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**Human resources management**

## Human resources management

### Report of the Advisory Committee on Administrative and Budgetary Questions

#### I. Introduction

1. The Advisory Committee on Administrative and Budgetary Questions has considered the following reports of the Secretary-General:

(a) Overview of human resources management reform: towards a global, dynamic and adaptable workforce for the United Nations ([A/69/190](#));

(b) Overview of human resources management reform: mobility ([A/69/190/Add.1](#));

(c) Overview of human resources management reform: performance management ([A/69/190/Add.2](#) and Corr.1);

(d) Overview of human resources management reform: the young professionals programme ([A/69/190/Add.3](#));

(e) Overview of human resources management reform: assessment of the system of desirable ranges ([A/69/190/Add.4](#));

(f) Composition of the Secretariat: staff demographics ([A/69/292](#));

(g) Composition of the Secretariat: gratis personnel, retired staff and consultants and individual contractors ([A/69/292/Add.1](#));

(h) Practice of the Secretary-General in disciplinary matters and cases of possible criminal behaviour, 1 July 2013 to 30 June 2014 ([A/69/283](#));

(i) Amendments to the Staff Rules ([A/69/117](#));

(j) Activities of the Ethics Office ([A/69/332](#)).

2. During its consideration of the reports, the Advisory Committee met representatives of the Secretary-General, who provided additional information and clarification, concluding with written responses received on 6 November 2014.



3. Sections II to VI of the present report deal with the report of the Secretary-General on human resources management reform and its four addenda, listed in paragraphs 1 (a)-(e) above. Sections VII to X deal with the other reports of the Secretary-General related to human resources management, listed in paragraphs 1 (f)-(j) above.

## **II. Overview of human resources management reform**

4. The report of the Secretary-General contained in document [A/69/190](#) is submitted pursuant to General Assembly resolutions 67/255, 68/252 and 68/265 and provides an update on the implementation of human resources management reforms in the Organization, which have been under way since the sixty-third session of the General Assembly. A summary of the progress made in the implementation of these reforms and what the Secretary-General views as the next steps in the reform process are set out in table 1 of the overview report.

### **Implementation of human resources reform**

5. In its resolution 67/255, the General Assembly requested the Secretary-General to submit to the Assembly a progress report on the implementation of the ongoing human resources management reforms, including those approved in its resolutions 63/250, 65/247 and 67/255. Paragraphs 5 to 26 of the overview report provide information on the reform of staff contractual arrangements, including the continuing appointment review and the harmonization of conditions of service in the field.

6. In his report, the Secretary-General highlights the fact that the initiatives have contributed to the reduction of the vacancy rate for international staff serving in peacekeeping operations and special political missions from 32.5 per cent as of 30 June 2008 to 17.3 per cent as of 30 June 2013 ([A/69/190](#), para. 24).

7. With regard to the contractual reform, following the adoption of General Assembly resolution 63/250, new contractual arrangements comprising three types of appointments (temporary, fixed-term and continuing) were approved, under one set of staff rules, effective 1 July 2009. The Secretary-General states in his report that the introduction of a single set of staff rules is particularly important in the context of the development and implementation of Umoja, as it has eliminated the need to develop separate processes for the wide range of different rules, appointment types, allowances and benefits that were previously in place (*ibid.*, para. 25). In addition, major barriers to the movement of staff between Headquarters and the field have been eliminated, which the Secretary-General deems necessary for the mobility framework, as approved by the General Assembly in resolution 68/265, to take effect (see sect. III below).

8. The Secretary-General indicates that the introduction of temporary appointments under the Staff Rules introduced in July 2009 has provided flexibility for the Organization to respond to evolving needs without long-term obligations. However, the Secretary-General also indicates that, based on experience to date, the 364-day limitation is proving to be too short to meet certain temporary needs, for example where an individual is replacing another staff member on extended special leave without pay ([A/69/190](#), para. 8). Upon enquiry, the Advisory Committee was informed that offices such as the Office of the United Nations High Commissioner

for Human Rights (OHCHR) and the United Nations Office at Vienna had reported difficulties with the limitations of temporary appointments. In the case of OHCHR, temporary appointments had been granted to staff in positions supporting commissions of inquiry created initially with mandates of less than one year that had subsequently been extended, with the positions funded for a few months at a time. According to the overview report, however, ad hoc solutions have been found in such instances to ensure programme continuity (ibid.). The Advisory Committee recalls that the General Assembly has decided that temporary appointments are to be used to appoint staff for seasonal or peak workloads and for specific short-term requirements for less than one year but could be renewed for up to one additional year when warranted by surge requirements and operational needs related to field operations and special projects with finite mandates (resolution 63/250, para. 7). **The Advisory Committee notes that the Secretary-General is not putting forward any particular proposal to the General Assembly at this time.**

9. Concerning fixed-term appointments, the Secretary-General states that a review of staff holding 300-series appointments of limited duration was conducted following the introduction of the new Staff Rules in July 2009, resulting in 3,620 international staff in the field being reappointed under the new fixed-term arrangements. As such, international staff members in peacekeeping operations and special political missions had been integrated into the Secretariat's staff selection system (A/69/190, para. 9).

10. In terms of the staff previously holding 200-series appointments, the Advisory Committee was informed, upon enquiry, that of the 1,406 staff members on 200-series appointments on 30 June 2009, 1,377 were transitioned to a fixed-term appointment on 1 July 2009, but with service limited to a specific project. One year later, 1,073 of those staff members remained limited to service with a specific project.

11. With regard to continuing appointments, the Secretary-General provides details with regard to the 2012 round of review for conversion to continuing appointments, which was launched on 8 July 2013 and was expected to be completed by the end of September 2014 (ibid., paras. 12 and 18). The Secretariat confirmed, upon request, that the review had indeed been completed by that time.

12. The Advisory Committee recalls that the "post envelope" is calculated according to the application of criteria defined by the General Assembly in its resolution 65/247, which states that the continuing needs of the Organization are to be determined on the basis of established and temporary posts of a duration of more than five years as well as general temporary assistance in special political missions (ibid., para. 17). The Assembly decided to set the initial level of the post envelopes at 75 per cent of such posts (resolution 65/247, paras. 50 and 51). In his overview report, the Secretary-General states that the initial post envelope for the 2012 review was set at 6,869 for the Professional and higher and Field Service categories and 4,451 for the General Service and related categories. After deducting the number of existing staff with continuing and permanent appointments, the envelope was set at 3,342 for the Professional and higher and Field Services categories and 558 for the General Service and related categories (A/69/190, para. 13).

13. The Secretary-General, in his overview report, cites a difficulty in applying the current eligibility criteria for conversion to continuing appointments, namely, the fact that some staff, many of whom had been serving in the field, were found to be

ineligible because they did not have four performance appraisal reports as required in paragraph 53 (d) of General Assembly resolution 65/247. This was because prior to the contractual reforms, staff with appointments shorter than one year often had special performance reports of less than one year. In addition, frequent movement of staff or supervisors during the reporting cycle, particularly in the field, resulted in performance reports covering a shorter span of time. Consequently, the Secretary-General proposes a transitional measure which would allow staff who had achieved satisfactory ratings in all performance reports, including those of a duration of less than one year, covering the four preceding years, to be considered eligible, on the understanding that no points would be allocated for any performance appraisal covering a period of less than one year (A/69/190, para. 15).

14. In this connection, the Advisory Committee notes that, in his report on the composition of the Secretariat, the Secretary-General states that the ratio of staff holding permanent/continuing appointments to total staff has increased from 11 per cent in 2010 to 17 per cent in 2014 (A/69/292, table 2) owing to the one-time review for conversion to permanent appointments undertaken as a result of the new contractual regime coming into effect. With the additional conversions arising from the yearly review under the post envelope quota, the Committee notes that this trend is likely to continue in the years to come. **The Advisory Committee is of the view that the Secretary-General should adopt a prudent approach with regard to proposing alterations of any criteria for eligibility to conversion to continuing appointment in view of the need to maintain consistency and fairness from one year to the next. The Committee also believes that the ratio of permanent/continuing appointments to total staff should be closely monitored so as to ensure the appropriate balance in the overall global workforce of the Secretariat.**

15. The Advisory Committee also recalls the explanation provided during its previous review of human resource reform measures, to the effect that, while the increase in the number of permanent appointments did not have financial implications in terms of benefits and entitlements, the amounts of termination indemnity and compensation in lieu of notice payable to staff members holding permanent or continuing appointments were higher than those payable to staff members holding fixed-term appointments (A/67/545, para. 7). In the most recent overview report, the Secretary-General indicates that some departments and offices have expressed concern at the potential liability for payment of termination indemnity in respect of staff members with continuing contracts who are encumbering positions funded from extrabudgetary sources. It is indicated that in cases where related funding for a given position ceases, the Secretariat would attempt to laterally reassign the staff member in order to reduce potential payments of termination indemnity (A/69/190, para. 17). **In this connection, the Advisory Committee reiterates its recommendation that the General Assembly request the Secretary-General to monitor expenditure levels for termination indemnity and compensation in lieu of notice and to report thereon, including on any departure from past patterns.**

16. In paragraphs 19 to 23 of his overview report, the Secretary-General also reports on the impact of the decision of the General Assembly, through its resolution 65/248 on the United Nations common system, to harmonize conditions of service for staff who work in the field. Thanks to the harmonization of the designation of mission duty stations as family or non-family and associated benefits, turnover rates

for international staff in non-family duty stations decreased from 16 per cent for the year ending 30 June 2011 to 9.2 per cent for the following year (ibid., para. 22). The rest and recuperation cycles for field duty stations have also been standardized for all staff serving in the United Nations common system, thereby allowing greater transparency and equity (ibid., para. 23). **The Advisory Committee is not convinced that the decreased turnover rates can be solely attributed to the harmonized conditions of service for field staff. The Committee believes that the matter should be subjected to more detailed analysis and the results reported in the next overview report on human resources management.**

### **Workforce planning**

17. The Advisory Committee has, on a number of occasions, pointed to the need for systematic workforce planning (see [A/63/526](#), para. 9, [A/65/537](#), para. 9 and [A/67/545](#), paras. 12 and 13). In paragraph 16 of its resolution 68/252, the General Assembly urged the Secretary-General to develop a workforce planning system as a matter of priority and to present it to the Assembly at the sixty-ninth session.

18. Table 2 of the overview report summarizes the workforce planning activities being undertaken. In addition, the report states that a new workforce planning project has been launched and a pilot project conducted in the Medical Services Division of the Office of Human Resources Management ([A/69/190](#), para. 30). However, in terms of broader efforts to improve workforce planning, the report also indicates that additional work is required in order to align efforts with the current budgetary planning framework as well as the new mobility and career development framework. Additional improvements to Inspira are also required, including the development of a skills inventory. It is indicated, moreover, that a significant investment of resources and time will be required (ibid., para. 33).

19. **The Advisory Committee regrets that more detail was not provided in response to the request of the General Assembly concerning the development of a workforce planning system. The Committee believes that such a system is essential in order to optimize decisions concerning staff placement and the efficient and effective delivery of mandates. The Committee further believes that valuable time has been lost and is not convinced by the reasons given for the lack of significant progress.**

20. **The Advisory Committee therefore trusts that the next report on human resources management will contain a more fully developed strategy concerning the development of a robust workforce planning system** (see also further observations and recommendations on the introduction of the mobility framework in section III below, as well as paragraph 151 on the engagement of retirees in decision-making functions).

### **Staff selection and recruitment**

21. The Secretary-General provides information on the Secretariat's staff selection and recruitment system in paragraphs 34 to 46 of his overview report. The Advisory Committee recalls that the policy governing the staff selection system was promulgated under administrative instruction [ST/AI/2010/3](#), based on the provisions of General Assembly resolution 63/250. Since then, a new United Nations careers portal (<https://careers.un.org>) and e-staffing tool (Inspira) have been put in place. The report indicates that Inspira has now been deployed to all field missions,

thereby enabling consolidation of all recruitment-related data and creation of a global roster (A/69/190, para. 37).

22. The Advisory Committee recalls the fundamental principle relating to the staffing of the United Nations Secretariat which is contained in Article 101 of the Charter of the United Nations, which states that the paramount consideration in the employment of staff shall be the necessity of securing the highest standards of efficiency, competence and integrity.

23. The graph depicted in paragraph 37 of the report of the Secretary-General shows that, since the launch of Inspira, the number of job applications has risen steadily, with an average of 228 applications for each job opening in 2013, up from 162 in 2011. Table 3 contains a breakdown of the staffing timeline each year since the introduction of the new selection system, compared against the targets mandated by the General Assembly as well as those established within the senior managers' compacts with the Secretary-General. The report indicates that the current staff selection process takes 213 days on average, from the initiation of a job opening to eventual selection. The targeted selection time established in the managers' compacts is 143 days. **The Advisory Committee notes that this target does not meet the benchmark of 120 days for filling a post, as stipulated in paragraph 18 of General Assembly resolution 65/247.**

24. Concerning selection timelines for specific departments and offices, the Advisory Committee was provided, upon request, with a departmental breakdown of the average number of days between the hiring manager's submittal of a job opening for approval and the selection made by the head of department in Inspira (see annex I to the present report). The Committee notes that in three cases (OHCHR, the Economic Commission for Africa and the United Nations Conference on Trade and Development), the average time taken per recruitment exceeded 300 days in both 2012 and 2013.

25. **The Advisory Committee notes with concern that the average selection time now exceeds the current target by approximately 50 per cent. The Committee reiterates its regret that the efficiencies anticipated as a result of the introduction of Inspira and refinements to the central review bodies process have not led to a decrease in the time taken to fill vacancies** (see A/65/337, para. 12 and A/67/545, para. 17).

26. The Advisory Committee recalls that, in paragraph 34 of its resolution 67/255, the General Assembly noted with serious concern that the 120-day target for filling a post had still not been reached, requested the Secretary-General to investigate the reasons for delays, and asked for him to report on the outcome of that work, including proposals for appropriate remedial measures. Details of a business process review undertaken in 2013 to respond to this request are provided in paragraphs 38 and 39 of the overview report.

27. The Secretary-General states that the main delay in the selection process occurs at the stage at which hiring managers assess and make recommendations of candidates, which takes an average of 134 days. **The Advisory Committee notes that this is more than three times the target time of 40 days for this stage in the process (A/69/190, table 3, step 7).** According to the Secretary-General, delays at this stage are attributable to the increasing number of applicants and the fact that hiring managers must manually review each applicant to determine his or her

suitability for a given position (*ibid.*, para. 44). To address this concern, workshops for hiring managers are being conducted to assist them in building valid, reliable assessment tests. In addition, in order to address the issue of excessive manual processing, a pilot online test was conducted for five job openings during the reporting period, enabling the creation of a shortlist of suitable candidates for further assessment by the hiring managers.

28. As regards this pilot project, the Advisory Committee was provided with details, upon request, concerning the different pilot phases, the testing methodologies and the risks entailed in online assessments and related risk mitigation measures. The Committee was informed that the automated standardized assessments had significantly reduced the quantity of applications requiring further manual assessment by the hiring manager for the job openings within the pilot sample. This resulted in a reduction in the time spent on manual screening by approximately 85 per cent. In addition, reductions in test development and administration time were noted.

**29. The Advisory Committee continues to note with concern that vacant posts are not being filled in a timely manner and believes that further attention must be given to improving the timeliness of all steps in the staff selection process. In this regard, the Committee notes the initial positive results of the pilot project in which automated tests were used as an assessment tool and looks forward to receiving further analysis of this approach to determine whether broader application of the pilot project would be merited.**

**30. The Advisory Committee also believes that an analysis of the foreseeable impact of the mobility framework on the time required to fill vacant positions is now required** (see section III below for the Committee's observations and recommendations concerning the introduction of the new framework).

### **Gender parity**

31. In paragraphs 55 to 60 of his overview report, the Secretary-General provides information on the steps taken and envisaged to address the continuing gaps in the representation of women in the Secretariat. It is indicated that the ratio of female staff to total staff remained stable from June 2009 to June 2013 at around 33 per cent, with lower percentages at the more senior levels ([A/69/190](#), para. 56). The most recent report of the Secretary-General on the composition of the Secretariat shows that the ratio of female staff to total staff has increased slightly in the past year, with female staff accounting for 34.1 per cent of the total staff population as at 30 June 2014 ([A/69/292](#), table 2). **The Advisory Committee notes with concern that gender parity targets were established in the Organization as far back as 1995 and have thus far never been achieved (see General Assembly resolution 49/167, para. 2).**

32. Figures V and VI of the latest composition report ([A/69/292](#)) clearly illustrate that the gender disparity remains significantly more pronounced in field operations, where women account for only 21 per cent of the total staff population, than in non-field operations, where they account for 47.8 per cent. In addition, table 10 shows that women are still significantly underrepresented at senior levels. The Advisory Committee also notes, from table 7 of that report, that some improvement has occurred over the previous reporting period at the D-1 and Under-Secretary-General levels while, at the D-2 and Assistant Secretary-General levels, the number



of female incumbents has either declined or remained the same. In the overview report, it is indicated that one of the main reasons for this is that there are significantly fewer female applicants at senior levels; women make up only 25 per cent of the applicants for positions at the P-5, D-1 and D-2 levels (A/69/190, para. 56). **In order to make a full assessment of the numbers of female applicants for senior positions, the Advisory Committee would need information on the selection processes for all vacant positions at the level of P-5 and above, including those for Assistant Secretary-General and Under-Secretary-General positions.**

33. In his overview report the Secretary-General describes efforts undertaken during the reporting period to improve gender representation, including the completion of a survey designed to identify senior leader attributes, the launch of a video tailored to appeal to potential women candidates, the preparation of individual departmental outreach strategies and completion of a study of the challenges of attracting and retaining women in field missions (ibid., paras. 57-59).

34. In this connection, the Advisory Committee sought additional information concerning the lack of women occupying senior posts and was informed, upon enquiry, that the Office of Human Resources Management had recently concluded a comparative study of gender parity at senior levels of the United Nations as compared with governmental and private sectors. The Committee was informed that the findings indicate that the proportion of women holding managerial positions in the United Nations Secretariat is relatively high when compared with figures from organizations in both the private and public sectors, including major private sector companies, national parliaments and intergovernmental and non-governmental organizations. However, the Secretariat faces the same challenges as employers in both the private and public sectors worldwide in attracting women to certain areas of expertise, in particular at the senior levels. **The Advisory Committee stresses that any benchmarking efforts must ensure, to the extent possible, that the most suitable comparator organizations are used. In the case of the United Nations Secretariat, the Committee believes that the most appropriate external comparators would be other intergovernmental organizations.**

35. **The Advisory Committee considers that the progress made in improving the representation of women in the Secretariat, particularly at senior levels, is unsatisfactory and has been much too slow. The Committee believes that this could lead to reputational damage to the United Nations, as an organization which should lead by example. The Committee continues to believe that effective remedies will be found only if the underlying problems, which may vary by department/office, location and areas of expertise, are identified and better understood. The Committee recommends that the General Assembly request the Secretary-General to undertake intensified and targeted outreach efforts in order to increase the number of suitable qualified women candidates and report on the results of these efforts in his next overview report on human resources management.**

#### **Equitable geographic representation in the Secretariat**

36. Table 2 of the latest report of the Secretary-General on the composition of the Secretariat (A/69/292) contains an overview of staff demographic trends in the Secretariat from 2010 to 2014. Concerning the representation of Member States in the



Secretariat and the goal of attaining equitable geographic distribution, the Advisory Committee notes that, despite an overall drop in the number of unrepresented and underrepresented countries since 2011, the number of underrepresented countries has increased from 32 to 38 over the last year. Upon enquiry, the Committee was informed that 4 of those 6 Member States were developing countries. As at 30 June 2014, 40 of the 138 developing countries were unrepresented or underrepresented in the Secretariat. The Committee was informed that each department and office is monitored to ascertain whether it is complying with various human resources policies, including geographic distribution of staff employed therein.

37. The Advisory Committee recalls in this regard that the General Assembly has reiterated its request that the Secretary-General present proposals to effectively increase the representation of developing countries in the Secretariat (resolution 67/255, para. 47). The overview report sets out details of the Secretariat's outreach efforts, including the application of the online careers portal, outreach visits and the utilization of social media ([A/69/190](#), paras. 62-64).

38. **The Advisory Committee continues to believe that the efforts made to reach out to potential employees from unrepresented and underrepresented countries, including developing countries, have been ineffective. The Committee reiterates its recommendation that the General Assembly request the Secretary-General to develop a comprehensive strategy to improve geographical representation, based on an in-depth analysis of the real causes of the current imbalances. The Secretary-General should submit specific proposals for the consideration of the Assembly in his next report on human resources management. Information on the effectiveness of the various types of outreach activities undertaken, including statistical indicators, should also be provided in the next overview report.** Further information and comments on the young professionals programme and on the system of desirable ranges, both of which have a direct impact on geographic representation, are contained in sections V and VI below. In addition, trends on job opportunities for external candidates are contained in paragraphs 75 to 77 below.

39. Concerning the outreach efforts to recruit staff with language skills in French or Arabic, which are in particular demand for various field operations, the Advisory Committee was informed, upon enquiry, that outreach missions had been conducted to Belgium, including visits to select universities, job fairs and outreach events for students and mid-career professionals. Visits were also made to certain universities in Canada for the same purpose, but the Committee notes, from the information provided to it, that the targeted universities in Canada were not primarily francophone and may not, therefore, have yielded the best results. Approaches have also been made to organizations in Saudi Arabia, Oman and the United Arab Emirates, in cooperation with their respective Governments. **The Advisory Committee supports the intensified efforts to identify qualified French- and Arabic-speaking candidates for the relevant operations and trusts that detailed information on these efforts will be included in the next overview report on human resources management.** In this connection, the Advisory Committee, in its recent report on the pattern of conferences, has also made related observations and recommendations on the outreach efforts to identify qualified language staff (see [A/69/527](#), paras. 24-27).

### **Learning and career development**

40. In his overview report, the Secretary-General provides details on the elements of a new strategic approach to learning and career support. The strategy, approved by the Management Committee in June 2014, has three key elements: (a) a new oversight role for the Management Committee, with an ability to set cross-cutting learning priorities for the Secretariat; (b) a focus on increasing access to learning resources by more staff, including through better use of available technologies; and (c) a goal of improving career support programmes, tools and resources ([A/69/190](#), paras. 72-81).

41. The Advisory Committee notes that, for the biennium 2014-2015, \$22.4 million from the regular budget is dedicated to learning programmes, which does not include funding provisions from the peacekeeping budgets or from extrabudgetary resources. According to the Secretary-General, that amount is less than 2 per cent of staff costs, the level considered to be a minimum in best practice, as endorsed by the Human Resources Network on behalf of the United Nations System Chief Executives Board for Coordination in 2003. The Committee was also informed, upon enquiry, that 32,077 learning programmes were offered to staff members in the Secretariat in 2013, including centrally coordinated learning programmes such as language courses and management training; specific courses to upgrade job-specific skills; mandatory courses such as ethics or security training; and self-paced online courses.

**42. The Advisory Committee reiterates its concern that the absence of a system in the Secretariat to track individual staff members' learning histories limits the ability of the Secretary-General to ensure that training funds are used efficiently and effectively by, inter alia, eliminating duplication.**

**43. The Advisory Committee also regrets that information previously requested on the implementation of the enterprise learning management module in Inspira has not been provided and reiterates its request that this be included in the next overview report on human resources management (see [A/67/545](#), para. 36). The Committee has also sought additional details on the training activities conducted in peacekeeping missions, including a related trend analysis (see [A/68/782](#), para. 115).**

### **Staff health**

44. Issues relating to the health and well-being of United Nations staff are discussed in paragraphs 86 to 93 of the overview report ([A/69/190](#)). The Secretary-General indicates that the Medical Services Division of the Office of Human Resources Management is being transformed from an entity that focuses primarily on the processing of transactions, such as sick leave, medical evacuation and clearances, to an entity that oversees systems of occupational health that keep the Organization's workforce fit for duty. In addition, a new policy relating to employment and accessibility for staff members with disabilities has been issued, setting out policies relating to employment opportunities and the availability of reasonable accommodation for these staff members (*ibid.*, para. 89).

45. The report also contains information on sick-leave patterns and indicates that across the Secretariat, the annual impact of absenteeism owing to certified or uncertified sick leave is estimated to be the equivalent of 539 staff positions (*ibid.*, para. 86). Following an increased monitoring of staff on sick leave longer than

20 consecutive days, the Medical Services Division is developing improvements in case management in an attempt to secure early return to work, wherever possible (ibid., para. 90). Further, it is indicated that of the staff members with sick leave longer than 20 days, 10 per cent had a mental health diagnosis.

46. The Secretary-General also indicates that approximately 40 per cent of the disability pensions awarded by the United Nations Joint Staff Pension Fund are associated with a mental health diagnosis, while the worldwide percentage is approximately 25 per cent (ibid., paras. 91 and 92). Measures under way to address mental health challenges include increasing managerial capacity to manage the impact of health conditions, along with initiatives to assess mental health infrastructure and offer suitable services (ibid., para. 93).

### **Permanent resident status**

47. In paragraph 114 (c) of his overview report, the Secretary-General proposes that the General Assembly, in the light of recent judgments of the United Nations Appeals Tribunal, review the policy requiring staff members to renounce permanent resident status in a country other than the country of their nationality before recruitment. He further invites the Assembly to provide guidance on whether or not the policy should be maintained.

48. The Advisory Committee has discussed this matter in some detail in previous reports on human resources management ([A/64/518](#) and [A/65/537](#)). The Committee recalls that this issue became pertinent following the Organization's decision to harmonize its contractual arrangements and introduce a single set of staff rules, which came into effect on 1 July 2009. Up until then, the policy had been enforced for staff members holding appointments under the former 100 series of the Staff Rules, but applied flexibly for staff hired under the former 200 and 300 series, in cases of temporary and/or project-funded appointments. With the promulgation of the new staff rules, the exceptions that had previously allowed 200-series staff to retain permanent resident status posed difficulties when those staff members were reappointed under the new fixed-term appointment and required to renounce permanent resident status.

49. In its previous reports, the Advisory Committee recalled that the requirement to renounce permanent resident status stemmed from a long-standing policy articulated by the General Assembly in 1953, on the basis of a recommendation made by the Advisory Committee at that time (see [A/2615](#), para. 69-72). Although not reflected in any staff regulation or rule, the requirement was set out in administrative instructions and information circulars, the most recent of which are [ST/AI/2000/19](#) and [ST/IC/2001/27](#). The Committee was also informed, upon enquiry, that the standards of conduct for the international civil service do not deal with the question of nationality or residency. There is no ethical issue per se involved in having more than one nationality or permanent residency in a country other than that of one's nationality. Further background relating to this long-standing requirement is contained in paragraphs 99 to 103 of the latest overview report of the Secretary-General ([A/69/190](#)).

50. In its 2010 report on human resources management ([A/65/537](#)), the Advisory Committee, responding to a proposal of the Secretary-General, expressed the view that, although the Committee had initially recommended the policy in 1953, with the increasing use of fixed-term appointments it might not be entirely fair to require a

candidate to give up permanent resident status, a decision that had long-term consequences, so that he or she could take up a position that might last only two or three years. The Committee also reiterated its belief that it was unreasonable to expect serving staff members to make a choice between maintaining their permanent resident status and continuing their employment with the Organization, and recommended that the General Assembly reconsider the requirement to renounce permanent residence status (see [A/65/537](#), paras. 84 and 85 and [A/64/518](#), paras. 44 and 45). The General Assembly took note of the Committee's recommendations (resolution 65/247, paras. 73-75). As a result, the existing policy remains in effect.

51. In two recent judgments,<sup>1</sup> the Appeals Tribunal has concluded that the existing policy has no legal basis since it was not reflected through appropriate amendments to the Staff Rules.<sup>2</sup> The Tribunal further found that the policy could not be justified on the basis of ensuring geographical distribution of staff members, since geographical distribution is based on nationality, not on resident status. In the Advisory Committee's deliberations, the Secretariat indicated that the lacunae in the Staff Rules would not be remedied simply by amending those rules, since the Tribunal had also observed in its judgement that "bearing in mind human rights principles and modern law of employment, this policy has no place in a modern international organization" (judgement No. 2012-UNAT-276, para. 45). The Committee was also informed that awards in the amount of \$14,405 had been paid by the Secretariat in one of these cases. The Secretary-General also states in his report that the implication of these judgments is that the related provisions administrative instruction [ST/AI/2000/19](#) impose an obligation that is not foreseen by the Staff Rules and, are consequently, unlawful ([A/69/190](#), para. 105).

52. As a result of these judgments, the Secretariat has, since November 2013, exceptionally granted staff members in the Professional category permission to retain permanent resident status in a country other than their country of nationality, subject to the General Assembly's reconsideration of the issue (*ibid.*, para. 106). Upon enquiry, the Advisory Committee was informed that, since then, 10 professional staff members have been permitted to acquire or retain permanent resident status as a result of the Appeals Tribunal judgements. The report of the Secretary-General confirms that the Organization would not provide expatriate entitlements to those staff members who are located and work in the duty station at which they have permanent resident status (*ibid.*, para. 112).

**53. The Advisory Committee recommends that the General Assembly reconsider the requirement for staff members to renounce permanent resident status in a country other than the country of their nationality. In this connection, the Committee recommends that staff rule 1.5 (c) be retained in view of the fact that it makes no mention of a requirement to renounce permanent residency and in order to ensure the means to enforce rule 4.5 (d), which provides the basis to discontinue international benefits for staff members who become permanent residents in the country of their duty station (see [A/65/537](#), para. 84).**

<sup>1</sup> See United Nations Appeals Tribunal judgements Nos. 2012-UNAT-276 (*Valimaki-Erk*) and 2013-UNAT-342 (*Manco*).

<sup>2</sup> Staff rule 1.5 (c) does not refer to this requirement but rather states that a staff member who intends to acquire permanent residence status in any country other than that of his or her nationality, or who intends to change his or her nationality, shall notify the Secretary-General of that intention before the change in residence status or the change in nationality becomes final.

54. Concerning the evolution and application of jurisprudence emerging from the Tribunals, the Advisory Committee has made observations and recommendations in its recent reports on the system of administration of justice, specifically in the context of the terms of reference relating to the upcoming interim independent assessment of the system of justice mandated by the General Assembly (see [A/68/530](#), paras. 13-20 and [A/69/519](#), paras. 16-25).

55. On a related matter, the Advisory Committee also considers that at least some of the referrals to the Tribunals could have been avoided if the staff had been informed of all implications relating to the introduction of the contractual reforms before their introduction in 2006. **The Advisory Committee stresses that, in future, the Secretary-General should notify all staff of the full impact of any human resources reform proposals under consideration.**

### III. Mobility

#### Background

56. In his 2012 report on the question of mobility ([A/67/324/Add.1](#)), the Secretary-General submitted to the General Assembly, for its consideration, a proposed mobility and career development framework for staff in the Professional and higher and Field Service categories. In its resolution 67/255, the General Assembly welcomed the commitment of the Secretary-General to develop a managed mobility policy to ensure that the Organization was more capable of delivering on the diverse and complex mandates entrusted to it by Member States (para. 51). The Assembly also noted that the overall objective of the proposed mobility framework was to develop a workforce that was global, dynamic and adaptable in order to deliver effectively on the mandates entrusted to the Organization by Member States and to foster the skills and capacities of staff (para. 53). The Assembly defined mobility as “a change in position that involves one change or a combination of changes in role, function, department or duty station or a move from the Secretariat to, or to the Secretariat from, an agency, fund or programme of the United Nations system” (para. 56). The Assembly requested the Secretary-General to provide a comprehensive report for its consideration at its sixty-eighth session, with the aim of further refining his proposed mobility policy (para. 57), along with an alternative proposal (para. 59). The Secretary-General subsequently presented a refined version of his proposed mobility and career development framework and an alternative proposal, in his report ([A/68/358](#)). The comments of the Advisory Committee on the original proposal of the Secretary-General are contained in its 2012 report on human resources management ([A/67/545](#), paras. 68-136); the Committee’s comments on the refined and alternative proposals are contained in its 2013 report on mobility ([A/68/601](#)).

#### Mobility framework as approved by the General Assembly

57. In its resolution 68/265, the General Assembly approved a refined managed mobility framework subject to the provisions of that resolution. Specifically, the Assembly requested the Secretary-General to ensure that managed mobility would not have a negative effect on mandate implementation under the peace and security, development and human rights pillars of the United Nations (para. 9) and to give equal treatment to internal and external candidates when considering applicants for

vacancies (para. 10). In addition, the Assembly decided that the number of geographic moves for the job networks in 2016 and 2017 would be no greater than the average number of geographic moves in those networks in 2014 and 2015 (para. 8). In the same resolution, the Assembly requested the Secretary-General to submit annual reports on mobility and to include in his report for the sixty-ninth session, additional data and information specified in paragraph 11 of the resolution. The Assembly also emphasized the importance of a thorough reform of performance management in the context of the managed mobility framework (para. 19). The Advisory Committee's comments on the proposals of the Secretary-General with regard to performance management are contained in section IV of the present report.

58. The first report of the Secretary-General on the implementation of the new mobility and career development framework has been submitted for the consideration of the General Assembly in document [A/69/190/Add.1](#). The report contains an update on the preparations for the phased implementation of the new framework, which will begin in 2016. In particular, section IV of the report describes the staffing process under the new mobility and career development framework.

59. Specifically, it is indicated that the framework will operate through semi-annual staffing exercises through which job network boards will manage the selection and reassignment of staff in the Field Service category and at the P-3 to P-5 levels as well as staff at the P-2 levels who are not subject to the young professionals programme, and a senior review board will manage the selection and reassignment of staff at the D-1 and D-2 levels. The current staff selection process for all such staff, except those on non-rotational positions, will be replaced by semi-annual staffing exercises. These exercises will consist of two parts:

(a) Existing and anticipated vacant positions will be advertised and open to applications from internal and external candidates;

(b) There will be an internal lateral reassignment process, in which serving staff members will apply for a pool of encumbered positions. Staff subject to this process will be those who have either reached their maximum position occupancy limit or reached their minimum position occupancy limit in their current assignment and have opted in to the lateral reassignment process ([A/69/190/Add.1](#), paras. 27-34).

60. The report also indicates that unforeseen or surge vacancies will be temporarily filled, until the next cycle, through the posting of temporary job openings (for positions at Headquarters, offices away from Headquarters and the regional commissions) or from rosters of pre-cleared candidates (for positions at field-based entities authorized to do so) (*ibid.*, footnote 15).

61. The selection process for vacant positions is summarized in figure V of the report of the Secretary-General, and the process for determining lateral assignments in figure VI of the report.

**62. The Advisory Committee notes that the issuance of the report of the Secretary-General ([A/69/190/Add.1](#)) comes shortly after the General Assembly took its decision to establish the new mobility framework. The Committee recognizes that significant preparatory work is needed, much of which is ongoing, prior to the implementation of the first phase of the mobility framework as approved. Since the different aspects of the implementation plan and its underlying support structures and systems have not yet been finalized,**



**the observations and recommendations of the Committee set out below should be considered to be of a preliminary nature.**

#### **Staff mobility trends and additional data**

63. Sections II and III of the report of the Secretary-General ([A/69/190/Add.1](#)) provide data and statistics on current mobility trends of those staff members who could be subject to mobility, direct and indirect costs of moves and the number of positions open to external candidates and the number of such candidates appointed.

64. According to the report, as at 30 June 2013, there were 14,094 Professional, Director and Field Service staff in the “mobility population”<sup>3</sup> ([A/69/190/Add.1](#), para. 4). A distribution of this population by duty station and gender, as at 30 June 2013, is contained in figure II of the report and a distribution of the mobility population by job network across duty station categories is contained in table 2 of the report. The Advisory Committee notes, however, the statement by the Secretary-General that the Integrated Management Information System does not contain information on staff roles or functions, and therefore, baseline data for changes of position that do not involve a change in duty station cannot be obtained at this time (*ibid.*, para. 5).

65. In terms of establishing a viable comparative baseline, the Advisory Committee notes that the Secretary-General indicates in his report that, during each of the past five years, internationally recruited staff have made an average of 1,762 duty station moves (*ibid.*). The Committee, however, recalls its doubts expressed in the context of its consideration (original and refined) mobility proposals of the Secretary-General, as to the appropriateness of using the average long-term duty station moves as a proper comparative baseline. At that time, the Committee, basing its observation on staff movement data for the 12-month period ending on 30 June 2013, concluded rather that the 157 geographic transfers undertaken during that period could serve as a proper baseline for the proposals of the Secretary-General regarding geographic lateral mobility ([A/68/601](#), para. 26). During the Committee’s review of the most recent report of the Secretary-General, the Secretariat did not provide comparable data on the number of geographic transfers undertaken for the 12-month period ending 30 June 2014.

**66. For proper tracking and monitoring of the impact of the new mobility policy, the Advisory Committee stresses the importance of establishing the criteria for determining a viable comparative baseline against which future mobility trends can then be measured, particularly in view of the required cap on the number of geographic moves as set out in paragraph 8 of General Assembly resolution 68/265 (see also para. 57 above).**

67. As far as the costs of the mobility framework are concerned, several provisions in the related resolution set out requirements for the provision of additional cost data for the consideration of the General Assembly. Specifically, the Assembly requested the Secretary-General to include in his first annual report, data and information on current staff mobility statistics and an analysis of trends, including the tracking of actual costs related to geographic and non-geographic moves and of

<sup>3</sup> All internationally recruited staff of the Secretariat in the Field Service and Professional and higher categories, up to and including the D-2 level, holding fixed-term, continuing or permanent appointments, except those in non-rotational positions.



vacancy rates by job network and other potential costs that may arise (resolution 68/265, para. 11 (a)); and the number of staff moves within and among duty stations and the direct and indirect costs of each move by job network in 2013 and the first quarter of 2014 (para. 11 (c)). For the second annual report, to be submitted to the Assembly at its seventieth session, the Assembly further requested the Secretary-General to identify the number of staff moves within and among duty stations and the direct and indirect costs of each move by job network in 2014 and the first quarter of 2015 (para. 17). The Assembly also requested that a full estimate of and rationale for the financial resources required for mobility in 2016 and 2017 be provided in the regular and peacekeeping-related budget requests over the course of that period (para. 18).

68. The Secretary-General sets out cost data in paragraphs 11 to 21 of his most recent report. He states that the direct costs of mobility arise only when staff change duty stations and that such costs include recurrent costs as well as one-time costs. Recurrent costs include the non-removal element and the mobility allowance, while one-time costs include relocation grant, assignment grant and travel costs. The actual level of payment varies from case to case depending on several different factors relating to the profile of the staff member and the duty station ([A/69/190/Add.1](#), para. 11).

69. Based on the payroll data relating to staff members who moved in 2011 and 2012, the Secretary-General indicates that the average recurrent costs paid out to each staff member amounted to \$8,964 while the average one-time costs were \$48,870 for staff moving between non-field entities and \$24,292 for staff moving to or from field missions (*ibid.*, paras. 15-17). Upon enquiry, the Advisory Committee was informed that the significant difference between these two figures is due, for example, to the travel distance between field missions and the family profile of a given staff member.

70. On the basis of the above data, the Secretariat estimates that direct costs associated with duty station moves between departments, offices away from Headquarters and regional commissions total \$33.4 million and the field mission costs total \$64.3 million (*ibid.*, para. 18), based on data collected from 25 missions. Upon enquiry, the Advisory Committee was informed that the indicative estimate of total direct costs amounted to approximately \$115.6 million, including estimates from 13 additional missions that had staff movements for the 2011-2012 period.<sup>4</sup>

71. The Advisory Committee recalls that the Secretary-General estimated in his previous report on human resources management that the indicative cost of a geographic move across the whole Organization would be around \$88,000, taking into consideration the average one-time and recurrent costs ([A/68/601](#), para. 23). He also indicated that average future costs under a managed mobility scheme would be broadly the same as they had been in the past. (*ibid.*, para. 25).

72. In response to the Advisory Committee's enquiry as to the differences in the cost data provided in different reports of the Secretary-General, the Advisory Committee was informed that the previous report provided average cost estimates that were based on one-off costs as stipulated by the International Civil Service

<sup>4</sup> The report states that, given that some of the 38 missions had closed, and owing to resource constraints and time limitations, it had not been possible to obtain actual cost information from all 38 missions ([A/69/190/Add.1](#), footnote 11).

Commission for the year 2012, as well as cost estimates based on certain scenarios. However, the latest information was based on accounting data coming directly from the Secretariat's information systems. Nevertheless, the Committee notes from the current report of the Secretary-General on mobility that the Secretariat does not currently have a consolidated tracking system for mobility expenditures and that cost calculations have been made using data contained in various systems. The Committee also notes the expectation that the introduction of Umoja will permit enhanced tracking of expenditures ([A/69/190/Add.1](#), para. 19).

**73. While recognizing the difficulties in accurately forecasting the additional costs of the new mobility policy, including the large number of assumptions underpinning any cost projections and uncertainties as to how the new policy will actually affect the number and nature of staff moves across the global Secretariat, in view of the reporting requirements of the General Assembly, the Advisory Committee reaffirms the need for complete and accurate data and information to be included in future reports of the Secretary-General. The Committee further trusts that the Secretary-General will be able to provide the necessary information for future reports, generated through Umoja.**

74. In this connection, the General Assembly, in paragraph 8 of its resolution 68/265, decided that the number of geographic moves for the job networks in 2016 and 2017 should be no greater than the average number of geographic moves in those networks in 2014 and 2015. During its review of the first annual report of the Secretary-General on the mobility framework, the Advisory Committee enquired as to how the Secretary-General intended to ensure that this "cap" provision would be properly implemented. The Committee was informed, that discussions were still ongoing as to how to address the situation in which the "cap" set for geographic moves might be reached before the end of a given year. The Committee was also informed that the objective of the new policy was not to increase the number of geographic moves but rather to change the pattern of movement in order to ensure that the Organization was in the best position to deliver on its mandates.

#### **Job opportunities for external candidates**

75. Concerning the opportunities for external candidates under the mobility framework, the Advisory Committee recalls that the General Assembly has requested the Secretary-General, when considering applicants for vacancies, to give equal treatment to internal and external candidates (resolution 68/265, para. 10). The Committee further notes from the report of the Secretary-General that the number of external appointments has been decreasing since July 2010 ([A/69/190/Add.1](#), figure IV). Upon enquiry, the Committee was provided with additional detail, set out in the table below, which shows that there is a decrease in external appointments.

<i>Period</i>	<i>"Internal" appointments</i>	<i>"External" appointments</i>	<i>Total appointments</i>	<i>Percentage of external appointments</i>
1 July 2009-30 June 2010	1 314	813	2 127	38
1 July 2010-30 June 2011	1 638	857	2 495	34
1 July 2011-30 June 2012	1 912	795	2 707	29
1 July 2012-30 June 2013	1 415	637	2 052	31

76. The Advisory Committee was informed, upon enquiry, that under the mobility framework, all vacant positions will be advertised through Inspira in the vacancy compendiums, and considered during the twice-yearly staffing exercises. According to the Secretary-General, internal and external applicants will have an equal opportunity to compete for those openings and an equal chance of being considered and selected or being added to a roster for those entities authorized to recruit from rosters, as is currently the case. In addition, the Committee was informed, with regard to the lateral reassignment track, that only posts occupied by serving staff members within the “mobility population” will be included in the lateral reassignment compendiums. According to the Secretary-General, therefore, lateral moves will have no impact on external recruitment.

**77. The Advisory Committee notes the decline in the percentage of external appointments to the Secretariat since 2010. In this connection, the Committee reiterates its belief that efforts to encourage internal mobility should not have a negative impact on efforts to reinvigorate the Organization through the engagement of fresh talent from outside at all levels (see [A/68/601](#), para. 19).**

#### **Non-rotational posts**

78. Annex I to the report of the Secretary-General ([A/69/190/Add.1](#)) contains a provisional list of 109 positions deemed to be “non-rotational” for the purposes of the mobility framework. According to the report, a non-rotational position is one that requires an advanced level of expertise, knowledge and qualifications in a technical field, and with respect to which there is no comparable position at the same level in another organizational unit or at another duty station in the Secretariat. The report also states that, prior to the launch of the mobility framework, each job network board will review and confirm the provisional list of non-rotational positions corresponding to its job network. The boards will then present these lists to the Assistant Secretary-General for Human Resources Management for approval ([A/69/190/Add.1](#), para. 3). **The Advisory Committee has some doubts as to whether all positions contained in the provisional list can be considered non-rotational and trusts that the provisional list of non-rotational posts will be thoroughly scrutinized prior to implementation of the mobility framework.**

#### **Roles and functions of the staffing bodies and structures under the mobility framework**

79. The roles and functions of the staffing bodies and structures under the mobility framework are contained in section V of the report of the Secretary-General ([A/69/190/Add.1](#)). These include terms of reference for the job network boards, the senior review board and the special constraints panel, as well as a description of the role of the network staffing teams and the global central review body. The Advisory Committee was provided with additional detail, upon request, on the proposed terms of reference and membership of the different bodies.

80. In terms of the membership of the boards and panel, the Advisory Committee was informed, upon enquiry, that membership would need to be staggered. Different options are still under consideration in order to best ensure continuity, preservation of institutional memory and independence. The Committee was further informed that under all options, a member would not be eligible for reappointment to a board or panel within two calendar years following the end of his or her last membership.

Regarding the possibility of deferments or exemptions from mobility requirements, and the associated terms of reference for the special constraints panel, the report sets out some preliminary examples of situations in which an exception might be considered and states that not every situation meriting deferment or exemption can be predicted (*ibid.*, paras. 47 and 48).

**81. The Advisory Committee recognizes that the details concerning the functions, composition and modalities for operation and accountability mechanisms for each of these bodies have yet to be finalized. The Committee also stresses the need for a clear articulation in the relevant administrative instructions of roles and responsibilities for all the structures within the new mobility system in order to enable clear lines of responsibility and to minimize the risk of overlap between the different bodies. The Committee also trusts that appropriate benchmarks with regard to expected timelines and workload will be developed for all those bodies to be involved in staff selection.**

**82. While recognizing that not every exception can be predicted, the Advisory Committee is of the view that the criteria to be applied by the special constraints panel in determining possible deferments or exemptions from mobility requirements need to be clearly defined and promulgated in the relevant administrative instructions to mitigate the risk of inconsistent application and legal exposure for the Organization.**

#### **Transitional measures**

83. Details relating to a set of measures to assist serving staff in making the transition from the current staff selection system to the mobility framework are set out in paragraphs 60 to 62 of the report of the Secretary-General ([A/69/190/Add.1](#)). Upon enquiry, the Advisory Committee was informed that staff members will become subject to minimum and maximum occupancy limits when the job network to which they belong becomes operational. In accordance with the provisions of the General Assembly, the calculation of post occupancy for staff members will include time served in their current posts (resolution 68/265, para. 5). The Committee was informed that time spent by staff in posts prior to the General Assembly's decision to establish the mobility framework will be included for the purposes of determining post occupancy. However, staff who have reached the maximum occupancy limit when the mobility framework for their job network comes into effect will not be subject to reassignment in the first year of its operationalization (*ibid.*, para. 6).

#### **Pilot project for staff in hardship duty stations**

84. In its previous comments on the mobility proposals of the Secretary-General, the Advisory Committee expressed the view that the Secretary-General already had the authority to move staff across the Organization to address the most important needs of the Organization through the application of staff regulation 1.2 (c) and subject to the provisions of the relevant General Assembly resolutions concerning staff selection (see [A/68/601](#), para. 59). The Committee has also previously acknowledged the need to alleviate the situation of staff who have served in hardship duty stations for long periods of time without being able to move (see [A/67/545](#), para. 87 and [A/68/601](#), para. 67).

85. During its consideration of the previous report of the Secretary-General on mobility ([A/68/358](#)), the Advisory Committee noted that, as at 31 May 2013,

1,179 staff in the Field Service category had served at hardship duty stations for five or more years. The Committee was also informed that a pilot scheme had been introduced during 2012/13 involving voluntary assignments of eligible staff among peacekeeping operations, of whom nearly half were based in the most difficult duty stations. As at 30 June 2013, some 49 moves had been successfully arranged. However, the Secretariat stressed at that time that the scheme's purely voluntary nature imposed limitations on the number of possible successful transfers. (A/68/601, para. 68).

86. During its review of the report of the Secretary-General on the mobility framework (A/69/190/Add.1), the Advisory Committee was informed, upon enquiry, that a second round of this pilot project had been launched by the heads of the Departments of Political Affairs, Peacekeeping Operations and Field Support in March 2014 across all peacekeeping operations and special political missions. Close to 400 expressions of interest in the Professional category and over 700 in the Field Service category had been received and were being reviewed for eligibility. It is anticipated that this second round will be completed by the end of 2014. **The Advisory Committee continues to support a more equitable sharing of the burden of service in hardship duty stations and looks forward to receiving information on the results of the pilot project for staff in peacekeeping operations and special political missions in the next report of the Secretary-General on mobility.**

## IV. Performance management

87. An addendum to the report of the Secretary-General on his overview of human resources management reform relates to performance management (A/69/190/Add.2 and Corr.1). It is presented pursuant to General Assembly resolution 68/252, by which the Assembly requested the Secretary-General to submit a proposal to revise the performance management system. The Assembly emphasized that the overarching objective of that proposal should be to credibly and effectively measure performance, reward good performance and sanction underperformance and that it should be easily understood by staff and management (para. 7). In addition, in its resolution 68/265, the Assembly, in the context of the mobility framework, emphasized the importance of a thorough reform of performance management, to be implemented at the same time as the framework (para. 19).

### Review of the performance management system

88. The Secretary-General states that the Office of Human Resources Management conducted extensive research on the performance management systems of United Nations programmes and funds, the specialized agencies, other international organizations, Member States and the private sector. In addition, consultations were held within a Staff-Management Committee working group dedicated to that subject and with professional associations and academics (A/69/190/Add.2, para. 7). According to the Secretary-General, the research and consultations showed that the Secretariat's system was generally consistent with best practice. In his view, the challenges faced by the United Nations mirror, for the most part, those of other organizations, such as the need for more engagement on the part of senior managers, establishing a fair and credible system, effectively handling underperformance and keeping the tools and policies simple in order to ensure compliance. The

Secretary-General therefore concludes that the proposed amendments do not aim to overhaul the entire structure, but to make targeted changes in some critical areas (ibid., para. 8).

89. The four main elements of the proposal, set out in paragraph 9 of the report, consist of increasing accountability, simplifying the performance management policy and the Inspira e-performance tool, improving the management culture and addressing underperformance more effectively.

90. Specifically, measures aimed at ensuring that senior managers properly execute their performance management responsibilities include having the Management Committee review compliance and ratings distribution across the offices and departments of the Secretariat and publishing the information on the Organization's intranet platform, iSeek (ibid., para. 12). In addition, second reporting officers will be required to play a more proactive role in assessing performance (ibid., para. 18). There will be a specific requirement that all managers be assessed, in their own performance evaluations, on how they exercised their managerial role (ibid., para. 19). In terms of policy simplification, workplan requirements will be shortened and sharpened, the personal development plan removed from the Inspira e-performance tool and the evaluation process simplified (ibid., paras. 24-27). Improved guidance and support for managers will be provided, including guidelines on how to evaluate staff fairly and to introduce a culture of recognition.

**91. Performance management is, in the view of the Advisory Committee, fundamental for the fair treatment and evaluation of staff, for rewarding high performance and addressing underperformance and for the effective delivery of mandates. Consequently, putting in place a robust performance management system that is credible and fair is of the utmost importance.**

#### **Performance system ratings**

92. The Secretary-General acknowledges that one of the foremost weaknesses of the Organization's current performance management system is its inability to address underperformance effectively (ibid., para. 33). In this connection, the Advisory Committee notes that, in the most recent performance cycle, only 1 per cent of staff received a rating of "partially meets performance expectations" or "does not meet performance expectations" (ibid., figure II). The Committee notes that the figures are consistent with the information previously provided concerning cases of underperformance and sanctions imposed during previous performance cycles (A/67/545, table 1). Upon enquiry, the Committee was informed that it was recognized that the small number of underperforming cases reflected in the performance management system might not be an accurate reflection of poor performance in the Organization. On the basis of its review of other organizations, it was the Secretariat's view that the significant majority of staff should be in the middle or satisfactory range, with a small minority falling into high-performing or poor-performing categories.<sup>5</sup> The Committee was also informed, however, that the Secretariat did not favour the imposition of bell curves or forced rankings, which

<sup>5</sup> Under the current performance appraisal system, which has four grading categories, the highest-performing category is "exceeds performance expectations", while the lowest is "does not meet performance expectations".

essentially would impose a predefined distribution of ratings, owing to concerns that it would demotivate staff and limit innovation and creativity.

93. To better address poor performance, the Secretary-General envisages the issuance of revised guidelines that will incorporate lessons learned from the administration of justice system, include a performance improvement plan template and provide support on such topics as handling difficult conversations (A/69/190/Add.2, para. 38). The Advisory Committee was informed, upon enquiry, that, to improve the overall ratings distribution, the guidelines would also stipulate that most high-performing staff should receive a rating of “fully meets performance expectations” and that the highest rating (“exceeds performance expectations”) should be reserved for unusually high performers.

94. The Secretary-General also indicates that the data-gathering capabilities of the Inspira tool will be improved to provide better compliance and ratings data and information on significant trends (ibid., para. 16). The Advisory Committee was informed, upon enquiry, that managers did not currently see ratings distribution data across offices and were therefore not aware of potential inconsistencies or unusual grading patterns. The proposal to make that information available in real time and the subsequent review by the Management Committee of departmental trends, along with requirements for managers to explain discrepancies, were intended to lead to greater consistency in ratings.

**95. The Advisory Committee has no objection to the proposed amendments to the performance management system set out in the report of the Secretary-General. The Committee believes, however, that the impact of the measures should be closely monitored with a view to ensuring that credible, fair and comparable performance information is generated.**

**96. In addition, the Advisory Committee concurs with the assessment of the Secretary-General that the current ratings distribution may not be an accurate reflection of poor performance in the Organization. The Committee supports all efforts to ensure greater consistency in performance ratings and looks forward to reviewing the impact of the proposed enhancements in the next overview report on human resources management.**

### **360-degree feedback pilot programme for senior managers**

97. During its review of the performance management proposals, the Advisory Committee sought information on best practices relating to multi-rater or 360-degree feedback approaches, specifically for supervisors and managers. It was informed that research indicated that such tools had the greatest impact when used confidentially, in the context of developing managers, rather than as a tool to evaluate them. It was also informed that a pilot programme was under development for the provision of confidential multi-rater feedback for senior managers. **The Advisory Committee underscores the importance of confidentiality in any such feedback system and trusts that lessons learned from the pilot multi-rater feedback programme for senior managers will be included in the next overview report on human resources management.**



## V. Young professionals programme

98. Approved by the General Assembly in its resolution 65/247, the young professionals programme built upon and replaced the former national competitive recruitment examination and incorporated the competitive examination for recruitment to the Professional category of staff from other categories ("G to P"). The programme maintained the maximum age limitation of 32 years for eligibility. In addition, there was no change to the pool of available positions for placement of successful candidates (all P-1 and P-2 posts established through the regular budget, excluding language posts, and up to 15 per cent of P-1 and P-2 positions in field operations financed through the regular budget and voluntary contributions).

99. The General Assembly, in paragraph 41 of its resolution 67/255, requested the Secretary-General to conduct a comprehensive review of the method and format of the young professionals programme examination, including its cost implications, while ensuring a level playing field for candidates of all parts of the world, in order to ensure that it was conducted in the most efficient, effective and equitable manner possible. The Assembly subsequently emphasized the important role of the programme in improving the geographical representation of underrepresented and unrepresented Member States and requested the Secretary-General to develop and implement measures to accelerate the placement of successful candidates from the programme roster (resolution 68/252, paras. 18-19).

100. In his report ([A/69/190/Add.3](#)), the Secretary-General summarizes the progress made in the implementation of the programme since its inception in 2011 and proposes improvements to the examination format and delivery methods.

101. Data concerning the programme from 2011 to 2014, along with a comparison with the last round of national competitive recruitment examinations, held in 2010, are contained in table 1 of the annex to the report. The Advisory Committee notes that the number of invited and participating Member States increased significantly with the introduction of the programme in 2011. At the same time, however, the Committee notes that the number of participating Member States declined between 2012 and 2014. Upon enquiry, the Committee was informed that the Secretariat interpreted that decline as progress because it reflected the fact that a lower number of Member States were unrepresented, underrepresented or at risk of becoming underrepresented.

102. In terms of placing the successful candidates in vacant posts, the Advisory Committee notes that, as at 30 June 2014, 13 of the 96 candidates successful in the 2011 examination had not been placed (*ibid.*, para. 20). In terms of the successful candidates in the 2012 examination, the Committee was informed, upon enquiry, that, as at 26 September 2014, 46 of the 104 successful candidates were waiting to be placed. The Committee notes that successful candidates can only remain on the roster for the programme for up to two years, as stipulated by the General Assembly. **In view of the significant organizational effort required to identify suitable candidates under the young professionals programme, the Advisory Committee encourages the Secretary-General to make every effort to place successful candidates quickly and within the two-year time limit of the roster. The Committee also intends to keep the matter of the placement rate and the associated time limitation attached to the roster under review.**

103. Concerning the number of job opportunities at the junior professional level, the Advisory Committee recalls its comments in successive budget proposals regarding the reduction in the number of entry-level Professional posts and the detrimental effect on the ability of the Organization to attract and develop young talent in its efforts to rejuvenate the Organization ([A/68/7](#), paras. 86-87, and [A/66/7](#), para. 86). For 2014-2015, the staffing proposals of the Secretary-General entailed an estimated 19 fewer posts available for the placement of successful candidates from the programme. The Committee was informed, upon enquiry, that such a reduction would have a negative impact on the representation of unrepresented and underrepresented Member States.

104. In this connection, the Advisory Committee sought information concerning the number of positions at the junior professional level funded from general temporary assistance provisions in the regular budget for longer than a year. It was informed that there were 70 such positions that had been funded for more than a year since 1 January 2010. The Committee also sought, but was not provided with, information on those extrabudgetary posts at the P-2 level funded from programme support cost income.

**105. The Advisory Committee regrets that recent reductions in Secretariat staffing levels have led to fewer junior professional job opportunities, which consequently reduces the effectiveness of the young professionals programme as a tool to rejuvenate the Organization and improve geographic representation. The Committee therefore recommends that the General Assembly broaden the pool of available posts and positions for successful candidates from the young professionals programme to include P-2 positions funded from general temporary assistance for more than a year and to consider the possibility of further broadening the pool to include those P-2 positions funded from programme support cost income.**

106. In terms of the legacy rosters, the Secretary-General states that 84 candidates remain unplaced from the rosters of the national competitive recruitment examinations. Under the existing arrangements, those candidates remain on those rosters indefinitely ([A/69/190/Add.3](#), para. 31).<sup>6</sup> The Secretary-General proposes that those candidates who have been on the legacy rosters for more than seven years be removed and that the rosters themselves be abolished in 2018 (*ibid.*, para. 33 (b)). The Advisory Committee was informed that some rostered candidates had indicated to the Office of Human Resources Management that they were no longer interested in junior professional jobs because they had gone on to more senior positions outside the United Nations since their success in the examination. The Committee was also informed that, in 12 cases, when approached regarding an available P-2 post, rostered candidates had declined offers and requested that their roster membership should be placed on hold. The Committee was further informed that seven candidates had withdrawn from the legacy rosters since the introduction of the young professionals programme.

107. Upon enquiry, the Advisory Committee was informed that, upon the termination of the national competitive recruitment and “G to P” examinations at the end of 2010, 204 candidates remained on the related rosters. As at 17 October 2014,

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<sup>6</sup> The Advisory Committee was informed that, as at 17 October 2014, an additional two candidates from the national competitive examination roster had been placed.

87 candidates from the national competitive recruitment examination roster and 10 successful “G to P” examination candidates had been placed. It was explained that candidates often preferred to remain on the roster even if they had found employment elsewhere, in case their careers were to take an unexpected turn. **In view of the significant organizational investment involved in populating the legacy rosters and the fact that there still may be viable candidates within the remaining roster population, the Advisory Committee recommends against the proposal to remove candidates from the legacy rosters after seven years and to abolish those rosters in 2018.**

108. In terms of proposals for improvements to the examination format and delivery methods following his comprehensive review of the young professionals programme, the Secretary-General proposes to eliminate the general paper and to increase the automation of the screening and assessment mechanisms; to offer examinations by job network rather than by job family; to convoke the top 60 candidates, rather than the top 40 candidates convoked through the second screening under the current format; to use cognitive skills and situational judgement testing; and to further examine the possibility of online delivery of tests (*ibid.*, paras. 22-29).

109. Concerning the general paper, the Secretary-General states that it has historically been used to test text-summarizing and drafting skills in English or French and general knowledge of international affairs (*ibid.*, para. 15 (a)). He also indicates that a multiple-choice question format was introduced in 2012, asking candidates to respond to 50 international affairs questions of a general nature (*ibid.*, para. 16).

110. According to the Secretary-General, the proposed abolishment of the general paper would help to address the challenges associated with conducting the exam simultaneously in multiple time zones, given that the overall examination time would be reduced by 45 minutes (*ibid.*, para. 23). The proposal foresees that, in lieu of testing the candidates on the skills assessed through the general paper, candidates would be required to provide proof of language proficiency in English or French during the initial application screening phase (*ibid.*, para. 24). The Advisory Committee was informed, upon enquiry, that, for job families requiring knowledge of international affairs, the specialized papers would include essay or multiple-choice questions relating to international affairs. In addition, the Committee was informed that cost savings in terms of printing, processing and marking would amount to some \$8,000 per job family.

111. The Advisory Committee notes that the proposal of the Secretary-General would result in the elimination of the generalized requirement for all candidates to the young professionals programme to demonstrate knowledge of international affairs by limiting that requirement to those applicants in particular job families.

**112. The Advisory Committee has reservations concerning the proposed replacement of the general paper with a certification requirement to demonstrate proficiency in English or French. The Committee is concerned that one important purpose behind the requirement for a general paper is for all candidates, irrespective of their specialty, to demonstrate a good understanding of international affairs in addition to their specialist knowledge. The Committee believes that such knowledge continues to be a mandatory requirement for all young professionals intending to embark on a career with the United Nations, irrespective of their specialist category. In the view of the**

**Committee, this element has not been properly incorporated into the new testing scheme.**

113. In terms of the proposed new testing techniques, the Advisory Committee was informed, upon enquiry, that research in the field of international selection testing supported the use of general mental ability tests along with situational judgement tests. When combined, those two test types have, according to the representatives of the Secretary-General, the highest available predictive validity and are the most reliable and least biased. The Secretariat also indicated that among the most well-established users of that type of assessment were the European Personnel Selection Office, which performed all recruitment for the European Commission, the European Parliament and the Council of the European Union, among others. According to the Secretary-General, the multicultural composition of the European Union means that the tests are offered in all 24 of the Union's official languages and are rigorously screened for cultural bias of any kind. Competitive assessments of this nature are also used by the Governments of France, India and Saudi Arabia, in addition to the State Department of the United States of America (Foreign Service Officer Test), the United States military, the Canadian military (Canadian Forces Aptitude Test) and New York City (Civil Service Exam). This form of selection testing is also widely used in the private sector. In addition, according to the Secretariat, a number of techniques have been developed to minimize, monitor and/or eliminate any possible gender or culture bias.

**114. On the basis of the information provided to it, the Advisory Committee is of the belief that further research and analysis are needed to ensure that any new testing techniques introduced for the young professionals programme broadly reflect the practices used across the membership of the Organization and are adapted to the international character of the United Nations.**

## **VI. Assessment of desirable ranges**

115. The system of desirable ranges, established in 1960, measures progress towards achieving a wide equitable geographical distribution of the staff within the Secretariat (see General Assembly resolution 1559 (XV), para. 1), which is in turn derived from paragraph 3 of Article 101 of the Charter. The most recent report on this subject, contained in document [A/69/190/Add.4](#), is submitted pursuant to paragraph 46 of Assembly resolution 67/255, in which the Assembly requested the Secretary-General to present proposals for a comprehensive review of the system of desirable ranges, with a view to establishing a more effective tool for ensuring equitable geographical distribution in relation to the posts financed through the regular budget.

116. The Secretary-General affirms that, for all the complexity of the issue, he is of the view that the current system of desirable ranges has served well in practice. As evidence, he states that, as at 30 June 2014, only 342 persons would need to be recruited from unrepresented and underrepresented countries for such Member States to be within their desirable range. The number is smaller than that of vacant geographical posts and of posts temporarily encumbered by staff without geographical status as at the same date ([A/69/190/Add.4](#), para. 6).

117. The steps for determining the desirable range and representation of individual Member States as at 30 June 2014 under the current system are set out in paragraphs 8 to 18 of the report of the Secretary-General. The base figure of geographical posts,

which was originally 2,700 on 1 January 1988, had increased to 3,500 as at 30 June 2014 (*ibid.*, para. 8).

118. The Advisory Committee recalls that the current system of desirable ranges has remained mostly unchanged since its adoption in 1987 in resolution 42/220 A. In its resolution 63/250, the General Assembly requested the Secretary-General to submit proposals for a comprehensive review of the system, with a view to establishing a more effective tool to ensure equitable geographical distribution in relation to the total number of staff of the Secretariat (sect. IX, para. 17).

119. At its sixty-fifth session, the General Assembly clarified that staff members would retain geographical status when serving against a geographical post, except those recruited under the young professionals programme (resolution 65/247, para. 66). Two years later, the Assembly affirmed that the types of post and source of funding would remain limited to posts financed through the regular budget (resolution 67/255, para. 46). The Advisory Committee was provided, upon request, with a summary of the reviews and proposals considered since that time (see annex II to the present report).

120. The Advisory Committee recalls that, at the sixty-fifth session of the General Assembly, the Secretary-General outlined the changes to the system of desirable ranges made since 1960 (see [A/65/305/Add.2](#)). He updated the scenarios presented in his earlier report on that issue ([A/59/724](#)) to illustrate how Member State representation could change as a result of adjustments to weightings and base figures. The scenarios included varying the weights of existing factors (membership, population and contribution) and changing the base figure to include other posts, such as language-related or peacekeeping positions. At that time, the Committee expressed the view that the proposals did not adequately respond to the Assembly's request for a comprehensive review, with no enhancements to the system's effectiveness, but rather mere adjustments to the arithmetic underpinning the system. Ultimately, the Committee considered that the issue was a matter of policy for decision by the Assembly, while expressing its view that there was little basis upon which to make a decision on any change to the system of desirable ranges ([A/65/537](#), paras. 61-62).

121. In his most recent report, the Secretary-General states that he stands ready to provide scenarios, if requested by the General Assembly, to facilitate the deliberations, but that the final decision as to what factors and weights should be applied rests with the Assembly ([A/69/190/Add.4](#), para. 9). He proposes two specific changes in determining the lower and upper limits of the desirable ranges. They are based on the result of applying the same formula considered by the Assembly before its adoption of resolution 42/220 A, but using updated base figures for the population of geographic posts (3,500) and the number of Member States (193). In both instances, the Secretary-General proposes that the calculations be updated every six months to take account of any change in the base figure or number of Member States (*ibid.*, paras. 20 and 22). He indicates that approval of both changes would lead to an increase in the number of Member States within the desirable range (from 120 to 126 countries). The number of underrepresented countries would consequently decline from 38 to 32 (*ibid.*, annex, table 2).

122. The Advisory Committee recalls that, with regard to the current methodology, the weight of the factors taken into account for the determination of desirable ranges, agreed upon by the General Assembly in its resolution 42/220 A, remains at

55 per cent for contribution, 40 per cent for membership and 5 per cent for population. The Committee was informed that, as at 1 January 2014, there were 3,513 geographical posts funded through the regular budget (of a total of 9,882 posts, including 5,413 General Service posts and 918 language posts). A further 15,017 extrabudgetary posts, including 10,400 General Service and related posts, but excluding peacekeeping positions, had been authorized for the Secretariat for the biennium 2012-2013, but, as mentioned above, were not part of the system of desirable ranges in line with resolution 42/220 A.

**123. The Advisory Committee is of the view that, once again, the Secretary-General has not responded adequately to the request of the General Assembly for a comprehensive review of the system of desirable ranges. The report of the Secretary-General does not put forward any new elements that could enhance the effectiveness of the system. Consequently, the Committee reiterates its view that it is incumbent upon the Secretary-General to respond to the repeated requests of the Assembly by submitting concrete proposals to serve as a basis for the Assembly's continued deliberations on the issue, while emphasizing again that the final policy decision rests with the Assembly (A/67/545, para. 54).**

**124. At this stage, and until the requested comprehensive review has been completed and considered by the General Assembly, the Advisory Committee does not see merit in making the minor changes to the calculations put forward in the report of the Secretary-General. It does not therefore recommend that the Assembly approve the proposed changes.**

## **VII. Composition of the Secretariat**

125. The report of the Secretary-General entitled "Composition of the Secretariat: staff demographics" (A/69/292), which covers the period from 1 July 2013 to 30 June 2014, was submitted pursuant to various General Assembly resolutions concerning human resources management, the most recent of which are resolutions 66/234, 67/255 and 68/252. The report presents a demographic analysis of the global staff of the Secretariat and of staff subject to the system of desirable ranges. The addendum presents a demographic analysis of the engagement of gratis personnel, retired staff and consultants and individual contractors for the biennium 2012-2013.

### **Lack of trend analysis in the report**

126. On various occasions, the Advisory Committee has pointed to the need for greater trend analysis in the report, which would identify the reasons for different patterns within the staff demographics, in particular those emerging since the issuance of the previous report, to help the reader to grasp the meaning behind the statistical data and tables (A/67/545, para. 138, and A/68/523, para. 5).

127. In paragraph 13 of its resolution 68/252, the General Assembly requested the Secretary-General to supplement the information presented in the composition report with additional analysis of demographic trends and possible underlying reasons for those trends (see also para. 17). In the most recent report, the Secretary-General states his belief that, to respond to the request, the reporting period for the composition report will need to be adjusted to allow sufficient time for data analysis. He states that the time to produce the report, including consolidation and review of data from different systems, and to perform any related analysis, is

currently six weeks. He therefore proposes that data henceforth be reported for the calendar year of 1 January to 31 December, with a cut-off date of 15 March of the following year, to enable more detailed analysis. He also proposes that the next report, to be submitted to the Assembly at its seventy-first session, cover the period from 1 January to 31 December 2015 ([A/69/292](#), para. 3). He indicates that staff demographic information will continue to be available to Member States through the “HR Insight” online reporting tool on a monthly basis.

**128. The Advisory Committee has no objection to the proposed change in the reporting cycle and the cut-off date for the data included in the composition report, while stressing that the data for the six-month transitional period (July-December 2014) should be reflected in the next report in a format that facilitates comparisons with past and future periods. The Committee stresses that amending the reporting cycle and the cut-off date will not in themselves improve the analytical quality of the report. Additional efforts are required to complete trend analysis and explain the possible reasons for certain trends, including the impact of recent human resources reforms and other policy changes.**

129. The Advisory Committee also notes that the addendum to the composition report, relating to gratis personnel, retired staff and consultants and individual contractors, would also benefit from additional trend analysis. For example, in terms of retirees engaged over the past three bienniums, the report shows that there has been a downward trend in the number of days worked, although no particular reasons are provided ([A/69/292/Add.1](#), para. 15).

#### **Trends in Secretariat staff demographics**

130. In terms of the trends that can be discerned from the most recent composition report, the Advisory Committee has referred to limited progress in achieving gender parity over time and trends in the representation of Member States across the staff of the Secretariat (see paras. 31-39 above). In addition, the Committee notes the following trends:

- (a) A generally stable number of staff in the Secretariat, with 41,426 serving staff as at 30 June 2014, compared with 41,273 a year earlier ([A/69/292](#), table 2);
- (b) A slight increase in the proportion of staff in the Professional and higher categories compared with overall staffing numbers since 2010 (28 to 30 per cent) (*ibid.*);
- (c) An increase in the percentage of staff in the Secretariat with permanent or continuing appointments from 11 to 17 per cent (*ibid.*);
- (d) The average age of Secretariat staff continues to increase, having risen from 42.3 years in 2010 to 43.8 years in 2014 (*ibid.*);
- (e) The average length of service in the Secretariat for all staff categories now stands at 7.2 years (*ibid.*, table 12);

131. The Advisory Committee was also informed, upon enquiry, that the number of job applications had risen from an average of 195 for each opening in 2011 to 261 in 2013.



### Growth in senior-level appointments

132. In its comments on the previous composition report, the Advisory Committee noted that 146 staff were serving at the levels of Under-Secretary-General and Assistant Secretary-General, compared with 143 in the previous period ([A/68/523](#), para. 12). In the most recent report, 155 staff are listed as serving at those levels ([A/69/292](#), table 7). Upon request, the Committee was provided with an updated list of those positions, the number of which had, as at 15 October 2014, grown to 161, or more than 10 per cent more than a year previously (see annex III to the present report for a full list of the positions). In terms of the functions attached to the new senior-level appointments, the Committee notes that the list includes five separate special envoys on climate change, which could, in its view, create the potential for overlapping functions, responsibilities and reporting lines.

133. The Advisory Committee was also provided with data concerning the number of high-level positions at other United Nations common system entities, with the year-on-year percentage changes since 2009 and a comparison with the change in overall staffing levels during that period (see annex IV to the present report). The Committee notes that the Secretariat is one of few entities where there has been significant growth in the number of high-level positions (21.1 per cent), while, at the same time, the total number of staff has declined (-10.4 per cent). In most entities, the trend is in the opposite direction.

**134. The Advisory Committee has previously expressed its concern over the apparent upward shift in the grade structure of the Secretariat in its review of the budget proposals of the Secretary-General for the biennium 2014-2015 (see [A/68/7](#), para. 102). The Committee stresses with renewed concern that the growth trend in senior-level positions is continuing and requires closer monitoring. The Committee trusts that efforts will be undertaken to address the proliferation of high-level positions and prevent any potential for overlap in their functional responsibilities.**

135. The Advisory Committee also notes that the 17 high-level appointees on one-dollar-per-year contracts are included in the Secretariat's population of Under-Secretaries-General and Assistant Secretaries-General ([A/69/292](#), table 9). The Committee further notes that the guidelines regarding the use of such contracts requested by the General Assembly in paragraph 63 of its resolution 67/255 have not been finalized. The Committee was informed, upon enquiry, that the guidelines had been prepared and were pending clearance and approval. In this connection, the Committee was also informed that a recently revised administrative instruction on consultants and individual contractors ([ST/AI/2013/4](#)) included a provision whereby individuals with specific expertise who volunteered their services to the United Nations for no fee and who travelled on behalf of the Organization might, subject to clearance by the Assistant Secretary-General for Human Resources Management, be issued an individual contract with a token fee. **The Advisory Committee trusts that the guidelines concerning appointments on one-dollar-per-year contracts, pursuant to General Assembly resolution 67/255, will be issued without further delay. The Committee also wishes to point out that the services of such staff may not be entirely free to the Organization, when taking into consideration the requirements for staffing and administrative support, which should be taken into account when accepting such services.**

### Junior Professional Officers

136. In its recent review of cross-cutting matters relating to peacekeeping operations, the Advisory Committee discussed the matter of Junior Professional Officers and their deployment across peacekeeping missions (A/68/782, paras. 102-105). In particular, the Committee noted that the legislative basis for the engagement of such officers stemmed from resolution 849 (XXXII) of the Economic and Social Council on the use of volunteer workers in the operational programmes of the United Nations and related agencies designed to assist in the economic and social development of the less developed countries. The Committee was informed that, as at February 2014, 18 such officers were employed by the Department of Peacekeeping Operations and the Department of Field Support at Headquarters and an additional 9 posted to field missions. In addition, it was indicated that such officers were considered United Nations staff members, with contracts limited to the office to which they had been appointed, and were accordingly covered by the same rules and regulations applicable to United Nations staff holding fixed-term appointments (with some exceptions relating to entitlements).

137. The Advisory Committee was, upon request, provided with a list of 175 Junior Professional Officers deployed throughout the Secretariat as at October 2014. The Committee notes that the officers are deployed in all manner of United Nations activity across the full range of Secretariat offices and departments and not only in the economic and social arena, as envisaged in the original resolution that mandated their use.

138. In terms of the selection procedures, the Advisory Committee was informed that such officers — also known as associate experts — were recruited under bilateral agreements between the United Nations and donor countries. Candidates were usually shortlisted by the respective countries and forwarded to the Capacity Development Office in the Department of Economic and Social Affairs in order to verify that the candidates met the requirements of the specific positions. The hosting department was responsible for the final selection.

139. The Advisory Committee was also informed that, historically, such officers had received 200-series contracts and been considered project personnel. With the contractual reform coming into effect in 2009, they had been given fixed-term appointments limited to the department of deployment. Their appointments were normally from a minimum of two years up to a maximum of four years, depending on the donor country's policy. In addition, the Committee was informed that, although such officers continued to be considered external candidates when applying to Secretariat vacancies, slightly more than half of the individuals previously serving in that capacity had, according to preliminary data provided by the Department of Economic and Social Affairs, been able to find further career development in the Organization, including as consultants or on temporary appointments and also with United Nations agencies external to the Secretariat.

**140. In view of the now widespread deployment of Junior Professional Officers throughout the Organization, the Advisory Committee recommends that the General Assembly request the Secretary-General to report on their use in the context of his next report on human resources management and submit a proposal for ensuring an updated legislative basis for their deployment across the Secretariat. The Committee also recommends that the Secretary-General include details of the deployment of such officers, the departments to which**

**they are deployed, their functions and their nationalities in future composition reports.**

#### **Government-provided personnel**

141. The observations and recommendations of the Advisory Committee on the use and deployment of government-provided personnel to field missions are contained in its recent cross-cutting reports on peacekeeping operations ([A/67/780](#), paras. 64-70, and [A/68/782](#), paras. 96-101) and its report on civilian capacity in the aftermath of conflict ([A/68/784](#), paras. 34-40).

142. As indicated in previous reports of the Secretary-General and the Advisory Committee, the terms and conditions for the use of civilian personnel provided by Governments were approved by the General Assembly in its resolution 45/258. More recently, in paragraph 22 of its resolution 67/287, the Assembly noted that, while that modality was aimed at facilitating the rapid deployment of specialized capabilities for short-term requirements generally found only in national Governments, its use was not a substitute for staff. The Committee notes that the number of seconded government-provided personnel for each United Nations peacekeeping operation or special political mission is now set out in the budget proposals submitted for endorsement and approval by the Assembly.

143. The Advisory Committee recalls that such personnel do not hold a United Nations appointment and are not considered staff members; rather, they hold the legal status of experts on mission and are paid travel costs and mission subsistence allowance, while the providing Government or organization covers their salary ([A/68/782](#), para. 99).

144. The Advisory Committee was provided, upon request, with an updated list of the distribution of government-provided personnel across missions. As at 1 October 2014, 246 such personnel were deployed across 10 peacekeeping and special political missions, made up of 214 corrections personnel and 32 justice personnel. The Committee notes, however, that precise details of the specific functions and reporting lines in each case have not been provided for its review, various requests notwithstanding. The Committee recalls that, in the context of its most recent review of peacekeeping operations, it had noted an instance in which one of those personnel was performing political functions and had been provided by a regional organization, and, in another, the deployment had been specifically authorized by the Security Council (see *ibid.*, para. 97).

145. Since the sixty-seventh session of the General Assembly, the Secretary-General has repeatedly indicated his intention to issue guidance governing the recruitment of such personnel to ensure a clear and consistent approach within the Secretariat. Drafts have been provided to both the Advisory Committee and the Fifth Committee. Most recently, however, the Advisory Committee was informed, upon enquiry, that the guidelines were still undergoing interdepartmental consultations before issuance.

**146. The Advisory Committee continues to stress its belief that greater clarity is required in terms of the functions for which government-provided personnel may be appropriate and reiterates that proper reporting lines should be established for them, so as to ensure that they act in accordance with United Nations mandates. The Committee also reiterates its recommendation that the General Assembly request the Secretary-General to undertake a comprehensive review of all aspects relating to the engagement of government-provided**

personnel and submit it to the Assembly for its consideration at the seventieth session. Furthermore, the Committee reiterates its recommendation that the Secretary-General disseminate vacancy announcements seeking qualified applicants for such positions to all Member States (see [A/68/782](#), para. 101).

147. In addition, the Advisory Committee trusts that the consolidated list of all such personnel currently deployed across different missions and their respective functional titles and duty stations will be provided to the General Assembly at the time of its consideration of the reports on human resources management.

#### Other issues

148. The most recent report of the Secretary-General relating to the employment of gratis personnel, retired staff and consultants and individual contractors shows that the number of type I and type II gratis personnel engagements declined in the biennium 2012-2013 from the previous two bienniums ([A/69/292/Add.1](#), table 3). The Advisory Committee recalls that type I gratis personnel consist of interns, Junior Professional Officers or associate experts and technical cooperation experts on non-reimbursable loans. Pursuant to General Assembly resolution 51/243, type II gratis personnel are provided to the Organization by Governments or other entities and are accepted to provide expertise not available within the Organization for very specialized functions, and for a limited and specified period, or to provide temporary and urgent assistance in the case of new and/or expanded mandates to the Organization (*ibid.*, para. 3).

149. Upon request, the Advisory Committee was provided with a list of the type II personnel, most of whom had been recruited by the Office for the Coordination of Humanitarian Affairs under the Standby Partnerships Programme for specialist surge deployment purposes. **The Advisory Committee notes that the titles of some of those type II personnel, such as inter-agency gender advisers, would appear to go beyond the strict criteria envisaged for the engagement of such personnel. The Committee trusts that all efforts will be made to ensure strict compliance with the provisions of General Assembly resolution 51/243 in this regard. Further information and clarification on the use of the Standby Partnerships Programme and other modalities for the use of type II personnel should be included in the next composition report of the Secretary-General.**

150. The Advisory Committee also notes that the term “expert on mission” has been used to refer to personnel deployed on behalf of the Organization for a number of different functions and under various contractual arrangements. **In this connection, the Advisory Committee recommends that the General Assembly request the Secretary-General to include consolidated information on all “experts on mission” engaged by the Secretariat in his next composition report, along with their respective functions and contractual arrangements.**

151. Concerning the engagement of retirees in decision-making positions, the Advisory Committee notes examples in which retirees were recruited to senior Secretariat staff positions for close to a year<sup>7</sup> (*ibid.*, annex II, table 2.A). The

<sup>7</sup> For example, a Director (D-2) in the Department of Economic and Social Affairs for 214 days, a Director (D-1) in the Economic Commission for Latin America and the Caribbean for 272 days, a Coordinator (D-1) at the United Nations Office on Drugs and Crime for 365 days and a Principal Officer (D-1) in the Department of Management for 272 days.

Committee was informed, upon enquiry, that in such cases the recruitment processes for the positions being encumbered had not been finalized, yet it was important for the positions to be filled temporarily in view of the significance of the related functions. **The Advisory Committee stresses that the engagement of retirees in decision-making positions for lengthy periods is a reflection of poor succession planning. Every effort must be made to ensure that the recruitment for decision-making positions is properly planned, taking into consideration the existing recruitment timelines, and to limit the employment of retirees in such instances to the minimum.**

## VIII. Practice of the Secretary-General in disciplinary matters and possible criminal behaviour

152. The report on the practice of the Secretary-General in disciplinary matters and cases of possible criminal behaviour ([A/69/283](#)) was submitted in response to General Assembly resolution 59/287, in which the Assembly requested the Secretary-General to inform Member States on an annual basis about all actions taken in cases of established misconduct and/or criminal behaviour and the disciplinary action and, where appropriate, legal action taken in accordance with the established procedures and regulations. The report, which is the tenth such report and covers the period from 1 July 2013 to 30 June 2014, provides a broad overview of the administrative machinery in disciplinary matters, a summary of cases for which one or more disciplinary measures were imposed by the Secretary-General during the reporting period, comparative data reflecting the number of cases referred for action during the reporting period and the disposition of cases completed and information on the practice of the Secretary-General in cases of possible criminal behaviour.

153. The Advisory Committee has previously welcomed the provision of information contained in the case summaries as a means of providing enhanced understanding of the practice of the Secretary-General in disciplinary matters ([A/67/545](#), para. 151). During its deliberations, the Committee was informed that additional detail had been provided in the summaries to better explain some of the considerations in determining what measures to impose in a particular case. The Committee was also informed that that was a delicate task because it was important that the information provided did not breach the right to confidentiality of the staff members involved.

154. In section IV of his report, the Secretary-General includes data on the 115 cases completed during the reporting period ([A/69/283](#), table 2), which is the same number as in the previous reporting period. He states that 20 per cent of the cases handled were not pursued as disciplinary matters, which is consistent with the increasing trend over the past two reporting periods. He indicates that one explanation for the trend is that the United Nations Appeals Tribunal has judged that there must be clear and convincing evidence of the facts that support a disciplinary measure that could result in termination. That high evidentiary standard has reduced the proportion of cases pursued as disciplinary matters (*ibid.*, para. 59).

155. The report includes data on the number of appeals contesting disciplinary measures imposed since the introduction of the new system of administration of justice in 2009 and the status of those appeals before the United Nations Dispute

Tribunal and the United Nations Appeals Tribunal (*ibid.*, tables 3 and 4). The Secretary-General notes that a relatively small percentage of disciplinary measures have been appealed against since the inception of the new system and that the proportion of disciplinary measures appealed against by staff members has progressively declined (*ibid.*, para. 62).

156. Furthermore, the Secretary-General indicates that 140 cases were referred to the Office of Human Resources Management for possible disciplinary action during the reporting period, 76 per cent of which were related to staff in the field (*ibid.*, tables 5 and 6). The Advisory Committee notes that 131 cases were received during the previous reporting period, 72 per cent of which originated from the field (*ibid.*, para. 65). **The Advisory Committee intends to keep this matter under review.**

157. The Advisory Committee notes that a revised administrative instruction on investigations and the disciplinary process, drawn up with the goal of codifying certain matters relating to the investigatory process, has still not been finalized (*ibid.*, para. 6). In paragraph 22 of its resolution 68/252, the General Assembly had encouraged the swift finalization of that instruction. In his report, the Secretary-General indicates that the revision remains the subject of discussions between staff and management and is expected to be completed towards the end of 2014 or early in 2015 (*ibid.*, para. 17). **The Advisory Committee trusts that the revised administrative instruction on investigations and the disciplinary process will be issued without further delay as soon as the staff-management consultations have been conducted.**

158. Concerning efforts by the Organization to recoup losses resulting from the acts of current and former staff members, the Advisory Committee was informed, upon enquiry, that moneys might be recovered from the staff member's emoluments under the relevant administrative issuances and that the issuance of separation instruments might be delayed, with a concurrent delay in separation payments and pension, until the matter was resolved. It is indicated in the report that the revised administrative instruction will also elaborate on the procedures for recovery of losses to the Organization resulting from established misconduct (*ibid.*).

159. On a related matter, the Advisory Committee sought information on whether a suspected breach of confidentiality by a staff member would be considered misconduct and, if it would be, what the likely course of action would be. The Committee was informed that, under regulation 1.2 (i) of the Staff Regulations, staff members must protect confidential United Nations information and exercise the utmost discretion with regard to all matters of official business. Under rule 10.1 (a), failure by a staff member to comply with such obligations could amount to misconduct and could lead to the imposition of disciplinary measures.

## IX. Amendments to the Staff Rules

160. The report of the Secretary-General on amendments to the Staff Rules ([A/69/117](#)) contains the full text of those rules proposed for amendment, to become effective on 1 January 2015. The text of the amendments is presented with the proposed changes indicated.

161. The Advisory Committee notes that, aside from several amendments that are mainly technical in nature, some of the proposed amendments are put forward to



correct inconsistencies contained in the existing 100 series of staff rules stemming from past human resources reforms and/or legislative decisions, including the rationalization of contractual arrangements. For example, the proposal on staff rule 3.12 (a) is intended to align the eligibility of staff members who work on regularly scheduled night-time tours of duty for payment of a night differential with the conditions set out in the former 100 series. Similarly, it is proposed that appendix C to the Staff Rules relating to military service be amended to reflect the correct staff rule reference. In the case of staff rule 4.16 (b)(i), the amendment proposed is to delete the provision whereby appointments to posts at the P-3 level would normally be made through competitive examination, so as to reflect the decision taken by the General Assembly in its resolution 65/247 that positions at that level are to be advertised in the same manner as all other positions. In addition, some other amendments (to staff rules 3.19 (b) and 9.8 (d)) are proposed to ensure that the correct wording is reflected.

**162. In view of the importance of the Staff Rules in the hierarchy of norms governing the rights, entitlements and conduct of United Nations staff, the Advisory Committee stresses the need for the Secretary-General to ensure that they are accurate and complete, in particular in terms of reflecting the decisions of the General Assembly in a timely manner. The Committee concurs with the proposal of the Secretary-General that the Assembly take note of the amendments, taking into account the comments made above.**

## **X. Activities of the Ethics Office**

163. The ninth annual report of the Secretary-General on the activities of the Ethics Office ([A/69/332](#)), submitted in accordance with General Assembly resolution 60/254, provides an overview and assessment of the work programme of the Office from 1 August 2013 to 31 July 2014. During its consideration of the report, the Advisory Committee met representatives of the Secretary-General, who provided additional information and clarification, concluding with written responses received on 12 September 2014.

164. During the reporting period, the Ethics Office received 924 requests for its services, representing an increase of 120 requests, or 15 per cent, compared with the period from August 2012 to July 2013 (*ibid.*, figure I). It is recalled that a decline of 9 per cent in the number of requests received was noted in the previous period, from August 2011 to July 2012. Consequently, the number of requests in the most recent reporting period (from August 2013 to July 2014) represents an increase of 4 per cent over the number of requests received two years earlier. A breakdown of requests for services by location and entity is provided in figure II of the report.

165. In terms of the type of service request, it is indicated that the Ethics Office responds to requests regarding general ethics advice, the financial disclosure programme, protection against retaliation, training and outreach, standard-setting and policy support. The Office received 476 requests for advice. The Advisory Committee notes, however, the comment of the Office that it continues to experience an increase in requests that, upon further examination, constitute allegations of wrongdoing, even though it is not mandated to receive allegations of wrongdoing other than retaliation (*ibid.*, para. 14). In this connection, the Committee has previously commented on the need to ensure that the functions of the



various mechanisms for reporting misconduct and resolving grievances within the Organization do not overlap and that staff understand the respective roles of each mechanism ([A/65/537](#), para. 97). **In view of the continued receipt by the Ethics Office of allegations relating to cases of wrongdoing, the Advisory Committee recommends that additional efforts be undertaken by the Ethics Office, in collaboration with the Office of Internal Oversight Services and the Office of Human Resources Management, to clarify the reporting and advisory mechanisms relating to cases of alleged wrongdoing.**

166. In its previous review of the activities of the Ethics Office, the Advisory Committee supported the positive role played by the Office in the area of procurement ethics and, in particular, requested that future reports of the Office should contain additional detail concerning the advice provided on contractual oversight mechanisms for vendors of critical services ([A/68/523](#), para. 29). Details on the independent ethics advice provided by the Office on procurement-related matters are contained in paragraphs 15 to 17 of the most recent report. Efforts included advice provided to the Procurement Division on the reinstatement process with regard to 12 vendors and continued compliance monitorship for two critical service vendors supporting peacekeeping operations. In this connection, the Committee recalls that the General Assembly recently approved the establishment of a new post of Corporate Ethics and Compliance Officer (P-5), to be funded from the support account for peacekeeping operations from 1 July 2014 to 30 June 2015 (see resolution 68/283, annex I). The Committee was informed that recruitment therefor was under way and that it would strengthen the Office's advisory work on procurement-related matters. **The Advisory Committee welcomes the increased capacity of the Ethics Office and the support that it provides in the area of procurement ethics and looks forward to receiving information on the impact of the strengthened capacity in future reports of the Office.**

167. Information on the implementation of the financial disclosure programme administered by the Ethics Office is contained in part B of section III of the report. The Advisory Committee notes in particular that the programme covered 4,573 filers during the 2013 filing cycle, compared with 4,630 filers during the 2012 cycle. As at the closing of the 2013 cycle, the programme had achieved a compliance rate of 99.9 per cent, equivalent to the compliance rate for the 2012 filing cycle ([A/69/332](#), para. 20).

168. In terms of the voluntary public disclosure initiative open to senior officials at the level of Assistant Secretary-General and above, of the 153 senior officials eligible to participate in the 2013 exercise, 93 opted to publicly disclose a summary of their assets, liabilities and outside interests, while 40 publicly affirmed that they had completed their financial disclosure yet wished to maintain confidentiality for security, cultural or familial reasons. The remaining 20 officials include those who opted not to participate in the exercise or did not complete the procedures required for participation by the closing date. The Ethics Office confirmed that the 2013 participation rate was consistent with those of previous years (*ibid.*, para. 27). **The Advisory Committee trusts that the Secretary-General will continue to encourage senior officials who have not yet publicly disclosed a summary of their assets to do so in future cycles (see [A/68/523](#), para. 33, and [A/67/545](#), para. 166).**

169. According to the report, the programme's external reviews concluded that 172 filers had a total of 189 items or activities that required assessment for conflicts of interest, compared with 55 filers with 67 items in the 2012 filing cycle. The Ethics Office indicates that the increase may be due to the introduction of a revised conflict tracking and management methodology ([A/69/332](#), para. 24). Of the 189 items, 80 were related to financial holdings, 43 to outside activities and 66 to family relationships (*ibid.*, para. 24). In this connection, the Advisory Committee notes that, in paragraph 11 of its resolution 66/234, the General Assembly called upon the Secretary-General to propose measures to address personal conflicts of interest that might arise after termination of employment with the United Nations. It is stated in the report that further consideration of post-employment restrictions requires consultations with a number of Secretariat offices (*ibid.*, para. 32). **The Advisory Committee recommends that the General Assembly request the Secretary-General to finalize his consultations concerning post-employment restrictions and propose related measures without further delay.**

170. A review of the regulatory framework of the financial disclosure programme, requested by the General Assembly in its resolution 66/234, has been completed and details are contained in paragraphs 33 to 36 of the report, including information on its positive attributes and several areas of improvement. It is indicated that revisions to the current regulatory framework of the programme and its governing policy will be proposed following the completion of consultations within the Secretariat (*ibid.*, para. 36). **The Advisory Committee looks forward to receiving details concerning any proposed changes to the Organization's financial disclosure programme in future reports of the Ethics Office.**

171. In terms of the costs relating to the programme, the Advisory Committee was informed, upon enquiry, that the total costs for the 2013 filing cycle amounted to \$1,214,300, with a per filer unit cost of \$241 for filers funded from the regular budget and peacekeeping sources and \$314 for filers funded from extrabudgetary sources and/or cost-sharing arrangements in respect of non-Secretariat entities. In 2014, the total costs and per filer costs were expected to decline marginally. The Committee was also informed, however, that costs varied from one filing year to another depending on the terms and provisions of the contract in place with the vendor that provided external review services, the programme's information technology platform and the nature of the services provided in a particular cycle. Given that the contract with the existing vendor was subject to renegotiation and extension as from May 2015, the costs for 2015 might be subject to further variation. The Committee was further informed that the Ethics Office had a cost-recovery system in place for the extrabudgetary filers in order to cover applicable administrative costs, as agreed upon between the Secretariat and non-Secretariat entities.

172. With regard to the protection of staff against retaliation for reporting misconduct and for cooperating with duly authorized audits or investigations, it is indicated that during the reporting period the Ethics Office received 55 enquiries relating to the Organization's policy on protection against retaliation (see [ST/SGB/2005/21](#)). Of those, the Office initiated 19 preliminary reviews, of which 12 were completed and gave rise to findings of no prima facie case of retaliation, 2 were referred to the Office of Internal Oversight Services (OIOS) for investigation and 5 remained under preliminary review ([A/69/332](#), para. 40). In one of the referred cases, while OIOS determined that retaliation had not been established, the

Ethics Office advised the relevant head of office on appropriate measures to mitigate any future risk of retaliation. The second case referred to OIOS continued to be under investigation. Details concerning cases referred to OIOS in prior periods are contained in paragraphs 43 to 45 of the report.

173. It is stated in the report that, as with previous reporting cycles, most retaliation complaints described workplace conflicts and interpersonal disputes, meaning that the policy continued to be used primarily by staff as a labour dispute mechanism (*ibid.*, para. 47). For that reason, the Secretariat commissioned an external expert review of its protection against retaliation policy, which was completed in the 2013-2014 reporting cycle, and, as a consequence, a revised policy has been submitted for review by the Executive Office of the Secretary-General and proposed amendments to the related Secretary-General's bulletin are undergoing consultations. The Secretary-General indicates that the revised policy is intended to shift the focus towards promoting the reporting of misconduct that is harmful to the operations and interests of the United Nations (*ibid.*, para. 78). **The Advisory Committee looks forward to receiving details of the revised policy on protection against retaliation in its next review of the work of the Ethics Office.**

174. On the issue of ethics education, the Ethics Office reports that more than 28,000 staff members, including in excess of 16,000 in peacekeeping operations and special political missions, have participated in the one-hour leadership dialogue sessions launched in 2012-2013. It reports that the participation rate, encompassing two thirds of the staff population, and the positive feedback received reflect a significant desire among staff and managers to engage on important ethics issues. It has developed materials for the 2014 leadership dialogue, which will deal with how to treat one another with respect and tolerance. **The Advisory Committee continues to support all efforts to promote a culture of ethics across the Organization.**

175. The Secretary-General also stresses that the continued independence of the Ethics Office is one of its key strengths and distinguishing characteristics and cautions that any limitations to that independence would be likely to require a comprehensive reassessment of whether it can truly function in the fulfilment of its mandate (*ibid.*, para. 79). In this connection, the Advisory Committee recalls that the Office had previously expressed concern about the effect of judicial rulings on its ability to provide advice in confidence ([A/68/523](#), para. 41). **The Advisory Committee continues to support the independence of the Ethics Office and trusts that the Secretary-General will ensure that all efforts are made to maintain that independence.**

## Annex I

## Staffing timelines by department/office

Department/office	2011		2012		2013	
	Number of job openings published	Average calendar days for selection of candidate	Number of job openings published	Average calendar days for selection of candidate	Number of job openings published	Average calendar days for selection of candidate
CTED	2	198	10	170	5	158
DESA	40	268	95	289	71	218
DFS	76	278	36	245	50	261
DGACM	87	191	78	179	80	155
DM	199	197	206	211	168	182
DPA	72	268	62	186	38	195
DPI	61	210	64	190	48	247
DPKO	63	268	71	282	45	273
DSS	81	345	15	310	11	301
ECA	86	396	58	315	28	306
ECE	25	248	26	211	11	185
ECLAC	69	225	84	163	39	195
EOSG	1	255	–	–	–	–
ESCAP	70	204	55	224	63	218
ESCWA	45	167	56	135	14	170
Ethics Office	2	113	3	233	–	–
ISDR	–	–	4	216	10	205
OCHA	134	185	152	170	149	193
ODA	9	194	12	178	3	218
OHCHR	83	280	86	303	72	321
OHRLLS	–	–	–	–	1	440
OIOS	47	251	55	264	28	282
OLA	31	179	27	99	19	146
OSAA	–	–	3	415	1	175
OSRSG/CAAC	–	–	2	22	2	143
PBSO	6	377	4	229	4	148
UNCTAD	16	241	41	355	35	326
UNEP	83	236	112	256	136	237
UNFIP	2	113	–	–	–	–
UN-Habitat	13	185	24	220	42	249
UNODC	96	171	110	151	99	133
UNOG	106	182	101	187	80	152

<i>Department/office</i>	<i>2011</i>		<i>2012</i>		<i>2013</i>	
	<i>Number of job openings published</i>	<i>Average calendar days for selection of candidate</i>	<i>Number of job openings published</i>	<i>Average calendar days for selection of candidate</i>	<i>Number of job openings published</i>	<i>Average calendar days for selection of candidate</i>
UNOMS	3	219	7	216	6	203
UNON	40	194	37	199	65	257
UNOV	32	168	71	147	27	118
<b>Total</b>	<b>1 680</b>	<b>231<sup>a</sup></b>	<b>1 767</b>	<b>215<sup>a</sup></b>	<b>1 450</b>	<b>213<sup>a</sup></b>

*Abbreviations:* CTED, Counter-Terrorism Executive Directorate; DESA, Department of Economic and Social Affairs; DFS, Department of Field Support; DGACM, Department for General Assembly and Conference Management; DM, Department of Management; DPA, Department of Political Affairs; DPI, Department of Public Information; DPKO, Department of Peacekeeping Operations; DSS, Department of Safety and Security; ECA, Economic Commission for Africa; ECE, Economic Commission for Europe; ECLAC, Economic Commission for Latin America and the Caribbean; EOSG, Executive Office of the Secretary-General; ESCAP, Economic and Social Commission for Asia and the Pacific; ESCWA, Economic and Social Commission for Western Asia; ISDR, United Nations Office for Disaster Risk Reduction; OCHA, Office for the Coordination of Humanitarian Affairs; ODA, Office for Disarmament Affairs; OHCHR, Office of the United Nations High Commissioner for Human Rights; OHRLLS, Office of the High Representative for the Least Developed Countries, Landlocked Developing Countries and Small Island Developing States; OIOS, Office of Internal Oversight Services; OLA, Office of Legal Affairs; OSAA, Office of the Special Adviser on Africa; OSRSG/CAAC, Office of the Special Representative of the Secretary-General for Children and Armed Conflict; PBSO, Peacebuilding Support Office; UNCTAD, United Nations Conference on Trade and Development; UNEP, United Nations Environment Programme; UNFIP, United Nations Fund for International Partnerships; UN-Habitat, United Nations Human Settlements Programme; UNODC, United Nations Office on Drugs and Crime; UNOG, United Nations Office at Geneva, UNOMS, Office of the United Nations Ombudsman and Mediation Services; UNON, United Nations Office at Nairobi; UNOV, United Nations Office at Vienna.

<sup>a</sup> Weighted average calculation used to derive grand total of average calendar days for selection of candidate.

## Annex II

### Options and scenarios for reviewing the desirable ranges since 1988

<i>Document</i>	<i>Symbol</i>	<i>Options and scenarios</i>	<i>Outcome</i>
Report of the Secretary-General	<a href="#">A/C.5/46/2</a> (27 August 1991)	<ul style="list-style-type: none"> <li>Options for changing the relative weight of factors: membership, population and contribution</li> </ul>	No decision; establishment of a working group of the Fifth Committee (resolution 47/226 sect. A.1, para. 4).
Working Group of the Fifth Committee	<a href="#">A/C.5/48/45</a> (7 December 1993)	<ul style="list-style-type: none"> <li>Issues were raised by delegations during the debates (see <a href="#">A/C.5/48/45</a>, para. 5)</li> </ul>	“The Working Group found itself unable to agree on specific conclusions and recommendations” ( <a href="#">A/C.5/48/45</a> , para. 6).
Report of the Secretary-General	<a href="#">A/57/414</a> (17 September 2002, paras. 38-59)	<ul style="list-style-type: none"> <li>Options for changing the relative weight of factors: membership, population and contribution</li> </ul>	No decision can be found.
Report of the Secretary-General	<a href="#">A/58/767</a> (8 April 2004)	<ul style="list-style-type: none"> <li>Inclusion of troop contribution as a fourth factor in the calculation of desirable ranges (para. 23)</li> </ul>	No decision can be found.
Report of the Secretary-General	<a href="#">A/59/724</a> (4 March 2005)	<ul style="list-style-type: none"> <li>Changes in the weight of the three main factors</li> <li>Changing the number of posts in the base figure through the inclusion of new personnel categories</li> <li>Inclusion of weighted ranges based on the gross salary</li> </ul>	No decision can be found.
Report of the Secretary-General	<a href="#">A/65/305/Add.2</a> (2 September 2010)	<ul style="list-style-type: none"> <li>Variations of the relative weights of existing factors within the current base figure</li> <li>Changes in the number of posts in the base figure through the inclusion of new funding categories</li> <li>Application of a weighted system of ranges based on the gross salary</li> </ul>	Staff members would now retain geographical status when serving against a geographical post, except those recruited under the young professionals programme (resolution 65/247, para. 66).

<i>Document</i>	<i>Symbol</i>	<i>Options and scenarios</i>	<i>Outcome</i>
Report of the Secretary-General	<a href="#">A/67/324</a> (22 August 2012)	<p>Secretary-General sought guidance on the following issues:</p> <ul style="list-style-type: none"> <li>• The types of post and source of funding that should be included</li> <li>• Whether the weights of the factors should be amended</li> <li>• Whether the posts to be counted should be established for a minimum period</li> </ul>	Posts to be considered were those financed through the regular budget (resolution 67/255, para. 46).



## Annex III

### List of Under-Secretary-General and Assistant Secretary-General positions in the Secretariat as at 15 October 2014

<i>No.</i>	<i>Entity</i>	<i>Functional title</i>
Under-Secretary-General level		
1	Department for General Assembly and Conference Management	Under-Secretary-General
2	Department of Economic and Social Affairs	Special Adviser on Innovative Financing for Development
3	Department of Economic and Social Affairs	Special Envoy
4	Department of Economic and Social Affairs	Special Envoy
5	Department of Economic and Social Affairs	Special Envoy of the Secretary-General on Disaster Risk Reduction and Water
6	Department of Economic and Social Affairs	Special Envoy on Climate Change
7	Department of Economic and Social Affairs	Special Envoy on Climate Change
8	Department of Economic and Social Affairs	Special Envoy on Climate Change
9	Department of Economic and Social Affairs	Special Representative of the Secretary-General on Migration
10	Department of Economic and Social Affairs	Under-Secretary-General
11	Department of Field Support	Under-Secretary-General
12	Department of Management	Special Adviser to the Secretary-General
13	Department of Management	Under-Secretary-General for Management
14	Department of Peacekeeping Operations	Special Adviser to the Secretary-General for Community-based Medicine and Lessons from Haiti
15	Department of Peacekeeping Operations	Special Adviser to the Secretary-General on Cyprus
16	Department of Peacekeeping Operations	Special Representative
17	Department of Peacekeeping Operations	Under-Secretary-General
18	Department of Political Affairs	Personal Envoy of the Secretary-General for the talks between Greece and the former Yugoslav Republic of Macedonia
19	Department of Political Affairs	Personal Envoy of the Secretary-General for Western Sahara

<i>No.</i>	<i>Entity</i>	<i>Functional title</i>
20	Department of Political Affairs	Special Adviser
21	Department of Political Affairs	Special Adviser on Myanmar
22	Department of Political Affairs	Special Envoy
23	Department of Political Affairs	Special Envoy
24	Department of Political Affairs	Under-Secretary-General
25	Department of Safety and Security	Under-Secretary-General
26	Economic and Social Commission for Asia and the Pacific	Executive Secretary
27	Economic and Social Commission for Asia and the Pacific	Special Adviser
28	Economic and Social Commission for Western Asia	Executive Secretary
29	Economic Commission for Africa	Executive Secretary
30	Economic Commission for Europe	Executive Secretary
31	Economic Commission for Latin America and the Caribbean	Executive Secretary
32	Economic Commission for Latin America and the Caribbean	Special Adviser to the Secretary-General on Inter-regional Policy Cooperation
33	Executive Office of the Secretary-General	Chef de Cabinet
34	Executive Office of the Secretary-General	Deputy Secretary-General
35	Executive Office of the Secretary-General	Special Adviser to the Secretary-General
36	Executive Office of the Secretary-General	Special Envoy of the Secretary-General for Global Education
37	Executive Office of the Secretary-General	Special Envoy on Climate Change
38	International Criminal Tribunal for Rwanda	Prosecutor
39	International Tribunal for the Former Yugoslavia	Prosecutor
40	Joint Mission of the Organization for the Prohibition of Chemical Weapons and the United Nations for the Elimination of the Chemical Weapons Programme of the Syrian Arab Republic	Special Coordinator
41	Office for Disarmament Affairs	High Representative

<i>No.</i>	<i>Entity</i>	<i>Functional title</i>
42	Office for the Coordination of Humanitarian Affairs	Under-Secretary-General
43	Office of Internal Oversight Services	Under-Secretary-General
44	Office of Legal Affairs	Under-Secretary-General
45	Office of the High Representative for the Least Developed Countries, Landlocked Developing Countries and Small Island Developing States	High Representative for the Least Developed Countries, Landlocked Developing Countries and Small Island Developing States
46	Office of the Special Adviser on Africa	Special Adviser
47	Office of the Special Coordinator of the Secretary-General for Lebanon	Special Coordinator
48	Office of the Special Envoy for the Sudan and South Sudan	Special Envoy
49	Office of the Special Representative of the Secretary-General for Children and Armed Conflict	Special Representative
50	Office of the United Nations High Commissioner for Human Rights	High Commissioner
51	Office of the United Nations Special Coordinator for the Middle East Peace Process	Special Coordinator for the Middle East Peace Process and Personal Representative of the Secretary-General to the Palestine Liberation Organization and the Palestinian Authority
52	United Nations Assistance Mission for Iraq	Special Representative
53	United Nations Assistance Mission in Afghanistan	Special Representative
54	United Nations Assistance Mission in Somalia	Special Representative
55	United Nations Conference on Trade and Development	Secretary-General of the Conference
56	United Nations Environment Programme	Executive Director
57	United Nations Human Settlements Programme	Executive Director
58	United Nations Integrated Peacebuilding Office in Guinea-Bissau	Special Representative
59	United Nations Mission for Ebola Emergency Response	Special Envoy

<i>No.</i>	<i>Entity</i>	<i>Functional title</i>
60	United Nations Mission for Ebola Emergency Response	Special Representative
61	United Nations Mission in Liberia	Special Representative
62	United Nations Mission in South Sudan	Special Representative
63	United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic	Special Representative
64	United Nations Multidimensional Integrated Stabilization Mission in Mali	Special Representative
65	United Nations Office at Geneva	Director-General
66	United Nations Office at Nairobi	Director-General
67	United Nations Office at Vienna	Special Representative of the Secretary-General for Sustainable Energy for All
68	United Nations Office for West Africa	Special Representative
69	United Nations Office on Drugs and Crime	Director-General
70	United Nations Office on Sport for Development and Peace	Special Adviser
71	United Nations Operation in Côte d'Ivoire	Special Representative
72	United Nations Organization Stabilization Mission in the Democratic Republic of the Congo	Special Representative
73	United Nations Regional Office for Central Africa	Special Representative
74	United Nations Stabilization Mission in Haiti	Special Representative
75	United Nations Support Mission in Libya	Special Representative
Assistant Secretary-General level		
1	African Union-United Nations Hybrid Operation in Darfur	Deputy Joint Special Representative
2	African Union-United Nations Hybrid Operation in Darfur	Deputy Joint Special Representative
3	African Union-United Nations Hybrid Operation in Darfur	Force Commander
4	Counter-Terrorism Executive Directorate	Executive Director

<i>No.</i>	<i>Entity</i>	<i>Functional title</i>
5	Department for General Assembly and Conference Management	Assistant Secretary-General
6	Department of Economic and Social Affairs	Assistant Secretary-General for Policy Coordination and Inter-Agency Affairs
7	Department of Management	Assistant Secretary-General
8	Department of Management	Assistant Secretary-General
9	Department of Management	Assistant Secretary-General
10	Department of Management	Chief Information Technology Officer
11	Department of Management	Executive Director
12	Department of Management	President of the Staff-Management Committee
13	Department of Management	Umoja Senior Deployment Coordinator
14	Department of Peacekeeping Operations	Assistant Secretary-General
15	Department of Peacekeeping Operations	Assistant Secretary-General
16	Department of Peacekeeping Operations	Military Adviser
17	Department of Peacekeeping Operations	Special Adviser of the Secretary-General on the University for Peace
18	Department of Political Affairs	Assistant Secretary-General
19	Department of Political Affairs	Assistant Secretary-General for Peacebuilding Support
20	Department of Political Affairs	Deputy Special Envoy for Syria
21	Department of Political Affairs	Special Adviser
22	Department of Political Affairs	Special Adviser
23	Department of Political Affairs	Special Adviser for the Relocation of Camp Hurriya Residents Outside of Iraq
24	Department of Political Affairs	Special Adviser to the Secretary-General on Yemen
25	Department of Safety and Security	Assistant Secretary-General
26	Executive Office of the Secretary-General	Assistant Secretary-General
27	Executive Office of the Secretary-General	Special Adviser on Post-2015 Development Planning
28	Executive Office of the Secretary-General	Special Envoy for Malaria

<i>No.</i>	<i>Entity</i>	<i>Functional title</i>
29	International Criminal Tribunal for Rwanda	Registrar
30	International Tribunal for the Former Yugoslavia	Registrar
31	Office for the Coordination of Humanitarian Affairs	Assistant Secretary-General
32	Office for the Coordination of Humanitarian Affairs	Assistant Secretary-General for Humanitarian Affairs and Deputy Emergency Relief Coordinator
33	Office for the Coordination of Humanitarian Affairs	Humanitarian Envoy
34	Office for the Coordination of Humanitarian Affairs	Senior Coordinator
35	Office of Internal Oversight Services	Assistant Secretary-General
36	Office of Legal Affairs	Assistant Secretary-General
37	Office of Legal Affairs	Registrar of the Special Court for Sierra Leone
38	Office of Legal Affairs	Registrar of the Special Tribunal for Lebanon
39	Office of the Special Coordinator of the Secretary-General for Lebanon	Deputy Special Coordinator
40	Office of the Special Envoy of the Secretary-General for the Sahel	Special Envoy
41	Office of the United Nations High Commissioner for Human Rights	Assistant Secretary-General
42	Office of the United Nations High Commissioner for Human Rights	Deputy High Commissioner
43	Office of the United Nations Special Coordinator in the Occupied Territories	Deputy Special Coordinator
44	United Nation Operation in Côte d'Ivoire	Deputy Special Representative
45	United Nations Assistance Mission for Iraq	Deputy Special Representative
46	United Nations Assistance Mission for Iraq	Deputy Special Representative
47	United Nations Assistance Mission in Afghanistan	Deputy Special Representative
48	United Nations Assistance Mission in Afghanistan	Deputy Special Representative

<i>No.</i>	<i>Entity</i>	<i>Functional title</i>
49	United Nations Assistance Mission in Somalia	Deputy Special Representative
50	United Nations Assistance Mission in Somalia	Deputy Special Representative
51	United Nations Conference on Trade and Development	Deputy Secretary-General of the Conference
52	United Nations Disengagement Observer Force	Force Commander
53	United Nations Environment Programme	Deputy Executive Director
54	United Nations Environment Programme	Executive Secretary of the Convention on Biological Diversity
55	United Nations Human Settlements Programme	Deputy Executive Director
56	United Nations Interim Administration Mission in Kosovo	Special Representative
57	United Nations Interim Force in Lebanon	Force Commander
58	United Nations Mission for Ebola Emergency Response	Ebola Crisis Manager for Guinea
59	United Nations Mission for Ebola Emergency Response	Ebola Crisis Manager for Liberia
60	United Nations Mission for Ebola Emergency Response	Ebola Crisis Manager for Sierra Leone
61	United Nations Mission for the Referendum in Western Sahara	Special Representative
62	United Nations Mission in Liberia	Deputy Special Representative
63	United Nations Mission in Liberia	Deputy Special Representative
64	United Nations Mission in Liberia	Deputy Special Representative
65	United Nations Mission in South Sudan	Deputy Special Representative
66	United Nations Mission in South Sudan	Deputy Special Representative
67	United Nations Mission in South Sudan	Force Commander
68	United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic	Deputy Special Representative
69	United Nations Multidimensional Integrated Stabilization Mission in Mali	Deputy Special Representative



<i>No.</i>	<i>Entity</i>	<i>Functional title</i>
70	United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic	Deputy Special Representative
71	United Nations Multidimensional Integrated Stabilization Mission in Mali	Deputy Special Representative
72	United Nations Multidimensional Integrated Stabilization Mission in Mali	Force Commander
73	United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic	Force Commander
74	United Nations Office in Burundi	Special Representative
75	United Nations Office of the Ombudsman and Mediation Services	Assistant Secretary-General
76	United Nations Operation in Côte d'Ivoire	Deputy Special Representative
77	United Nations Organization Stabilization Mission in the Democratic Republic of the Congo	Deputy Special Representative
78	United Nations Organization Stabilization Mission in the Democratic Republic of the Congo	Deputy Special Representative
79	United Nations Organization Stabilization Mission in the Democratic Republic of the Congo	Force Commander
80	United Nations Peacekeeping Force in Cyprus	Special Representative
81	United Nations Regional Centre for Preventive Diplomacy for Central Asia	Special Representative
82	United Nations Representative to the Geneva International Discussions	Assistant Secretary-General
83	United Nations Stabilization Mission in Haiti	Deputy Special Representative
84	United Nations Stabilization Mission in Haiti	Deputy Special Representative
85	United Nations Support Mission in Libya	Deputy Special Representative
86	United Nations Truce Supervision Organization	Chief of Staff

## Annex IV

**Percentage change from 2009 to 2013 in the number of staff above the D-2 level and all staff with contracts of one year or more**

<i>Entity</i>	<i>Under-Secretary-General/Assistant Secretary-General</i>	<i>All staff</i>
	<i>2009-2013</i>	<i>2009-2013</i>
FAO	-20.0	-5.2
IAEA	-12.5	6.5
ICAO	-50.0	0.7
ICJ	-100.0	7.6
ICSC	-100.0	2.4
IFAD	100.0	0.2
ILO	-25.0	-4.3
IMO	—	-6.0
ITC	—	17.4
ITC/ILO	—	-2.2
ITU	—	0.1
PAHO <sup>a</sup>	—	10.5
UNAIDS	—	79.0
UNDP	-35.7	6.2
UNESCO	18.2	-3.0
UNFCCC <sup>b</sup>	—	8.5
UNFPA	—	16.7
UNHCR	33.3	22.1
UNICC <sup>b</sup>	—	5.4
UNICEF	—	27.3
UNIDO	—	-13.1
UNITAR	—	-10.9
United Nations	21.1	-10.4
UNJSPF	—	8.2
UNOPS	100.0	7.6
UNRWA	—	20.9
UNSSC <sup>b</sup>	—	—
UNU	100.0	9.8
UN-Women <sup>c</sup>	—	53.8
UNWTO	300.0	1.1
UPU	—	-0.5
WFP	40.0	4.5

Entity	Under-Secretary-General/Assistant Secretary-General	All staff
	2009-2013	2009-2013
WHO	-25.0	-2.8
WIPO	—	3.7
WMO	—	-2.1

Source: 2009 data, [CEB/2010/HLCM/HR/24](#), tables 1A and 3A; 2010 data, [CEB/2011/HLCM/HR/13](#), tables 1A and 3A; 2011 data, [CEB/2012/HLCM/HR/16](#), tables 1A and 3A; 2012 data, [CEB/2013/HLCM/HR/12](#), tables 1A and 3A; 2013 data, [CEB/2014/HLCM/HR/21](#), tables 1A and 3A.

Abbreviations: FAO, Food and Agriculture Organization of the United Nations; IAEA, International Atomic Energy Agency; ICAO, International Civil Aviation Organization; ICJ, International Court of Justice; ICSC, International Civil Service Commission; IFAD, International Fund for Agricultural Development; ILO, International Labour Organization; IMO, International Maritime Organization; ITC, International Trade Centre; ITC/ILO, International Training Centre of the International Labour Organization; ITU, International Telecommunication Union; PAHO, Pan American Health Organization; UNAIDS, Joint United Nations Programme on HIV/AIDS; UNDP, United Nations Development Programme; UNESCO, United Nations Educational, Scientific and Cultural Organization; UNFCCC, United Nations Framework Convention on Climate Change; UNFPA, United Nations Population Fund; UNHCR, Office of the United Nations High Commissioner for Refugees; UNICC, United Nations International Computing Centre; UNICEF, United Nations Children's Fund; UNIDO, United Nations Industrial Development Organization; UNITAR, United Nations Institute for Training and Research; UNJSPF, United Nations Joint Staff Pension Fund; UNOPS, United Nations Office for Project Services; UNRWA, United Nations Relief and Works Agency for Palestine Refugees in the Near East; UNSCC, United Nations System Staff College; UNU, United Nations University; UN-Women, United Nations Entity for Gender Equality and the Empowerment of Women; UNWTO, World Tourism Organization; UPU, Universal Postal Union; WFP, World Food Programme; WHO, World Health Organization; WIPO, World Intellectual Property Organization; WMO, World Meteorological Organization.

<sup>a</sup> No staff recorded in 2009, thus the first year-on-year percentage is listed in 2011.

Accordingly, the overall percentage is based on the period 2010-2013.

<sup>b</sup> No staff recorded in 2009-2010, thus the first year-on-year percentage is listed in 2012.

Accordingly, the overall percentage is based on the period 2011-2013.

<sup>c</sup> No data available for 2009 and 2010, thus the first year-on-year percentage is listed in 2012.

Accordingly, the overall percentage is based on the period 2011-2013.