</sup>		
	20 NGS		
	-1 NGS <sup>e</sup>		
	1 UNV		
	-1 UNV <sup>e</sup>		

<b>Office of Operations</b> (73 support account posts)			
Posts		General temporary assistance	
Regular budget	Support account	Support account	
1 ASG	1 D-2		
3 D-2	4 D-1		
3 D-1	10 P-5		
2 P-5	-1 P-5 <sup>e</sup>		
1 P-3	21 P-4		
5 GS(OL)	13 P-3		
	5 P-2/1		
	20 GS(OL)		

<b>Office of Military Affairs</b> (128 support account posts)			
Posts		General temporary assistance	
Regular budget	Support account	Support account	
1 ASG	1 D-2	2 GS(OL) <sup>a</sup>	
2 GS(OL)	1 D-1		
	11 P-5		
	-1 P-5 <sup>d</sup>		
	87 P-4		
	-2 P-4 <sup>e</sup>		
	16 P-3		
	-2 P-3 <sup>e</sup>		
	17 GS(OL)		

<b>Office of Rule of Law and Security Institutions</b> (94 support account posts)			
Posts		General temporary assistance	
Regular budget	Support account	Support account	
1 ASG	2 D-1	2 P-4 <sup>a</sup>	
1 D-2	10 P-5	1 P-3 <sup>a</sup>	
1 P-5	-1 P-5 <sup>d</sup>		
	45 P-4		
	-4 P-4 <sup>e</sup>		
	26 P-3		
	-1 P-3 <sup>e</sup>		
	17 GS(OL)		

<b>Policy, Evaluation and Training Division</b> (62 support account posts)			
Posts		General temporary assistance	
Regular budget	Support account	Support account	
2 P-2/1	1 D-2	1 P-4 <sup>a</sup>	
1 GS(OL)	2 D-1		
	7 P-5		
	23 P-4		
	-1 P-4 <sup>e</sup>		
	16 P-3		
	-1 P-3 <sup>e</sup>		
	1 P-2/1		
	14 GS(OL)		

<sup>a</sup> Continuation of general temporary assistance.

<sup>b</sup> Establishment.

<sup>c</sup> General temporary assistance position of less than 12 months.

<sup>d</sup> Reassignment.

<sup>e</sup> Abolishment.

## Annex II

## Proposed staffing of the Department of Field Support for the period from 1 July 2013 to 30 June 2014

<b>Office of the Under-Secretary-General</b> (55 support account posts)			
Posts			General temporary assistance
Regular budget	Support account	Support account	
1 USG	1 D-1	1 D-1 <sup>a</sup>	
1 ASG	1 D-1 <sup>b</sup>	1 P-5 <sup>a</sup>	
1 D-1	16 P-5	1 P-4 <sup>a</sup>	
1 P-5	1 P-5 <sup>c</sup>	1 GS(OL) <sup>d</sup>	
	-1 P-5 <sup>b</sup>		
	-3 P-5 <sup>d</sup>		
	15 P-4		
	-1 P-4 <sup>d</sup>		
	-1 P-4 <sup>e</sup>		
	9 P-3		
	1 P-2/1		
	1 GS(PL)		
	16 GS(OL)		

<b>Field Budget and Finance Division</b> (71 support account posts)			
Posts		General temporary assistance	
Regular budget	Support account	Support account	
1 P-5	1 D-2		
1 P-4	1 D-1		
2 P-2/1	3 P-5		
3 GS(OL)	15 P-4		
	-1 P-4 <sup>d</sup>		
	21 P-3		
	2 P-2/1		
	-1 P-2 <sup>d</sup>		
	4 GS(PL)		
	27 GS(OL)		
	-1 GS(OL) <sup>d</sup>		

<b>Field Personnel Division</b> (108 support account posts)			
Posts		General temporary assistance	
Regular budget	Support account	Support account	
1 P-4	1 D-2	13 P-3 <sup>a</sup>	
2 P-2/1	2 D-1	4 GS(OL) <sup>a</sup>	
5 GS(OL)	7 P-5		
	11 P-4		
	23 P-3		
	2 P-2/1		
	8 GS(PL)		
	56 GS(OL)		
	-2 GS(OL) <sup>d</sup>		

<b>Logistics Support Division</b> (122 support account posts)			
Posts		General temporary assistance	
Regular budget	Support account	Support account	
1 D-2	2 D-1		
1 P-5	9 P-5		
-1 P-5 <sup>e</sup>	-1 P-5 <sup>c</sup>		
3 P-3	35 P-4		
-3 P-3 <sup>e</sup>	-2 P-4 <sup>e</sup>		
1 P-2/1	46 P-3		
-1 P-2/1 <sup>e</sup>	2 GS(PL)		
3 GS(OL)	32 GS(OL)		
-1 GS(OL) <sup>e</sup>	-1 GS(OL) <sup>e</sup>		

<b>Information and Communications Technology Division</b> (31 support account posts)			
Posts		General temporary assistance	
Regular budget	Support account	Support account	
1 P-5 <sup>e</sup>	1 D-2		
1 P-3	1 D-1		
3 P-3 <sup>e</sup>	2 P-5		
1 P-2/1	7 P-4		
1 P-2/1 <sup>e</sup>	2 P-4 <sup>e</sup>		
1 GS(OL) <sup>e</sup>	7 P-3		
	3 GS(PL)		
	8 GS(OL)		
	1 GS(OL) <sup>e</sup>		
	-1 GS(OL) <sup>d</sup>		

<sup>a</sup> Continuation of General temporary assistance.

<sup>b</sup> Reclassification.

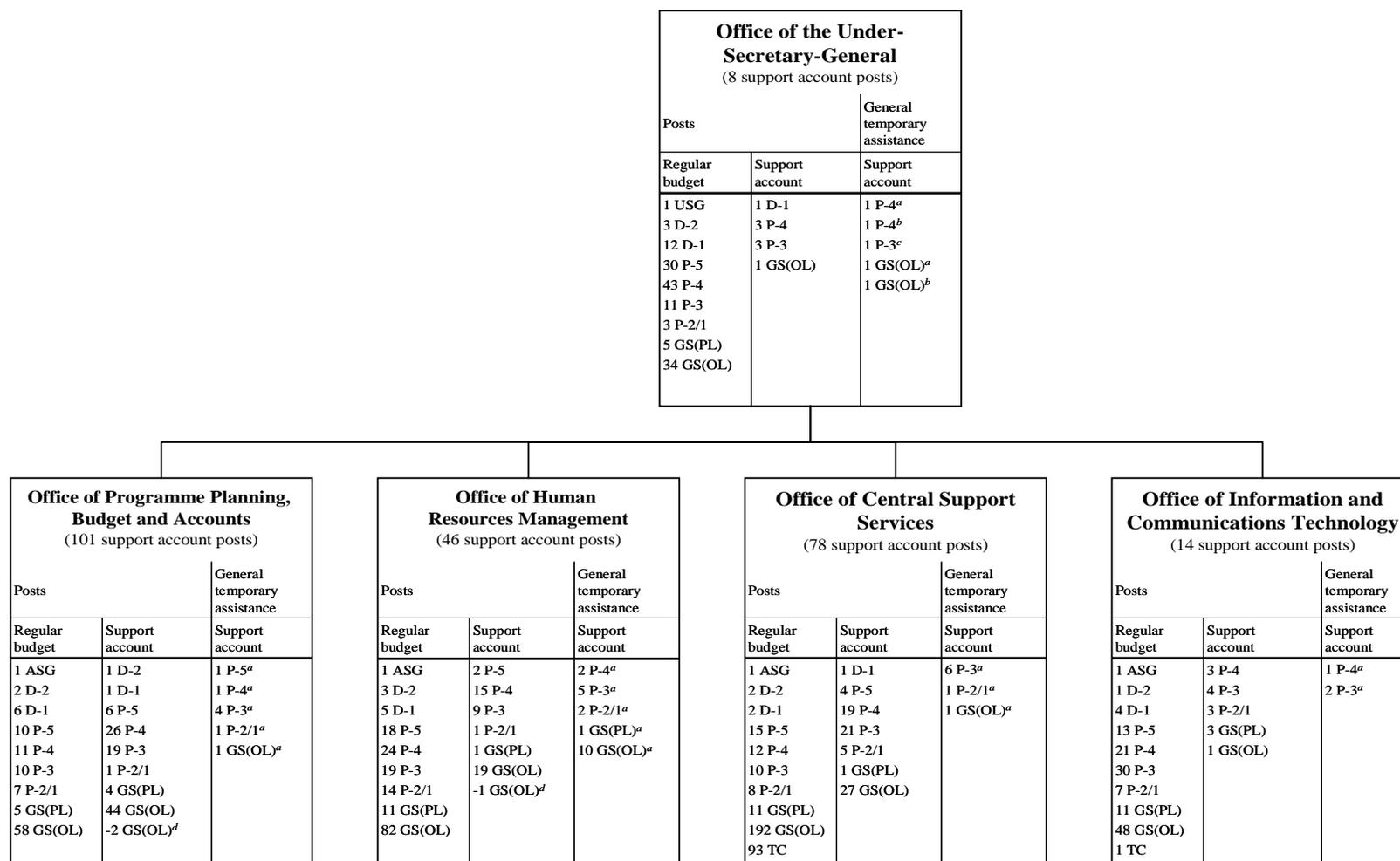
<sup>c</sup> Reassignment.

<sup>d</sup> Abolishment.

<sup>e</sup> Redeployment.

## Annex III

## Proposed staffing of the Department of Management for the period from 1 July 2013 to 30 June 2014



<sup>a</sup> Continuation of General temporary assistance.

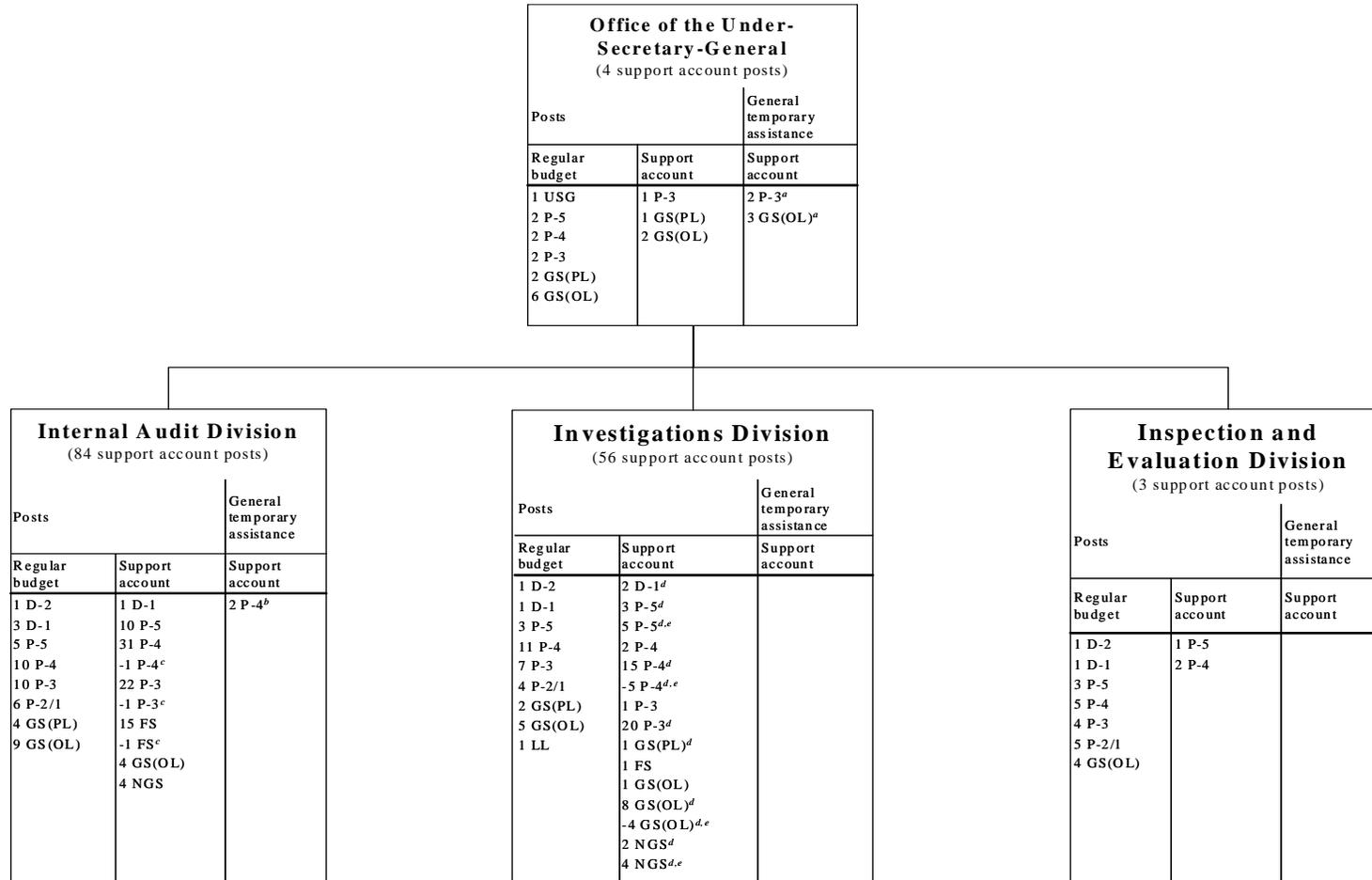
<sup>b</sup> General temporary assistance position of less than 12 months.

<sup>c</sup> New General temporary assistance.

<sup>d</sup> Abolishment.

## Annex IV

## Proposed staffing of the Office of Internal Oversight Services for the period from 1 July 2013 to 30 June 2014



<sup>a</sup> General temporary assistance position of less than 12 months.

<sup>b</sup> Continuation of General temporary assistance.

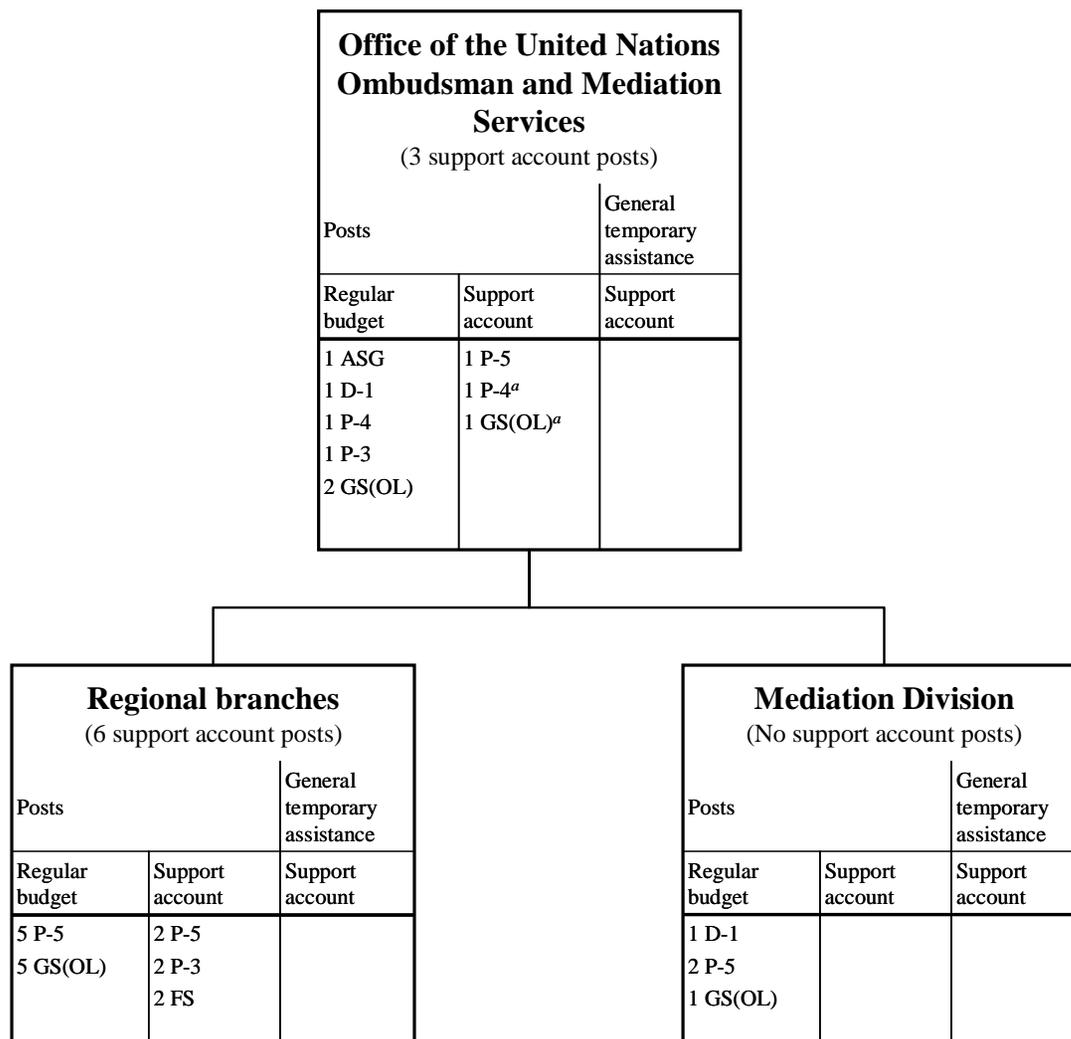
<sup>c</sup> Abolishment.

<sup>d</sup> Conversion.

<sup>e</sup> Reclassification.

## Annex V

## Proposed staffing of the Office of United Nations Ombudsman and Mediation Services for the period from 1 July 2013 to 30 June 2014



<sup>a</sup> Conversion.

## Annex VI

**Proposed staffing of the Ethics Office for the period from 1 July 2013  
to 30 June 2014**

<b>Ethics Office</b> (1 support account post)		
Posts		General temporary assistance
Regular budget	Support account	Support account
1 D-2 1 P-5 1 P-4 2 P-3 1 P-2/1 1 GS(PL) 2 GS(OL)	1 P-3	1 GS(OL) <sup>a</sup>

<sup>a</sup> Continuation of General temporary assistance.

## Annex VII

## Proposed staffing of the Office of Legal Affairs for the period from 1 July 2013 to 30 June 2014

<b>Office of the Under-Secretary-General</b> (No support account posts)					
Posts			General temporary assistance		
Regular budget	Support account	Support account	Regular budget	Support account	Support account
1 USG					
3 P-5					
3 P-4					
5 P-3					
5 P-2/1					
8 GS(PL)					
15 GS(OL)					

<b>Office of the Legal Counsel</b> (5 support account posts)					
Posts			General temporary assistance		
Regular budget	Support account	Support account	Regular budget	Support account	Support account
1 ASG	1 P-5				
1 D-1	2 P-4				
2 P-5	1 P-2/1				
1 P-4	1 GS(OL)				
1 P-3					
1 P-2/1					
4 GS(OL)					

<b>General Legal Division</b> (13 support account posts)					
Posts			General temporary assistance		
Regular budget	Support account	Support account	Regular budget	Support account	Support account
1 D-2	4 P-5				
1 D-1	4 P-4				
4 P-5	2 P-4 <sup>a</sup>				
5 P-4	1 P-3				
5 P-3	1 P-3 <sup>a</sup>				
1 P-2/1	1 GS(OL)				
7 GS(OL)					

<b>Codification Division</b> (No support account posts)					
Posts			General temporary assistance		
Regular budget	Support account	Support account	Regular budget	Support account	Support account
1 D-2					
2 D-1					
2 P-5					
4 P-4					
2 P-3					
3 P-2/1					
2 GS (PL)					
6 GS (OL)					

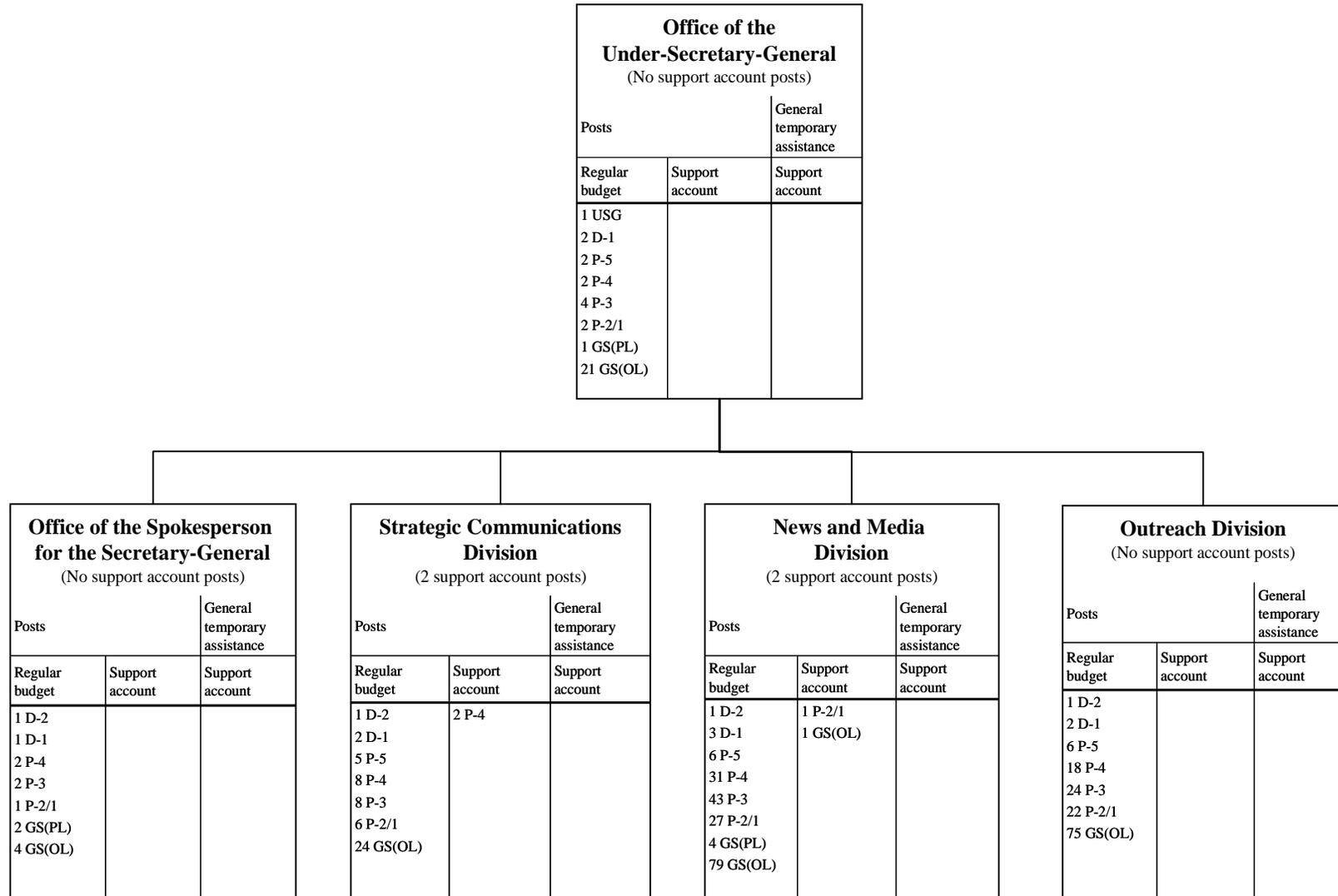
<b>Division for Ocean Affairs and the Law of the Sea</b> (No support account posts)					
Posts			General temporary assistance		
Regular budget	Support account	Support account	Regular budget	Support account	Support account
1 D-2					
2 D-1					
5 P-5					
4 P-4					
6 P-3					
3 P-2/1					
1 GS(PL)					
10 GS(OL)					

<b>International Trade Law Division (Vienna)</b> (No support account posts)					
Posts			General temporary assistance		
Regular budget	Support account	Support account	Regular budget	Support account	Support account
1 D-2					
1 D-1					
3 P-5					
5 P-4					
3 P-3					
1 P-2/1					
7 GS(OL)					

<sup>a</sup> Conversion.

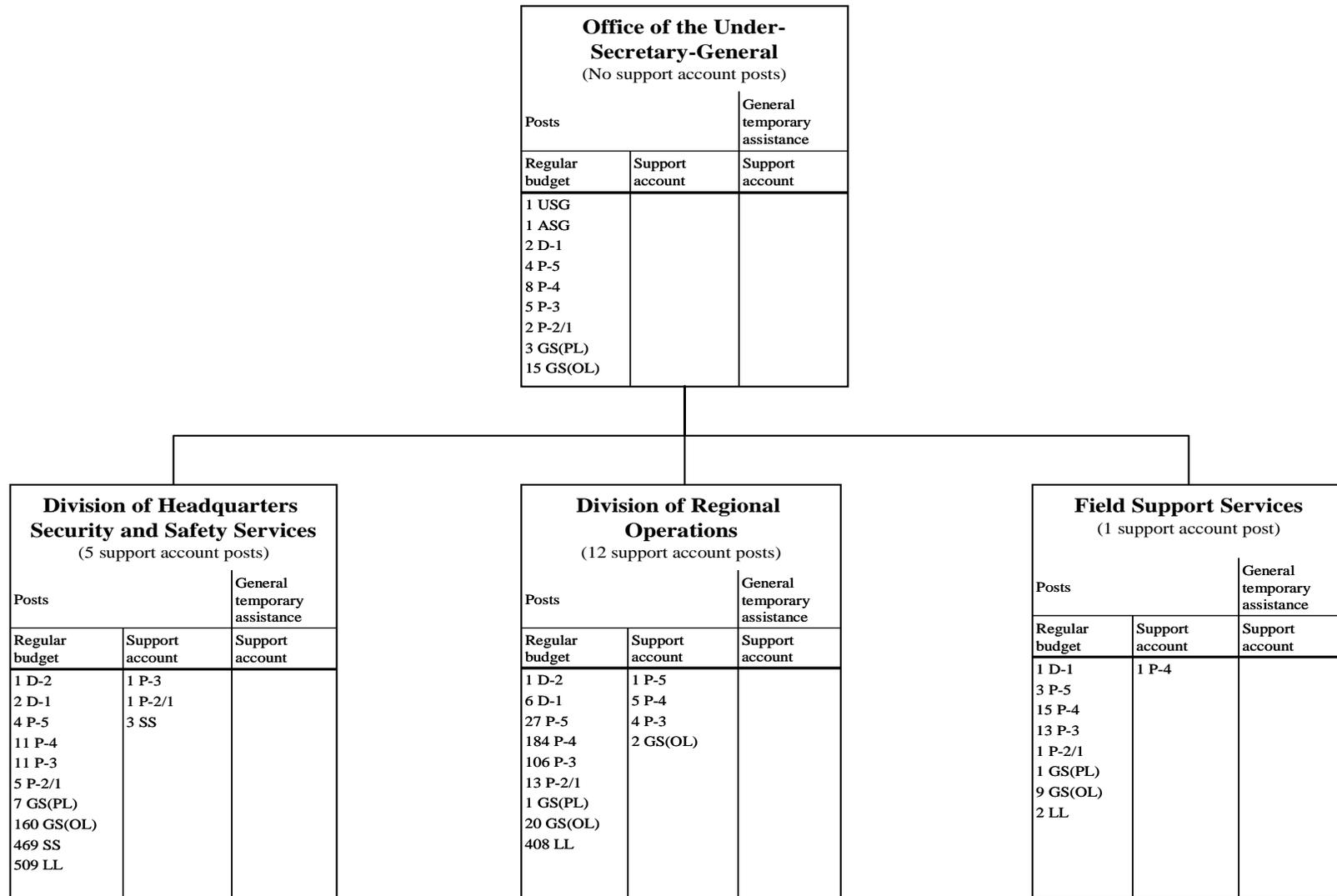
**Annex VIII**

**Proposed staffing of the Department of Public Information for the period from 1 July 2013 to 30 June 2014**



## Annex IX

**Proposed staffing of the Department of Safety and Security for the period  
from 1 July 2013 to 30 June 2014**



**Annex X**

**Proposed staffing of the secretariat of the Advisory Committee on  
Administrative and Budgetary Questions for the period from 1 July 2013  
to 30 June 2014**

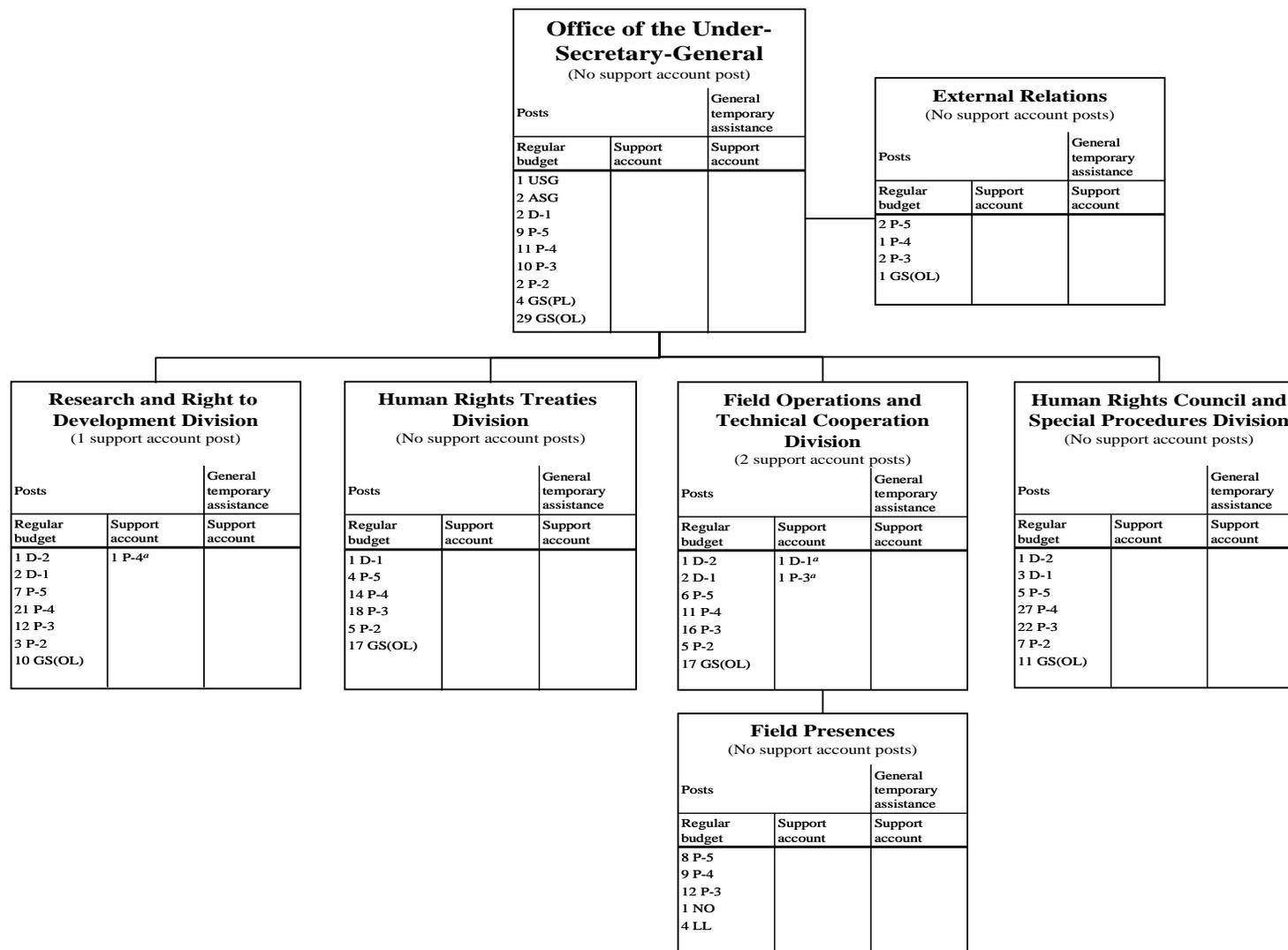
<b>Secretariat of the Advisory Committee on Administrative and Budgetary Questions</b> (1 support account post)		
Posts		General temporary assistance
Regular budget	Support account	Support account
1 D-2 1 D-1 2 P-5 3 P-4 1 GS(PL) 4 GS(OL)	1 P-4 <sup>a</sup>	

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<sup>a</sup> Conversion.

## Annex XI

## Proposed staffing of the Office of the United Nations High Commissioner for Human Rights for the period from 1 July 2013 to 30 June 2014

<sup>a</sup> Establishment.

## Annex XII

### Summary of follow-up action taken to implement requests made by the General Assembly in its resolution 66/265 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 66/265

<i>Request/recommendation</i>	<i>Action taken to implement request/recommendation</i>
<p>Encourages the Secretary-General to determine what constitutes a core or basic capacity to effectively manage and backstop peacekeeping operations and to report his findings in the context of the budget proposal for the support account for peacekeeping operations for the period from 1 July 2013 to 30 June 2014 (para. 15)</p>	<p>In annex XI to his report on the budget for the support account for peacekeeping operations (A/66/721), the Secretary-General recalled the previous attempts to define backstopping of peacekeeping operations and core functions and the recommendations and decisions of the Advisory Committee on Administrative and Budgetary Questions and the General Assembly on the matter. It should also be recalled that, subsequent to the Assembly's approval, by its resolution 64/271, of resources for conducting a study to develop a conceptual staffing model for the support account, the Secretariat commissioned such a study, which was conducted by external consultants and the results of which were presented in the report of the Secretary-General on the budget for the support account for peacekeeping operations for the period from 1 July 2011 to 30 June 2012 (A/65/761 and Corr.1 and 2, paras. 49-59), including a formula for the determination of staffing requirements for the support account. In paragraph 66 of the report, the Secretariat acknowledged the conclusions of the study and recognized that the formulae indicated that the staffing levels for most functions were driven either by the number of authorized mission personnel (or a relevant subset, for example, military or police personnel) or by the peacekeeping budget, and that the formulae could serve as a useful tool in reviewing budget proposals. However, it also acknowledged the study's observation that those formulae could not be used as a replacement for carefully considered and justified budget proposals to precisely determine the staffing levels for various functions. Going beyond the assessments made by the external consultants would require a time/motion study which would be not only labour intensive but very costly. In paragraph 67 of the report, the Secretariat considered in that regard that the current approach to</p>

*Request/recommendation**Action taken to implement request/recommendation*

Recalls section I, paragraph 6, of resolution 55/238, paragraph 11 of resolution 56/241, paragraph 19 of resolution 61/279, paragraph 22 of resolution 62/250 and paragraph 7 of resolution 65/290, and requests the Secretary-General to intensify his 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, and to report thereon in the context of his proposed budget for the support account for peacekeeping operations for the period from 1 July 2013 to 30 June 2014 (para. 17)

Stresses the need to ensure that training programmes are delivered with maximum effectiveness and efficiency and that there is a link between training programmes and mandate implementation, and requests the Secretary-General to ensure that, in the budget proposal for the support account for peacekeeping operations for the period from 1 July 2013 to 30 June 2014, resource requirements for training activities are made on the basis of clearly identified priorities (para. 27)

the determination of the proposed support account staffing requirements was in compliance with Assembly requests and with recommendations of the Advisory Committee endorsed by the Assembly. Accordingly, all proposed and continuing support account posts are fully reviewed in terms of changing operational requirements, the distribution of workload and actual responsibilities and functions carried out. In this regard, a net reduction of 29 posts and general temporary positions are reflected in the proposed budget for 2013/14

Statistics on representation of troop-contributing countries in the Department of Peacekeeping Operations and the Department of Field Support as at 28 February 2013 will be included in the supplementary information provided to the Advisory Committee

The first guiding principle of the DPKO and DFS policy on training for all United Nations peacekeeping personnel is that all training must contribute directly to enhanced mandate implementation. This principle is applied when DPKO, DFS and peacekeeping missions prepare their submissions seeking training funds from the support account and mission budgets. The link between training programmes and mandate implementation is indicated in the detailed training programme

A shared service of DPKO and DFS, the Integrated Training Service of the Policy, Evaluation and Training Division coordinates the departments' training requirements at the Headquarters level and has put in place a rigorous system for vetting training proposals and monitoring execution. The programme is based on needs identified by the two departments. Specific guidelines issued by the Information Technology Service help DPKO and DFS offices to ensure that their training proposals reflect priorities established by the senior management team

Training requirements cover two general categories of activities:

(a) Collective and individual training that DPKO and DFS offices specify in their areas of responsibility. Such training ranges from activities aimed at improving substantive and professional skills to job-specific and technical training, including training to maintain technical certifications required by personnel responsible for certain support functions

(b) Activities conducted by the Information Technology Service to: (i) develop and deliver training standards and materials on cross-cutting subjects specific to peacekeeping; (ii) develop specialized training standards directly related to current peacekeeping mandates and operational requirements; (iii) provide training support to troop- and police-contributing countries; and (iv) deliver civilian predeployment training, leadership and management training for current mission personnel and prospective senior mission appointees (for example, Senior Mission Administration and Resource Training (SMART), senior mission leaders course, intensive orientation for newly appointed heads of military component and the Senior Leaders Programme)

Training proposals are standardized and include a description of the proposed activity, type of training, venue, number and category of participants, planned dates, costs by object class, justification and intended impact. Additional justification is provided for activities involving consultants

Descriptions and rationale are reviewed against DPKO and DFS priorities, in particular with respect to mandate implementation. Activities are monitored throughout the year to ensure that delivery is in line with agreed priorities. The Information Technology Service consults with the relevant offices to concentrate funding requests on the highest-priority activities

Execution of planned training activities and expenditures are monitored and deviation from planned activities explained

Participation in peacekeeping training is tracked and monitored and presented through the results-based-budgeting framework and budget reports

*Request/recommendation**Action taken to implement request/recommendation*

Notes the dispersal of communications and public information capabilities in the Department of Peacekeeping Operations, and expresses its view that these capabilities should be concentrated in the Public Affairs Section of the Department (para. 19)

Requests the Secretary-General to identify, in the context of his end-state vision for the global field support strategy, the capacities at Headquarters discharging the responsibility and accountability for such oversight (para. 26)

Notes with concern the expenditures incurred by the United Nations in the failed development of the contracted electronic fuel management system, and requests the Secretary-General to report on the lessons learned from this outsourcing experience, with a view to avoiding similar outcomes in the future (para. 28)

Notes the concerns identified by the Board of Auditors and the Office of Internal Oversight Services in procurement activities, as noted in reports of the Office, and requests the Secretary-General to entrust the Office with performing a comprehensive evaluation of shortcomings and the unique circumstances that contribute to them, and requests the Secretary-General to report to the General Assembly at the second part of its resumed sixty-seventh session on findings and recommendations of the comprehensive evaluation, including information on actions taken, and proposed actions to be taken by the Assembly to prevent recurrence of such findings (paras. 29 and 30)

The learning management module of Inspira was piloted in 2012; it is expected that the roll-out of the learning module to peacekeeping missions will be completed in 2013/14

Action has already been taken to ensure that all public information capabilities within DPKO and DFS are concentrated in the Public Affairs Section. Public Information Officers in the Police Division of the Office of the Rule of Law and Security Institutions and DFS will now have a joint reporting line to both the parent entity and the Public Affairs Section. In addition, all communication outputs are now consolidated and incorporated into the Section's results-based-budgeting framework

In the context of the end state vision for the global field support strategy, the DFS will streamline its functions with the aim of playing a more strategic role. Activities will be centred on strategic planning, policy, guidance, relationships with Member States, change management and oversight. Each DFS division will be restructured in order to dedicate specific oversight capacity in their area of expertise from within existing resources

The main lesson learned from the contract between DFS and the vendor of the electronic fuel management solution was that statements of work and technical requirement documentation would need to be more detailed and conclusive when requests for proposals were issued in the future, as that would reduce the risk of disputes between the vendor and the United Nations on the requirements

OIOS has commenced the assignment and plans to issue a report to the Secretary-General on time so as to enable him to prepare his report for the consideration by the Assembly at the second part of its resumed sixty-seventh session

*Request/recommendation**Action taken to implement request/recommendation*

Decides to approve the D-2 general temporary assistance position in the Department of Field Support

The continuation of the six months of general temporary assistance at the D-2 level approved by the

## **B. Advisory Committee on Administrative and Budgetary Questions**

(A/66/779)

*Request/recommendation**Action taken to implement request/recommendation*

The Advisory Committee continues to believe that the consolidation in the scale of peacekeeping activity should lead to a further discernible downward trend in the proposed post and non-post resources for backstopping field operations, considering that increased capacity had been provided in preceding budget periods when peacekeeping operations were trending upwards. The Committee also believes that successive reforms and the benefits of a number of preceding initiatives, as well as improvements to business process, should enable the Organization to efficiently launch and support peacekeeping operations. In the context of its review of the support account budget for 2011/12, the Committee had expressed its expectation that the results of the reviews of the existing resources and streamlining of the backstopping of peacekeeping operations would be reflected in the overall level of resources requested for peacekeeping operations in the forthcoming periods (A/65/827, para. 55), and it is disappointed that the budget proposal for 2012/13 reflects a net reduction of only 2 posts (para. 10)

The Advisory Committee notes from the Secretary-General's overview report that the Assistant Secretary-General for Peacekeeping Operations has convened a senior-level task force in which representatives of all specialist areas participate. According to the Secretary-General, the task force will conduct periodic reviews of the integrated operational teams to ensure that the configuration of the teams matches the dynamic political and operational requirements of the field missions they backstop, as a means of enhancing functional oversight and validating the optimal configuration of the teams (A/66/679, paras. 23 and 26). The Advisory Committee views the establishment of the task force as a positive step, which, it expects, must ensure the optimal use of the integrated operational

Taking into account the repeated requests of the General Assembly that the level of the support account be reviewed on a regular basis, taking into consideration the number, size and complexity of peacekeeping operations, a further net reduction of 29 posts and general temporary assistance positions is proposed for 2013/14

Following internal reviews of the current and anticipated workload, the Assistant Secretary-General for Peacekeeping Operations convened a task force at the Assistant Secretary-General-level to jointly review the distribution of specialist officers among integrated operational teams on 8 October 2012, with a view to managing flexibly these resources for optimal use. The results of the joint review and subsequent discussions at the Under-Secretary-General-level are reported in the context of the support account proposal

*Request/recommendation**Action taken to implement request/recommendation*

teams. The Committee requests that information on the results of the ongoing reviews be reported in the context of the proposed budget for the support account for 2013/14 (para. 19)

In its previous report on the support account, the Advisory Committee expressed the view that the concept of integrated operational teams and its application should be kept under review and that its effectiveness should continue to be assessed in the light of experience gained and lessons learned (A/65/827, para. 31). The Committee reiterates that position. Considering that the number and size of the teams have increased since their establishment, the Advisory Committee is of the view that the number of integrated operational teams and the personnel capacity assigned to them to backstop peacekeeping missions should be adjusted to properly reflect changes in the overall level of peacekeeping operations. Furthermore, the Committee is not convinced of the need for integrated operational teams to support established or stable missions, and it requests that future reviews also address this issue (para. 24)

The Advisory Committee is of the view that training requirements funded from the support account should be reviewed and that the outcome of such a review should be reflected in the context of the proposed budget for 2013/14. The Committee is also of the view that training activities funded from all sources of funding require better coordination and monitoring and that the totality of training requirements for peacekeeping should be presented in a more comprehensive and transparent manner (para. 26)

Regular reviews of the complement of integrated operational teams are being conducted to ensure the adequacy of their number and composition to the level and complexity of peacekeeping operations, taking into account the volatility of most peacekeeping environments. Based on departmental strategic assumptions for the period 2013/14, adjustments have been proposed in the context of the proposed budget for the support account

DPKO, DFS and the Department of Management have made efforts to encourage the coordination of training requirements funded from the support account. DPKO and DFS work closely with the Office of Human Resources Management with respect to the delivery to peacekeeping personnel of training designed by the Office

It is important to bear in mind that, with regard to peacekeeping training, the "totality of training requirements" goes beyond training activities for United Nations civilian staff members, to include DPKO and DFS support for peacekeeping training provided by Member States to their uniformed personnel

In an effort to promote coherence and cost-efficiency in training funded from individual peacekeeping operations, budget guidance provided to missions by Headquarters identifies peacekeeping training priorities. In addition, in line with Advisory Committee recommendations, the Information Technology Service has developed a standard template for comprehensive mission training plans and is working with integrated mission training centres to

The Advisory Committee notes the high average costs for computers; it requests that a review of the actual unit cost for the computers be undertaken and the results of the review, including possible revised rates, be provided in the context of the next budget submission. The Committee is also of the view that similar revised rates, if any, should be applied to budget estimates for all other sources of funding (para. 44)

The Advisory Committee notes that both the Department of Management and the Department of Field Support travel to peacekeeping missions to provide on-site assistance on budgetary and financial issues, including the preparation of mission budget submissions and assessment of resource requirements. The Committee is of the view that coordination should be ensured between the Departments of Management and Field Support in planning field visits. Furthermore, the Committee encourages the Secretary-General to explore consolidating the support provided by Headquarters departments to field operations in relation to budgetary and financial matters, and to report the results in the context of the ongoing review of the peacekeeping budget development process (paras. 66 and 67)

establish a regular reporting system consistent with the technical reporting line between those centres and the Service. The Information Technology Service and the Information and Communications Technology Division of DFS are continuing to develop and gradually roll out the electronic training management system

The learning management module of Inspira was piloted in 2012, and it is expected that the roll-out of the module to peacekeeping missions will be completed in 2013/14

The Office of Information and Communications Technology performs a complete review of service and equipment costs every two years and conducted its most recent review in September 2012. Updated rates as reflected on the Office rate card have been implemented in the budget formulation of the 2013/14 support account proposal

During the 2012/13 period, the Department of Field Support and the Department of Management undertook a series of measures to improve coordination with respect to assistance on budgetary and financial issues to field missions, including on-site assistance for the formulation of mission resource requirements. The Field Budget and Finance Division undertakes visits to field operations to provide oversight of major resource issues, implementation of financial processes and systems, support for the deployment of contingent-owned equipment, input to major reviews or development of major cross-cutting policies and direct assistance to missions. Each year, representatives of various divisions in the Office of Programme Planning, Budget and Accounts of the Department of Management also participate in such visits to: provide guidance in the year-end closing of accounts and policy issues pertaining to finance, examine accounts and financial processes, and review contributions; follow up on audit observations; conduct IPSAS implementation activities; advise on treasury policies and procedures, cash management and banking-related issues; provide training and technical support in connection with the funds monitoring tool, a financial system used by all peacekeeping operations; and provide instruction with respect to reporting and financing requirements and budget formulation guidance. For example, budget officers from the Peacekeeping Financing Division participated with

*Request/recommendation**Action taken to implement request/recommendation*

DFS in mission visits to four peacekeeping missions, MONUSCO, UNAMID, UNMIL and UNMISS, to provide such support, in addition to their involvement in budget preparation activities

The inclusion of the Field Budget and Finance Division within DFS when it was established in 2007 reflected the importance and significance of budgetary and finance matters in providing direct support to field operations. With respect to the Advisory Committee's recommendation encouraging the Secretary-General to explore consolidating the support provided by Headquarters departments to field operations in relation to budgetary and financial matters, the Controller initiated a process to review the budgetary functions carried out at Headquarters in support of peacekeeping operations. A senior-level working group under the leadership of the Under-Secretary-General for Field Support and the Under-Secretary-General for Management held a series of meetings to review the roles and responsibilities of the Field Budget and Finance Division and the Peacekeeping Financing Division of the Office of Programme Planning, Budget and Accounts. The review examines the evolution of those responsibilities and the expectations of Member States, with a view to ensuring that if any duplication is identified, corrective action is taken and that the dual efforts of the two Departments best target challenges and shortfalls within current and emerging financial processes associated with field operations

As a result, the Secretary-General recommends that the Peacekeeping Financing Division assume an expanded role in the preparation of budget reports from budget proposals submitted directly by field missions. The outcome of the review has led to an internal exercise to (a) reduce the overall level of resources (4 posts are proposed for abolishment) and (b) redeploy and reassign responsibilities and resources, within the existing resources of the Secretariat, to implement improvements to the budgetary process at Headquarters with respect to peacekeeping operations. The exercise will strengthen the capacity of the Peacekeeping Financing Division to reflect this expanded role in the streamlined budgetary process. At the same time, DFS would fulfil its responsibilities for the delivery of strategic and operational support to field missions through the delegated authorities for the management of human, financial and material resources across all field missions. Furthermore,

During its consideration of the Secretary-General's proposals for the support account, the Advisory Committee was informed that the Office became fully operational in August 2011. Upon enquiry, the Advisory Committee was also informed that to date, a Secretary-General's bulletin regarding the status of the Office had not been published, and that the Secretariat was currently addressing the issue. The Committee expects that a conclusion on the status of the United Nations Office to the African Union will be reached as soon as possible (para. 69)

While the Advisory Committee is disappointed that the global roll-out of Inspira has been delayed due to difficulties that could, in its view, have been avoided with better planning and preparatory work (see A/65/827, para. 183), it also recognizes the efforts undertaken by the Office of Human Resources Management to address those difficulties and move forward with implementation in the field. The Committee trusts that the full roll-out of the system will result in the more effective management of human resources in field missions and will, in particular,

DPKO, pursuant to General Assembly resolution 61/279 and subsequent resolutions, would fulfil its mandate to lead and guide field missions under its direction in the delivery of their mandates and ensure that heads of mission remain responsible for the preparation of their mission's budget in accordance with resolution 59/296 and all subsequent cross-cutting and mission-specific budget resolutions

As a first step towards improving support to field missions, in July 2012, the Under-Secretary-General for Peacekeeping Operations and Field Support and the Controller advised all heads of mission of their shared intention to work together to improve the budget process. For the first time, the Controller participated in the communication to all heads of peacekeeping operations of strategic guidance on the alignment of resource requirements against mission mandates and the global management of human, financial and material resources for the 2013/14 period. The intention is to improve this process further in the next budget preparation process by including in this guidance the technical instructions of the Controller on timelines and the implementation of Assembly resolutions, including recommendations of the Advisory Committee on Administrative and Budgetary Questions

Discussions and consultations between the United Nations Office to the African Union, the Economic Commission for Africa (ECA) and Headquarters are ongoing with regard to a Secretary-General's bulletin regarding the status of the Office taking into account the Office's operational needs and the impact of the relocation to ECA, including using ECA common services

*Inspira, 2011/12: lessons learned and actions taken*

In 2011, the Office of Human Resources Management reviewed the Inspira programme and adjusted the focus on delivery for the field. Lessons learned included more emphasis on business requirements upfront, business ownership and overall programme planning

The Office strengthened the planning and coordination function of the Inspira programme by assigning a full-

*Request/recommendation*

contribute to addressing various recruitment-related issues that have led to persistently high vacancy rates. Accordingly, the Committee urges the Secretary-General to take all necessary steps to ensure that the remaining components of the system are implemented without further delay. A more detailed status update, including information on the specific lessons learned thus far, should be provided to the General Assembly at its sixty-seventh session in the context of its consideration of human resources management issues (para. 126)

*Action taken to implement request/recommendation*

time Inspira coordinator in New York in 2011 for implementation, and developed the structure for a project, with human resources business owners driving the project

The steering committee of Inspira, chaired by the Assistant Secretary-General for Human Resources Management, meets every month to review the plan and updates. The Office of Information and Communications Technology and DFS are also represented on the steering committee. Furthermore, the business analysis and project planning function is aligned with each of the Inspira modules. A train-the-trainers programme is in place, along with a field support strategy for field roll-out in 2013

The recruitment process was prioritized for enhancement in 2012 in such areas as roster management, United Nations Educational, Scientific and Cultural Organization University database integration and applicant screening processes

The Inspira Support Centre in Bangkok is now fully operational and supporting all development and support activities for Inspira. It was recognized at an early stage that support for operations is critical for ongoing maintenance to ensure up-to-date functionality and technology

*Inspira, 2013/14: project completion and Umoja integration*

The project phase of Inspira is expected to be completed in mid-2014 with Umoja integration and its operational phase will begin later in 2014

Close to 2,000 selections were made in 2012 through the Inspira system. Inspira is being rolled out to the field missions in 2013, starting with MINUSTAH at the end of January 2013, and the process will be completed for all field missions in 2013

During 2013/14, the integration of Umoja with Inspira will also be undertaken. Inspira is currently linked with the IMIS system and now needs to be linked with Umoja

A phased approach will be taken to field implementation. Inspira underwent a stabilization process in 2012 before being rolled out in 2013 to the field missions

The Advisory Committee welcomes the progress achieved by the Regional Procurement Office in terms of the provision of support to field missions, savings in procurement and increased cost-effectiveness of procurement operations, as well as the assistance provided to vendors and potential vendors. It requests the Secretary-General to report to the General Assembly on the outcome of the comprehensive review in the context of the next budget submission (para. 137)

The Advisory Committee requested further clarification of the current status of the project as well as on the expenditures incurred to date in the development of the system. It was informed that the contract with the vendor had been established on 30 June 2009 for the provision, by 30 June 2010, of a customized, functioning and fully tested system for the fuel management needs of field missions. The Department of Field Support had developed the functional and technical requirements for the project, and recommended the selection of the vendor. The contract totalled \$6,562,500, including: \$3,750,000 for software delivery and \$2,812,500 for annual maintenance services over a five-year period. In March 2010, the United Nations had issued a contract amendment authorizing partial payment to the vendor in the amount of \$1,162,500 for the 33 per cent of developed functionality, while maintaining the terms of the contract. However, the vendor solution failed the software acceptance tests conducted at UNIFIL in June 2010 (more than 70 per cent of functional tests and

The deployment of the learning management module of Inspira started in New York in 2012 and will be expanded in 2013, including for Umoja training

The performance management module has been fully rolled out Secretariat-wide. The consultant management module will be launched as a pilot project in Nairobi in 2013

The Secretariat will start realizing the full benefits of the Inspira system throughout the Secretariat and in field missions in 2014, including improved vacancy rates and the efficient and more productive management of recruitment, performance and learning

As outlined in the report of the Secretary-General (A/64/284/Add.1), the Regional Procurement Office was established as a pilot project. The main objective of the office is to achieve cost savings through economies of scale by bundling the requirements of field missions in East and Central Africa into a joint acquisition plan with the aim of establishing regional system contracts, thereby improving the efficiency of procurement through synergies. The cost saving and benefits of the Regional Procurement Office are addressed in the report of the Secretary-General on United Nations procurement activities (A/67/683)

Legal action was finalized through a financial settlement and the contract was terminated with the vendor. In total, the United Nations paid \$4,136,423, while the amount expected by the vendor was \$7,514,095, including change requests, travels and expenses

As of June 2012, \$5.169 million had been spent on the project, including:

\$4.136 million on the contract between the Department of Field Support and the vendor, terminated because of a dispute concerning the contractor's performance

\$179,900 spent on server equipment

\$853,100 spent on professional services to work on a new solution under the direction of the Office of Information and Communications Technology

MINUSTAH is now using the new solution

Deployment is continuing in 2012/13 and will continue in future cycles

*Request/recommendation**Action taken to implement request/recommendation*

more than 90 per cent of technical tests). The United Nations terminated the contract in March 2011, owing to unsatisfactory vendor performance. The Advisory Committee trusts that every effort is being made to recover the payment already made for the undelivered software product. It expects that a full account of the costs of the project will be provided in the context of the performance report (para. 145)

(A/66/779/Add.1)

*Recommendation to the Secretary-General**Action taken to implement recommendations*

The Advisory Committee notes that owing to the timing of the issuance of the report of the Office of Internal Oversight Services as mandated by the General Assembly and the timeline of the pilot project, its findings could not be included in the context of the proposed 2012/13 support account budget. It also notes the indication by the Office that the full results of the pilot project will be reflected in the proposed support account budget for 2013/14 (see A/66/755, para. 68). The Committee points out that the pilot project remains effective until 30 June 2012, and that therefore the report submitted by the Office did not benefit either from a comprehensive assessment of the entire period of the pilot project or from full consultations with all relevant stakeholders. Consequently, the Committee considers the report to be of an interim nature, and recommends that the General Assembly request the Office to submit a final report on the pilot project in the context of the proposed support account budget for the 2013/14 period, which should include a complete assessment of the findings and conclusions resulting from the experience gained during the full period of the pilot project, details on the full consultations with all relevant stakeholders and a breakdown of the utilization of resources during the pilot period (para. 25)

The final report on the implementation of the pilot project (A/67/751) has been submitted to the General Assembly