

DM



Note to the Deputy Secretary-General

Senior Manager's Compact 2011

I am pleased to submit a revised template for the Senior Manager's Compact 2011, as requested by the Management Performance Board at its meeting on 17 September 2010. The revised template, which reflects the Board's guidance to make the compact a more strategic and streamlined instrument of accountability, captures comments and suggestions made by senior managers at a meeting on 7 October, where I presented a proposed template that was closely aligned with the definition of accountability provided by Member States in resolution 64/259. Please find attached a summary of the 7 October discussion as well as a summary of written correspondence I received from several senior managers.

The format reflects the following core elements from the definition of accountability:

- Achieving objectives and high-quality results,
- Responsible stewardship of resources,
- Implementation of oversight body recommendations,
- Compliance with regulations and rules, and
- Compliance with ethical standards.

By strictly adhering to the definition of accountability provided by Member States, this format will provide the Management Performance Board a basis on which to keep the compact at a strategic level.

Given the short lead time between now and the Board's December meeting, when the draft compacts for 2011 will be reviewed, I recommend that you send the revised template, along with the two summary documents, to the Board members electronically and ask them to approve the template or provide suggested edits by Friday, 29 October 2010.


for Angela Kane
26 October 2010



Summary of Discussion

Meeting regarding Senior Manager's Compact Template for 2011 7 October 2010

The Under-Secretary-General for Management, Angela Kane, opened the discussion by explaining that the Management Performance Board would like the senior manager's compact to be streamlined and made more strategic and has asked her to take the lead, in close consultation with the other senior managers, in revising it for 2011. As a starting point for revamping the template, the Department of Management (DM) used the definition of accountability provided by the General Assembly in a recent resolution. The intention is for each section of the compact to correspond directly to a component of the definition. Ms. Kane then walked the participants through the proposed changes.

In the discussion that followed, senior managers welcomed the initiative to streamline the compact and make it a more strategic managerial tool. However, participants voiced two main concerns.

- The section entitled "Challenges and constraints", which is found in the 2010 and previous compacts, should not be deleted, as proposed by DM in response to the General Assembly's definition of accountability. Participants explained that without some sort of exemption clause, there could be problems, especially when considering the political and resource issues that can impact the achievement of stated objectives.
- Senior managers also took issue with a proposed new section entitled "Ethical Leadership". Participants suggested that leadership be defined more broadly, possibly including client feedback regarding leadership in implementing mandates. One participant questioned the utility of assessing ethical leadership.

Participants also raised the following issues:

- The difficulty in taking a "one size fits all" approach to the standard managerial indicators, especially for small offices;
- The difficulty they sometimes face when negotiating department-specific human resource-related benchmarks and targets;
- The difficulty that Offices away from Headquarters sometimes face due to factors such as staff access to the Internet;
- The need to reconcile accountability and authority, in particular the accountability challenges posed by dual reporting lines as well as the lack of authority to manage certain types of funds;
- A proposal to move the objective related to work-life balance and flexible working arrangements from the compact to the Human Resources Management Scorecard; and
- A proposal for the section on the implementation of oversight body recommendations to include a target to encourage a more coordinated departmental approach to monitoring implementation as well as a target related to addressing recurrent issues raised by oversight bodies.

Summary of correspondence received regarding 2011 Compact template

In a memo dated 8 October 2010, Mr. Choi Soon-hong wrote to Ms. Angela Kane requesting that the following ICT-related objective --“To ensure the responsible management of ICT resources”-- be included in the 2011 compact template under Section B (“Responsible Stewardship of Resources”).

Mr. Choi asked the MPB to note that “ICT is a critical instrument for the overall effective and efficient operations of the Secretariat and that a considerable amount of ICT resources are deployed among many Secretariat entities. As such, departments and offices need to support, on an ongoing basis, the Secretariat-wide ICT strategy and goals. This is similar to the requirement and related objectives for finance and human resources administration”.

DM’s recommendation: The definition of accountability does not include a specific reference to ICT, and DM does not recommend adding it, as this would open the window for additional one-off requests from individual senior managers or offices. However, given that the Secretary-General considers ICT a high priority for 2011, the Management Performance Board might wish to consider including the ICT objective as a “Special objective” in Section A of the template. Listing it as a special objective would highlight its importance in 2011 but not build it into the permanent structure of the template.

In an email message dated 22 October 2010, Mr. Shaaban M. Shaaban wrote to Ms. Angela Kane noting that the summary of the 7 October 2010 meeting of senior managers regarding the 2011 compact template did not accurately reflect his comments at the meeting. He noted the omission of comments related to the following three topics: (1) timely compliance of document submission, which he would like to have reinstated in the compact template; (2) the deletion of section F (“Contribution to the broader interests of the UN”), a much shorter version of which appears in the introductory statement of the 2011 template; and (3) compliance with mandatory training courses for some 300 temporary staff of DGACM.

DM’s recommendation: (1) The definition of accountability does not include a specific reference to compliance with document submission, and DM does not recommend creating a special section for this, as doing so would detract from the compact’s strategic focus and could open the window for additional one-off requests from individual senior managers or offices. (2) The definition of accountability does not include a specific reference to contributing to the broader interests of the UN; therefore, DM proposed a shorter version in the introductory statement at the beginning of the compact as a reminder of this duty shared by all senior managers. (3) The decision regarding which staff are required to take mandatory security training should be made in the context of the Human Resources Management Scorecard, which is cross-referenced in the 2011 compact template, rather than in the discussion about the compact template.

In an email dated 25 October 2010, DPKO and DFS made the following suggestions: (1) Reinstate the section entitled “Contributions to the Broader Interests of the United Nations”, which is more comprehensive than the shortened version currently proposed in the introductory statement. (2) The financial management indicators should focus on timely and well-justified budget submissions rather than on deadlines. (3) The human resources objectives should not include elements from the Human Resources Management Scorecard. (4) The human resources objectives should spell out the elements of Administration of Justice so that senior managers clearly understand what they will be held accountable for.

DM’s recommendation: (1) The definition of accountability does not include a specific reference to contributing to the broader interests of the UN; therefore, DM proposed a shorter version in the introductory statement at the beginning of the compact as a reminder of this duty shared by all senior managers. (2) The proposed financial management indicators include timely and well-justified budget submissions as well as indicators that capture how well funds are being managed. (3) The compact references the human resources management scorecard indicators that will be monitored by the Management Performance Board (a subset of the full list of indicators in the Scorecard) in order for senior managers to know what they will be held accountable for in the compact context. (4) The indicator related to the internal justice system is still being developed and will be communicated to senior managers when finalized.

In an email to Ms. Angela Kane dated 6 October 2010, Ms. Valerie Amos noted, “Beyond the compact document itself, increased accountability could be **well** served through organized but informal discussions at key junctures in the process”, for example, by having the Secretary-General and his senior managers discuss the content of the compacts prior to signature and then holding mid-point reviews of progress. She also recommended having discussions among USGs when objectives require collaboration across departments.

DM recommendation: DM defers to the EOSG regarding these recommendations, which would require more direct and active participation by the Secretary-General.

SENIOR MANAGER'S COMPACT 2011

I, NAME AND TITLE commit to achieve the objectives detailed below, for which the Secretary-General will hold me accountable. I, in turn, will ensure that these objectives are reflected in the work plans and performance assessments of my staff at all levels. In addition, I will contribute to the broader interests of the United Nations, participate fully in the shared responsibilities of senior management, and actively contribute to the Secretariat's decision-making and information-sharing committees.

A. ACHIEVING OBJECTIVES AND HIGH-QUALITY RESULTS

In addition to the programme objectives contained in section(s) X of the Programme Budget 2010-2011 and section(s) Y of the ZZZ (e.g., Support Account) budget, the following represent my highest-priority objectives for this year.

Programmatic Objectives	Expected accomplishment	Performance measure

Special Objectives	Expected accomplishment	Performance measure
To move the Secretariat towards climate-neutrality.	A reduction in greenhouse gas emissions from UN operations.	Concrete action that contributes to the Secretary-General's climate-neutrality goal.
To encourage work-life balance and increase productivity by implementing Flexible Working Arrangements (FWA). This objective will be moved to the Human Resources Management Scorecard.	Staff is adequately informed of the existing FWA options, as outlined in ST/SGB/2003/4.	Implementation of departmental FWA action plan.

C. IMPLEMENTATION OF OVERSIGHT BODY RECOMMENDATIONS

Objective	Expected accomplishment	Performance measure
Implementation of oversight body recommendations that have been accepted by the department.	Appropriate timeframes established for implementation.	90% of outstanding recommendations have target dates.
	Timely implementation of recommendations.	80% of recommendations targeted for implementation during the year are implemented by the end of the year.

D. COMPLIANCE WITH REGULATIONS AND RULES

I undertake to exercise authority delegated to me in compliance with regulations, rules and all relevant policies and guidelines, including appropriate monitoring of staff working under my supervision to whom such authority may be further delegated.

E. COMPLIANCE WITH ETHICAL STANDARDS

Objective	Expected accomplishment	Performance measure
To shape, guide and support the Organization's commitment to an ethical culture.	Programme managers internalize their ethical rights, duties and obligations.	Successful completion of the Ethical Behavior Self-Assessment Survey.***

***In addition to the performance measure above, each year selected staff of ten senior managers will be surveyed to gauge their perception of the senior manager's ethical behavior. These ten senior managers will then receive individual feedback by the Ethics Office on the results of the two surveys.

F. RISK FACTORS

I will proactively manage risks that threaten the achievement of the objectives contained in this Compact. However, achievement of these objectives could be affected by external factors beyond my control.

G. CONTRIBUTION TO THE BROADER INTERESTS OF THE UNITED NATIONS

In addition to the specific objectives and accomplishments referred to above, it is understood that a key element of my responsibilities is to contribute to the broader interests of the United Nations. In this regard I will ensure that I participate fully in the shared responsibilities of senior management such as advocacy of the United Nations values and policies; promotion of the United Nations image, public diplomacy, and image perception; support for organizational objectives such as management reform and gender mainstreaming, and

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~~that I will actively contribute to the Secretariat's decision-making and information-sharing committees.~~

G. SIGNATURES

I acknowledge the objectives stated above and undertake to plan, monitor and implement them as well as fully discharge my other responsibilities as a senior manager of the United Nations.

Signature:	
Name and title:	Date:

I endorse the objectives and priorities stated in this compact.

Signature:	
BAN Ki-moon, Secretary-General	Date: