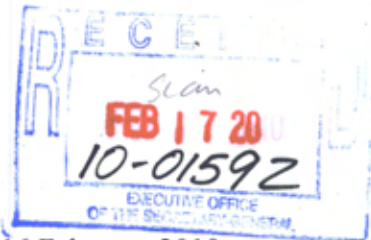


For advise/info - RR
For info - PoA

DM

United Nations  Nations Unies
INTEROFFICE MEMORANDUM MEMORANDUM INTERIEUR



TO: Ms. Angela Kane
A: Under-Secretary-General for Management

DATE: 16 February 2010

REFERENCE:

THROUGH:

S/C DE:

FROM: Alain Le Roy *A. L. Roy*
DE: Under-Secretary-General for Peacekeeping Operations

SUBJECT: 2009 Senior Manager's Compact - Performance Assessment ✓
OBJET:

1. Please find a draft of my 2009 Performance Assessment (Parts I and II) for review by the Management Performance Board before its submission to the Secretary-General.
2. I understand that the Department of Management is currently consolidating centrally managed data on the achievement of management-related performance measures in Part II and that once the information is available the performance assessment will be returned to me for verification. I will take that opportunity to explain any management targets not met and remedial action taken or planned.

Thank you.

cc: Ms. Migiro
Ms. Malcorra

RECEIVED

FEB 17 2010

Senior Manager's Compact 2009: Review of Performance

Department of Peacekeeping Operations

A. Department's overall self evaluation

1. Significant achievements

Operations: Provided strategic direction and day-to-day operational guidance and support to 18 field operations, comprising approximately 119,000 UN peacekeepers, the majority of which have complex multi-dimensional mandates. Achievements included: build up of the UN-AU hybrid mission in Darfur, reaching 80% of full deployment; assumption of full peacekeeping functions in Chad/CAR, following the transfer of authority by the European Union force on 15 March; withdrawal of the observer mission in Georgia in August; completion of the peacekeeping mandate in Burundi, and facilitation of a smooth transition to the integrated peacebuilding support office, led by the Department of Political Affairs; reconfiguration of the mission in Kosovo to support political and security priorities identified by the Security Council; support to national authorities in Haiti to respond to the hurricanes of September 2008, and the promotion of early recovery and reconstruction; support to the elections in Afghanistan; and, continued efforts to address the crisis in the Democratic Republic of Congo, especially the protection of civilians.

Medium-term plan: At the same time, DPKO and DFS continued to pursue consultations with Member States, field missions and other key stakeholders on a comprehensive agenda ("A New Partnership Agenda: Charting the New Horizon for UN Peacekeeping") and priorities for improving the effectiveness of UN peacekeeping. As part of that process, DPKO and DFS made progress on the implementation of departmental commitments, including: an assessment of Member State priority information requirements and support to the more systematic engagement of troop and police-contributing countries in advance of mission mandate decision-making; briefings to Member States on the parameters and findings of Technical Assessment Missions; development of field-driven mission-specific benchmarks; and, strategy development for building and sustaining critical peacekeeping capacities.

2. Explanation for targets not met

Please limit your response to 1,250 characters (approximately 200 words).

[Completion of this section is pending DM feedback on management targets not met.]

Timely submission of documents: Contributing factors included rapidly changing developments in the field, which resulted in the need to rewrite reports or elements thereof.

Implementation of oversight body recommendations: A significant number of the recommendations made relate to complex policy matters, which take time to implement. Furthermore, many of the recommendations relate to audits that were conducted shortly before the review period.

3. Remedial action taken or planned

Please limit your response to 1,250 characters (approximately 200 words).

Timely submission of documents: Additional consultation requirements instituted as part of the New Horizons process have made early finalization of reports to the Security Council more pressing. A study is underway to identify possibilities for improving reporting and making relevant recommendations to the Security Council, as well as Troop and Police Contributing Countries, based on consultations with member states and other relevant partners.

B. Senior Manager's programme priorities

Key: For Performance (Perf)		S = Satisfactory	P = Partially achieved	N = Target not met
Expected accomplishment		Performance measure		Perf
Objective	To direct 18 peace operations and avoid catastrophic setbacks in the peace processes at most risk.			
Successful mandate implementation by peacekeeping operations and special political missions managed by DPKO.		<p><u>Target:</u> Major benchmarks for 2009, as defined in and mandated by Security Council resolutions, are met for the peace processes at most risk.</p> <p><u>Actual:</u> Overall, progress was reported on over 80% of specific benchmarks mandated by the Security Council. Important achievements included: building the capacity of the new Armed Forces of Liberia, to the point that further development will now be taken on by the Government; completing the process of voter registration and identification in Côte d'Ivoire; beginning the transfer of policing responsibilities to national authorities in Timor Leste; disarming and demobilizing former combatants in Sudan; building governance and civil society capacity in the Democratic Republic of Congo (DRC); delivering the UN Consolidation Plan in Haiti; and, facilitating the return of Lebanese troops to Southern Lebanon for the first time since 2006.</p> <p>Several peace processes faced political setbacks, such as the delay of elections in Côte d'Ivoire, the stalled regional peace process between Chad and Sudan; and, slow progress in building the justice and corrections sectors in Liberia. Risks and challenges were reported to the Security Council in a timely manner.</p> <p>Benchmarks and detailed indicators are being systematically developed to aid the Council in the effective monitoring of peace processes at risk. In 2009, new benchmark frameworks were presented for 6 missions (MINURCAT, MINUSTAH, UNAMID, UNOCI, UNMIS and UNMIT). [P]</p> <p><u>Target:</u> Timely responses of the Organization to major threats to mandate implementation.</p> <p><u>Actual:</u> In 2009, DPKO continued to respond promptly to threats to mandate implementation, notably in the DRC, by deploying surge capacity to strengthen MONUC, and working with the mission to enhance protection of civilians while continuing to support the DRC Armed Forces in line with the mandate. [S]</p>		
Objective	To ensure that DPKO and DFS work together seamlessly, and optimize the use of additional resources.			

<p>Improved planning, enhanced rapid deployment, and strengthened support for peacekeeping operations and special political missions under the responsibility of DPKO, in addition to the more effective, efficient and transparent use of resources to implement legislative mandates.</p>	<p><u>Target:</u> Completion of the implementation plan for the strengthening of the Office of Military Affairs (OMA).</p> <p><u>Actual:</u> The recruitment of candidates for all 45 positions approved for OMA strengthening was completed towards the end of 2009. Early achievements include the establishment of: a Policy and Doctrine Team and an Assessment Team to strengthen the direction and oversight of peacekeeping operations; a nucleus of military headquarters capable of deploying to missions for limited mission start-up, surge or crisis response; an Operational Advisory Team to assist Troop Contributing Countries prepare for deployment to specific peacekeeping operations, with assistance already provided to Bangladesh, Egypt and the Philippines; and, a dedicated Future Planning Team to conduct limited naval and air operations planning, and to develop planning tools.</p> <p><u>Target:</u> Integrated Operational Teams (IOTs) are fully functional and serve as the principal entry points for political, as well as integrated planning and operational issues managed by DPKO.</p> <p><u>Actual:</u> All IOTs reached full functionality in 2009. Based on a follow-up evaluation by DPKO/DFS, work is ongoing to further develop the IOTs' capability, to ensure that all stakeholders understand their respective roles and responsibilities and that allocated resources are flexibly and efficiently managed. [P]</p> <p><u>Target:</u> DPKO and DFS integration mechanisms at the leadership and senior management levels remain in place; and together, they establish and deliver on prioritized programmes of work.</p> <p><u>Actual:</u> The DPKO/DFS Senior Management Team (SMT), Expanded Senior Management Team (ESMT) and Directors' Meetings remained in place and addressed priority issues, including: Integrated Operational Teams, evaluations of Headquarters and field operations, Rule of Law Standing Capacities (SMT) and policies for Joint Operations Centres and Joint Mission Analysis Centres in peacekeeping operations; the New Horizon's Agenda, evolving peacekeeping concepts, such as the protection of civilians, robust peacekeeping, Field Mission Start-up Guide, business continuity and business process improvement (ESMT); and, daily operational developments requiring information sharing and decision-making (Directors' Meetings). [S]</p>	
<p>Objective</p>	<p>To improve strategic planning and advance reform of United Nations peacekeeping to meet the evolving challenges of international peace and security.</p>	

Comprehensive assessment of medium-term challenges and opportunities for United Nations peacekeeping.		<p>Target: Medium-term plan for UN peacekeeping with goals and performance measures, building on the <i>Peace Operations 2010</i> Plan of Action.</p> <p>Actual: Building on the report of the Brahimi Panel and closing the Peace Operations 2010 Plan of Action, a New Partnership Agenda: Charting the New Horizon for UN Peacekeeping for the medium-term was initiated in July 2009. An initial implementation plan was developed in consultation with Member States, including the areas of policy development, capability development, support strategy and planning and oversight. The priority agenda is subject to periodic review and adjustment, based on evolving discussions with Member States and other key partners. [S]</p>	
Objective	To support the Department of Safety and Security in promoting a culture of safety and security in all field operations		
Strengthened safety and security of United Nations personnel and premises.		<p>Target: DPKO concerns are fully reflected in security-related policies developed or revised during 2009, as part of the Recommendations of the Independent Panel on Safety and Security of United Nations Personnel and Premises.</p> <p>Actual: Achieved. Policies on Security Threat Levels, Security Risk Management Model, the Appointment of Designated Officials <i>ad interim</i> and Pre-deployment Training for Designated Officials reflected DPKO concerns, as did policies in final draft on estate safety and security, security threat level, which are due to be approved by the Chief Executives Board on 9 April 2010. [S]</p>	

C. Department's programme objectives per approved programme budget

These results will be reported through the 2008-2009 Programme Performance Report.

D. Other Mandates (delete if not applicable)

Key: For Performance (Perf)		S = Satisfactory	P = Partially achieved	N = Target not met
Expected accomplishment		Performance measure		Perf
Objective	To ensure that deployed and planned peacekeeping operations and special political missions managed by DPKO have the political, financial and material support to successfully implement their mandates.			

<p>Provision of timely, informed advice and recommendations on issues related to peacekeeping to: the Secretary-General; Security Council, General Assembly other intergovernmental bodies; and troop, police, and other contributing countries.</p>	<p><u>Target:</u> Security Council resolutions incorporate recommendations to establish new, or adjust mandates of existing, peacekeeping operations.</p> <p><u>Actual:</u> 8 (MINURCAT 1861; UNOCI 1865; UNOMIG SCR 1866; UNMIT SCR 1867; UNMIS SCR 1870; UNFICYP SCR 1873; UNMIL SCR 1885; MONUC SCR 1906) plus 2 resolutions endorsing recommendations on the approach for Somalia, SCR 1863 and 1872.</p> <p><u>Target:</u> Approval by the General Assembly of resource proposals for peacekeeping operations and special political missions managed by DPKO.</p> <p><u>Actual:</u> Of the \$US 8b requested in the 2009/2010 budget for 16 peacekeeping operations (UNMIT, MONUC, UNMIK, UNFICYP, MINUSTAH, UNOMIG, UNOCI, UNIFIL, UNMIL, MINURSO, UNDOF, UNMIS, UNAMID, MINURCAT, UNSOA, UNLB), \$7.5b was approved by the General Assembly.</p> <p>Of the 2010 total amount of \$599m submitted to the General Assembly for the budgets of 27 Special Political Missions (of which DPKO manages 2 special political missions: BINUB, UNAMA), \$569m (95%) was approved. [S]</p>	
<p>Objective</p>	<p>Effective and efficient direction and support to peacekeeping operations and special political missions managed by DPKO.</p>	
<p>Timely implementation of mission mandates.</p>	<p><u>Target:</u> Security Council substantive and time requirements fulfilled to establish new, or implement adjustments to, peacekeeping operations and special political missions managed by DPKO.</p> <p><u>Actual:</u> In 2009, mandated adjustments were executed in BINUB, MINURCAT, MONUC, UNMIK and UNOMIG, in accordance with Security Council requirements. In addition, DPKO fulfilled Security Council requests to develop a strategy for supporting the security track in Somalia, including supporting the foundation of UNSOA and expansion of the DPA-led UN Political Office for Somalia. [S]</p>	
	<p><u>Target:</u> Major benchmarks for 2009, as defined in and mandated by Security Council resolutions, are met for the peace processes at most risk.</p> <p><u>Actual:</u> Overall, progress was reported on over 80% of specific benchmarks mandated by the Security Council. Important achievements included: building the capacity of the new Armed Forces of Liberia, to the point that further development will now be taken on by the Government; completing the process of voter registration and identification in Côte d'Ivoire;</p>	

		<p>beginning the transfer of policing responsibilities to national authorities in Timor Leste; disarming and demobilizing former combatants in Sudan; building governance and civil society capacity in the Democratic Republic of Congo (DRC); delivering the UN Consolidation Plan in Haiti; and, facilitating the return of Lebanese troops to Southern Lebanon for the first time since 2006.</p> <p>Several peace processes faced political setbacks, such as the delay of elections in Côte d'Ivoire, the stalled regional peace process between Chad and Sudan; and, slow progress in building the justice and corrections sectors in Liberia. Risks and challenges were reported to the Security Council in a timely manner.</p> <p>Benchmarks and detailed indicators are being systematically developed to aid the Council in the effective monitoring of peace processes at risk. In 2009, new benchmark frameworks were presented for 6 missions (MINURCAT, MINUSTAH, UNAMID, UNOCI, UNMIS and UNMIT). [P]</p>	
Objective	To ensure that the instrument of United Nations peacekeeping has the support of Member States to meet evolving challenges in international peace and security.		
Strengthened ability of DPKO and DFS to meet the evolving policy, operational and support requirements of United Nations peacekeeping.		<p>Target: Endorsement by the Special Committee on Peacekeeping Operations and adoption by the Fourth Committee of recommendations in the reports of the Secretary-General on the Comprehensive review of the whole question of peacekeeping operations in all their aspects.</p> <p>Actual: Of the three issues addressed to the Special Committee on Peacekeeping Operations for its support, the Special Committee took note with interest of the New Horizon initiative; acknowledged the gaps in the capacities of the Police Division, and stressed the importance of addressing them in a timely manner; and, requested the Secretary-General to submit proposals to improve the ability of the peacekeeping operations to respond to situations adversely affecting civilians. [S]</p>	
		<p>Target: Endorsement by the ACABQ and Fifth Committee, and approval by the General Assembly, of associated resource proposals.</p> <p>Actual: Of the 26 police posts requested for restructuring, the ACABQ endorsed 18 and the General Assembly approved 19 (73%). [N]</p>	
Objective	Strengthen peacekeeping partnerships within and outside the United Nations.		
Greater impact and optimal use of collective resources by integrated missions and partners in peacekeeping and peacebuilding activities.		Target: Establishment/implementation of frameworks for planning and operational coordination in support of peacekeeping operations and special political missions managed	

	by DPKO.	
	<u>Actual:</u> Guidelines for the integrated mission planning process at Headquarters and field levels were finalized and approved during the reporting period. Integrated strategic frameworks in line with the guidelines were also developed in five missions: BINUB, MONUC, ONUCI, UNMIL and UNMIT. [S]	
Objective	To strengthen the management of peacekeeping operations and special political missions managed by DPKO.	
Approval by Member States of management and administrative policy initiatives proposed for 2009 in support of peacekeeping operations and special political missions managed by DPKO, in particular the Secretary-General's human resources management reforms.	The General Assembly in its resolution 63/286 welcomed the intention of the Secretary-General to submit proposals on the global support strategy for United Nations peacekeeping operations. The Department of Field Support Global Field Support Strategy (A/64/633) will be submitted to Member States for approval during the General Assembly sixty-fifth session. Following the General Assembly approval of the human resources reform (A/63/250), a revised proposal for compensating staff in non-family missions for maintaining a separate household is being prepared and will be presented to the General Assembly for consideration at its sixty-fifth session. [P]	
Effective management of human, financial and physical resources in peacekeeping operations and special political missions managed by DPKO.	<u>Target:</u> Unqualified Board of Auditors audit of peacekeeping operations and special political missions managed by DPKO. <u>Actual:</u> The Board of Auditors expressed an unqualified opinion on the financial statements of the United Nations peacekeeping operations for the 12-month period from 1 July 2008 to 30 June 2009. [S]	
Strengthened measures for the prevention of misconduct in field operations, including sexual exploitation and abuse, and the full implementation of the United Nations policy of zero tolerance.	<u>Target:</u> Systematic and prompt follow up on disciplinary cases, particularly sexual exploitation and abuse, and demonstrable enforcement of the United Nations policy of zero tolerance. <u>Actual:</u> The Misconduct Tracking System was established to track allegations of misconduct in 19 peacekeeping and special political missions. During 2009, 112 allegations of sexual exploitation and abuse were recorded. Completed investigations substantiated 21 allegations; 18 were unsubstantiated. 8 cases were submitted for action to the Office of Human Resources Management or relevant employer and 13 were submitted to the respective Member State. The remaining cases are still under investigation. A Core Induction Training Module was also developed by the Conduct and Discipline Unit to ensure that field personnel understand and adhere to the Secretary-General's zero tolerance policy on sexual exploitation and abuse. [S]	

Expected accomplishments		
Human Resources Objectives: Comprehensive 2009 performance results are reported through the Human Resources Action Plan.		
Expected Accomplishment 1: To improve management of departmental workforce		
Target	Actual	Perf
(a) Updated departmental workforce plan for 2010-2013		
(b) Updated departmental succession plan for 2010-2013		
(c) Updated departmental staff development plan for 2010-2013		
Expected accomplishments		
Financial Management Objectives		
Expected Accomplishment 2: To provide sound and verifiable justification for resource requirements to implement the programme mandates of the Department		
Target	Actual	Perf
All budgetary submissions meet established deadlines with full justification and completeness of information.		
Expected Accomplishment 3: To achieve expected accomplishments of the Department's programme by effective and efficient management of resources		
Target	Actual	Perf
Non-post expenditures deviate less than 2% from appropriations.		
Expected accomplishments		
Conduct		
Expected Accomplishment 4: To ensure that staff declare any potential conflict of interest they may face while discharging their duties		
Target	Actual	Perf
100% compliance with financial disclosure requirements by due date		
Expected Accomplishment 5: To improve understanding of ethics among staff members in the department		
Target	Actual	Perf
100% compliance with statutory training requirements		
Expected Accomplishment 6: To make administrative decisions consistent with delegated authority and the rules and regulations of the U.N.		
Target	Actual	Perf

PART II

Outcomes of appeals and written complaints indicate that decisions were made consistent with delegation of authority and regulations and rules.		
Expected Accomplishment 7: To respond in a timely manner to staff appeals and contested administrative decisions		
Target	Actual	Perf
All written explanations by managers to the Department of Management are submitted within three weeks.		
Expected accomplishments		
<u>Special Objectives</u>		
Expected Accomplishment 8: Effective self evaluation of all programmes and subprogrammes on a regular basis		
Target	Actual	Perf
(a) Self evaluation plans implemented.		
(b) IMDIS fully updated with biennium performance data.		
Expected Accomplishment 9: Timely submission of documents for consideration by the governing bodies		
Target	Actual	Perf
(a) 90% of documents submitted to Conference Management by slot date.		
(b) 90% of documents requiring OPPBA's review and approval submitted to OPPBA by deadline set by OPPBA.		
Expected accomplishments		
<u>Oversight Body Recommendations</u>		
Expected Accomplishment 10: Implementation of oversight body recommendations that have been accepted by the department		
Target	Actual	Perf
(a) 90% of outstanding recommendations have target dates.		
(b) 80% of recommendations targeted for implementation during the year are implemented by the end of the year		