United Nations Nations Unies

INTEROFFICE MEMORANDUM MEMORANDUM INTERIEUR

TO: All Heads of Departments and Offices
A:

DATE: 16 February 2016

REFERENCE:

THROUGH:

FROM: The Secretary-General
DE:

Ki Moon Ban

SUBJECT: **Annual Report on Documents Management for 2015**
OBJET:

1. Please find attached the "*Annual report on documents management for 2015*", which covers major aspects of documentation management at the four major duty stations – United Nations Headquarters, the United Nations Office at Geneva, the United Nations Office at Nairobi, and the United Nations Office at Vienna – in the context of integrated global management.

2. I would like to emphasize that the General Assembly, in its resolution A/RES/70/9 on "Pattern of Conferences", urged "*author departments to fully adhere to deadlines in meeting the goal of 90 per cent submission compliance*", and requested "*the Secretary-General to ensure that documents submitted late do not adversely affect the issuance of documents submitted on time and in compliance with set guidelines*". (Section IV, paragraph 78)

3. I take this opportunity to commend all departments/offices that have met the 90 per cent benchmark, and urge them to maintain this performance in 2016 and beyond.

4. I note with concern, however, that a total of 17 author departments/offices have yet to reach the target of 90 per cent compliance with slot dates. I would like to draw your attention to the Annex of the attached report, which provides an overview of consolidated submission compliance by individual departments/offices, and request that you undertake the following:

a. Reviewing your late submissions in 2015 and providing specific explanations as to why deadlines were not met, bearing in mind that "*force majeure*" factors were already taken into account through late slotting. It would be appreciated if your written responses could be submitted to Ms. Catherine Pollard, Under-Secretary-General for General Assembly and Conference Management, by **Thursday, 31 March 2016**; and

b. After receiving the above requested input, I expect DGACM to conduct bilateral meetings with the author departments, during which actions to ensure that the 90 per cent benchmark is met in 2016 and beyond should be discussed and specified.

FILED
EOSG/CENTRAL

cc: Deputy Secretary-General
Chef de Cabinet

16-00863
CFR/DHI001

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Mr. Stephen O'Brien, Under-Secretary-General for Humanitarian Affairs and Emergency Relief Coordinator
Ms. Catherine Pollard, Under-Secretary-General, Department for General Assembly and Conference Management
Mr. Miguel de Serpa Soares, Under-Secretary-General for Legal Affairs, Legal Counsel
Mr. Achim Steiner, Executive Director, United Nations Environment Programme
Mr. Yukio Takasu, Under-Secretary-General for Management
Mr. WU Hongbo, Under-Secretary-General for Economic and Social Affairs
Ms. Leila Zerrougui, Special Representative of the Secretary-General for Children and Armed Conflict
Ms. Sahle-Work Zewde, Director-General, United Nations Office at Nairobi

DEPARTMENT FOR GENERAL ASSEMBLY AND CONFERENCE MANAGEMENT

Annual report on documents management for 2015

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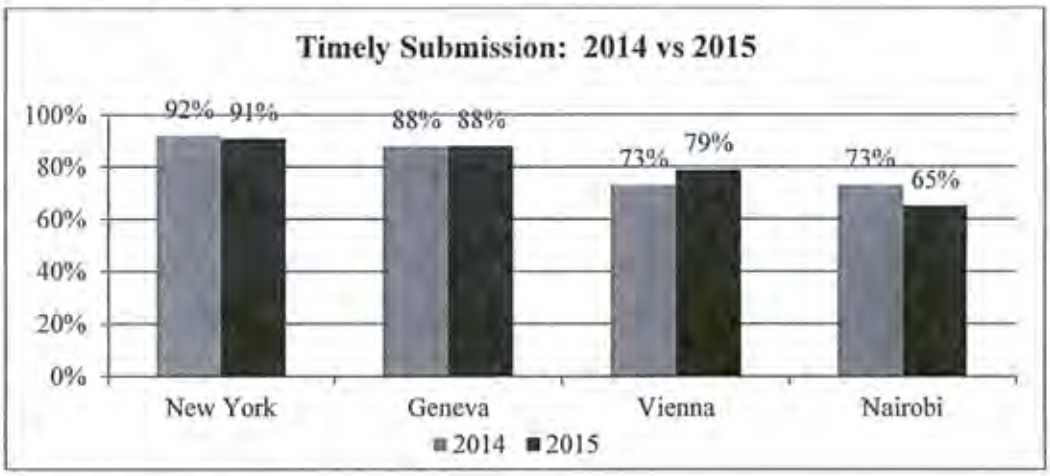
2015 was a very challenging year for DGACM. The Department worked proactively with all its partners and clients to ensure the smooth proceeding of the intergovernmental process.

I. The slotting system

A. Timely submission



New York

1. Timely submission compliance was 91%. Efforts were made to slot reports for submission earlier than the mandated 10- or 8-week benchmarks through intensive negotiations with the author departments/offices in order to achieve system-wide efficiency and cost-savings. Seventy-two percent of departments/ offices reached 90% submission compliance, a 2% improvement from 2014. Like in the previous years, the largest submitters, UN-Women and DESA, surpassed the 90% benchmark.

2. The biggest challenge facing DGACM was the chronic documentation issues of the Fifth Committee. To effectively address the issue, DGACM led the efforts in establishing a proactive documentation schedule for the Committee during the main part of the 70th session of the General Assembly, in full consultation with the author departments/offices and the secretariats of the Fifth Committee and ACABQ, with positive results. As the fall session of ACABQ and the main session of the Fifth Committee overlapped, issuing ACABQ reports in time for consideration by the Fifth Committee also put tremendous pressure on DGACM. ACABQ reports were submitted very close to their consideration by the Fifth Committee, necessitating rush processing. Nevertheless, DGACM managed to process ACABQ reports in an average of 2 to 3 calendar days. In this connection, paragraph 29 of General Assembly resolution 70/247 is expected to facilitate advance planning of documents for both Committees in future.

3. Another challenge for DGACM was the submission of unplanned high-priority and oftentimes lengthy documents which required urgent processing.

DGACM will step up collaboration with author departments/offices responsible for "surprise" documents in order to reach agreement on reasonable issuance dates.

Geneva

4. Timely submission compliance was 88%. Five out of eight submitting entities reached the submission compliance benchmark of 90%, of which three reached 100%. The Office of the High Commissioner for Human Rights (OHCHR), which was the largest submitter, further improved its submission compliance to 88%, up from 82% in 2014.

5. The Division of Conference Management (DCM) managed the submission of documents with the forecasting module in gDoc and through regular interactions with submitting entities. It continued to improve the reliability of forecasts and to enforce adherence to submission schedules. Submission forecast was customized for each submitting entity by incorporating lessons learned, including regular interactions with the substantive secretariats, especially on the crucial issues of legislative mandates and budgetary entitlements. This is particularly important for submitting entities with high turnover of staff.

Vienna

6. Timely submission compliance was 79%. Due to the timing and periodicity of meetings, some documents of the Vienna-based bodies could not be slotted in accordance with the mandated timeframe. Three of the four submitting departments/offices achieved at least 90% submission compliance, with the exception of UNODC due to its increased documentation requirements in 2015 for extraordinary meetings. Late submissions were a result of the nature of the documents, which required inputs from multiple stakeholders, as well as the lengthy clearance process.

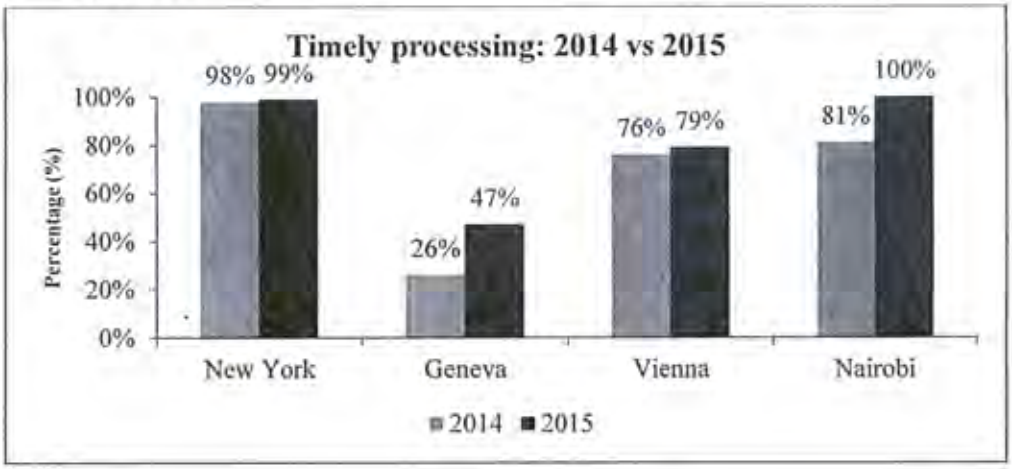
7. Timely submission depended on the cooperation of all author departments/offices, as well as the efficiency of internal clearance processes within the UN secretariat. The Conference Management Service (CMS) made continued efforts to closely follow up on the forecast information received and maintained close contact with all major clients at all levels throughout the year.

Nairobi

8. Timely submission compliance was 65%, a marked improvement from 35% in 2013, the previous comparable year. This included documents for the 25th session of the Governing Council of UN-Habitat and the Second Preparatory Meeting of Habitat III.

9. Historically, the governing bodies of UNEP and UN-Habitat request that their reports be reviewed at the inter-sessional meetings prior to submission to their respective parent meeting bodies (UNEA and Governing Council of UN-Habitat), often after the established submission deadlines, thereby impacting negatively on capacity planning by the Division of Conference Services (DCS). In recent years, DCS has made greater efforts to curb this trend by consulting periodically with submitting entities and achieved positive results, though there was still room for improvement.

B. Timely processing



New York

10. Ninety-nine percent of slotted documents submitted on time and within the established word limits were processed in a timely manner in accordance with the standard processing timeframe of 28 days. DGACM strove for 100% compliance, though difficult decisions had to be made from time to time when faced with competing priorities. Accelerated recruitment to fill vacancies in the translation services will be crucial to making up for capacity shortfall and achieving balanced capacity across languages.

Geneva

11. The processing compliance improved significantly from 26% in 2014 to 47% in 2015. In order to facilitate timely processing, all processing units were provided with updated submission schedules weekly. The process was further enhanced by the new Pipeline Visualization Tool with modern monitoring, analytical and predictive functionality.

Vienna

12. In 2015, 79% of documents were processed in a timely manner. The majority of non-secretariat reports emanated from UNCITRAL working groups and were technical and/or legal in nature. As a result, they were not suitable for expedited processing through contractual translation.

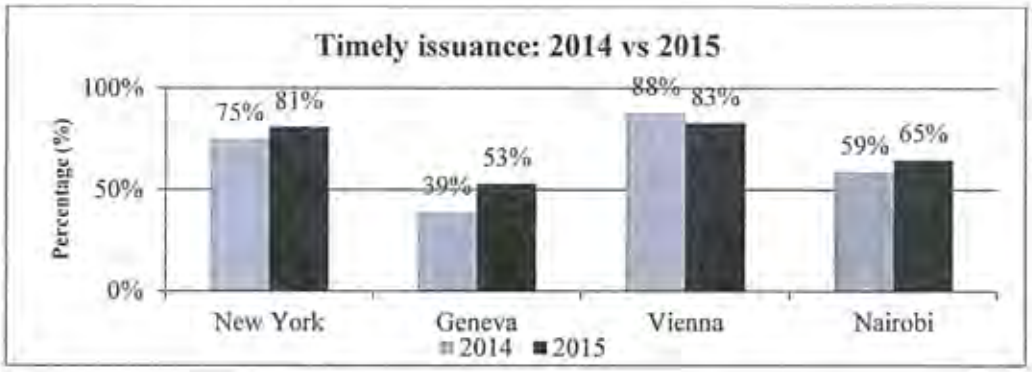
13. Late submission of documents often affected the timely processing of documents submitted on time and within word limits, as they had to be rush processed in order to be issued in time for consideration. To minimize the impact of unplanned or late submissions, CMS stayed in close contact with author departments/offices to get early warning and provided short-term resources to cover the additional workload.

Nairobi

14. The processing compliance was 100%. DCS managed to process the full volume of timely submitted documents (including the UN-Habitat Work Programme) within four weeks in spite of high vacancy rates in the language units.

15. A major portion of DCS's work was covered by extra-budgetary revenue. To satisfy the needs of both regular budget and extra-budgetary clients and to manage its calendar more effectively, DCS proactively advised its extra-budgetary clients on preferred dates for future meetings.

C. Timely issuance



New York

16. In 2015, 81% of slotted documents were issued in accordance with the mandated timeframes in spite of the excessive length of a considerable number of documents.

17. On 1 October 2015, in the context of establishing the slotting schedule for the first half of 2016, the USG of DGACM sent a memorandum to the heads of all author departments/offices, calling for strict adherence to the mandated submission timeline, as well as the established word limits. The timely issuance of documents can only be achieved if all author departments/offices commit to concise writing and timely submission.

Geneva

18. Issuance compliance in accordance with the agreed timeframe increased to 53%, thanks to the concerted efforts of all stakeholders in identifying priorities and closely monitoring progress. Despite tight deadlines, all 15 General Assembly and ECOSOC supplements were issued in a timely manner.

19. However, timely issuance of documents was negatively affected by high concentration of meetings which caused uneven workload distribution and resulted in capacity shortfall, especially those documents for sessions in September and October 2015. The French Translation Section faced the severest capacity constraints. DCM is currently evaluating translation companies in order to expand French contractual translation capacity.

20. DCM continued to stagger the submission of documents for relatively long sessions based on consideration dates in order to facilitate timely issuance. Positive results were achieved for the 30th Session of the Human Rights Council, and this approach will be implemented for other suitable meetings.

Vienna

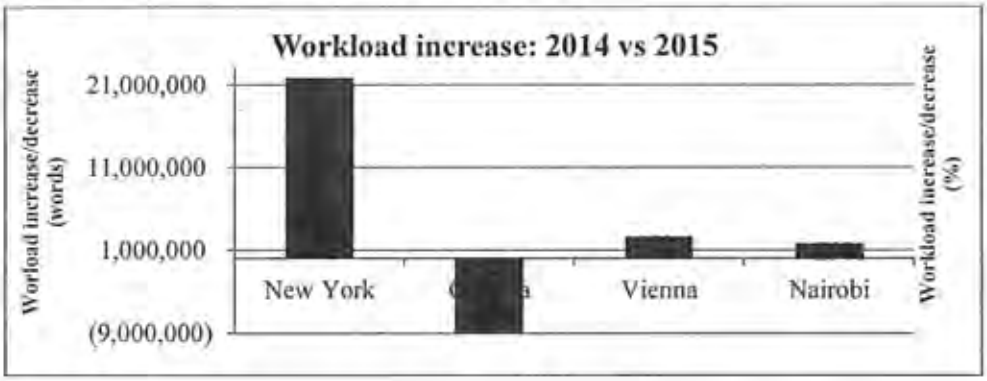
21. Issuance compliance was 83%. In certain cases, processing resources had to be dedicated to high-priority documents to ensure their issuance for meetings,

even if those documents were submitted late or exceeded word limits. This interfered with the processing of documents submitted on time and within the word-limits and led to delays in their issuance. Nonetheless the processing and issuance patterns that CMS had negotiated with the submitting entities were well accepted by the Member States.

Nairobi

22. Issuance compliance increased to 65%, showing a steady improvement in recent years. DCS continued to work closely with the clients to further improve issuance compliance.

II. Control and limitation of documentation



New York

23. The translation workload grew by 18% in 2015, as compared with 2014. For the biennium 2014-2015, New York experienced a 17.5% increase in its translation workload compared with the 2012-2013 biennium.

24. In the face of growing workload, proactive waiver management continued to play a vital role. The percentage of slotted documents complying with the established word limits increased to 82% from 80% in 2014. The trend of gradual reduction of document length continued in 2015 with only 12 waiver requests received. Some author departments/offices also agreed to reduce the length of their manuscripts during the slotting exercise. Thus, in 2015 the total word count of slotted documents was 2.3 million words less than the original requests by submitting departments/offices.

25. In the past, DGACM often encountered the "fait accompli" situation, where over-the-limit manuscripts were submitted to DGACM after they had already been cleared by the Executive Office of the Secretary-General (EOSG) and thus no change could be made, forcing DGACM to grant waivers. In order to solve this perennial problem, DGACM proposed to the Management Committee that over-the-limit manuscripts sent to the EOSG for clearance must be accompanied by waiver approvals from DGACM. With the endorsement by the Management Committee on 5 November 2015, DGACM will work with the EOSG and the author departments/offices in 2016 to implement the decision.

Geneva

26. The 2015 translation workload decreased by 9% as compared with 2014. For the 2014-2015 biennium, UNOG experienced a 5% decrease in its translation workload compared with the 2012-2013 biennium. The decrease was mainly attributable to the implementation of A/RES/68/268 on the reform of the Human Rights Treaty Bodies and related provisions establishing word limits for States Parties reports.

27. All slotted pre-session documents complied with the word limits, with the exception of the Joint Inspection Unit for which five waivers were granted. Submissions from the Human Rights Treaty Bodies were closely monitored in line with the word limits as well as entitlements on the number of languages for translation as stipulated in A/RES/68/268.

28. DCM faced challenges in translating written replies by governments to the lists of issues from the Human Rights Treaty Bodies, as there were neither dedicated resources nor established word limit. That had led to concerns in some committees over the timely issuance of their documents in the required languages.

Vienna

29. Translation workload increased by 13% over that of 2014. CMS managed to cope with the workload by maintaining a high percentage of contractual translation at 37%, compared to 34% in 2014, which allowed the in-house capacity to accommodate unplanned or late submissions. CMS continued to manage the demands for documentation processing through a quota system respected by all submitting entities.

30. Eighty-six per cent of documents complied with the word limits, as compared to 90% in 2014. The slight decrease was due to a higher number of documents of a legal nature which were not subject to the word limits.

31. All documents exceeding word limits were handled through advance waiver management and the submitting departments/offices adhered to the word count agreed during the slotting exercise.

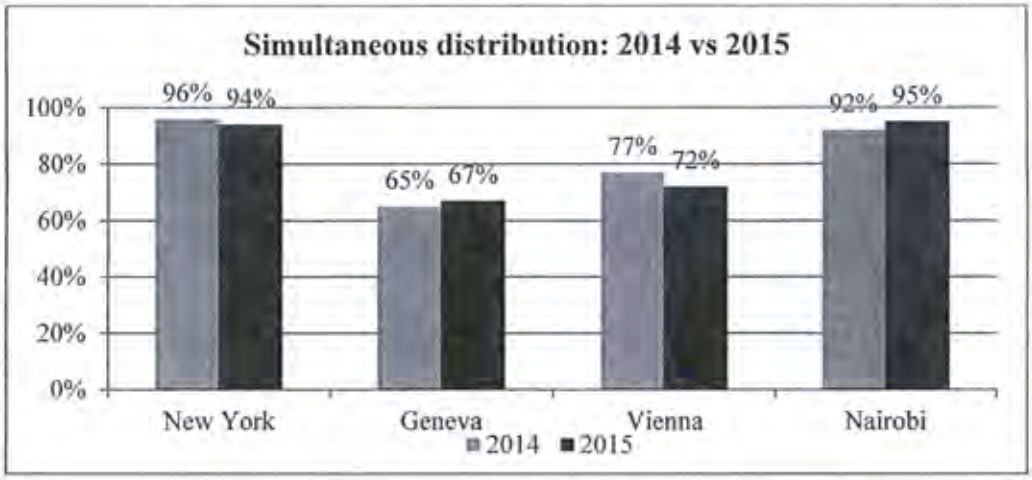
Nairobi

32. The slotted workload is significantly heavier in odd years, with a 29% increase in 2015 over 2014. The volume processed in the 2014-15 biennium decreased by 6.3% as compared to 2012-13, due to budget cuts in XB bodies which have lately submitted more succinct documentation.

33. With the exception of the Proposed Work Programme of UN-HABITAT, all documents submitted for processing were in compliance with the word limits.

III. Simultaneous distribution of documents

34. One of the pillars of multilingualism is the simultaneous distribution of documents. The situation varied among duty stations.



The main reasons for non-simultaneous distribution are as follows:

a. Instructions from submitting departments/officers concerning certain types of documents, such as administrative instructions at UNHQ, some UNFCCC documents at UNOG, and UNIDO and CTBTO documents at UNOV;

b. Technical problems that occurred in the transition from the old eDoc system to the new gDoc system;

c. The loading of information into ODS was automated at UNHQ but manual at the other duty stations.

35. In 2016, DGACM will work with all the parties concerned to address the above issues, in particular the technical problems, so as to steadily improve the rate of simultaneous distribution of documents.

IV. Conclusions

36. In spite of significant workload increase and budgetary constraints, DGACM consistently delivering high-quality outputs in a timely and cost-effective manner, to the satisfaction of all its clients;

37. Some chronic problems such as timely issuance of documents for the Fifth Committee in New York have been alleviated, while others such as translation of written replies for the Human Rights Treaty Bodies in Geneva remain challenging. DGACM will build on its success and address the challenges in concert with all parties concerned to ensure the smooth proceeding of the intergovernmental process;

38. In 2016, DGACM will strictly implement the decisions of the Management Committee on documentation issues and uphold the principle of multilingualism.

Annex: Global consolidated submission compliance by department

Department	2015	2014	2013
	Submission compliance	Submission compliance	Submission compliance
ACABQ	100%	-	100%
BOA	77%	91%	100%
CEB	100%	100%	100%
DESA	95%	98%	98%
DFS	100%	60%	100%
DGACM	100%	97%	99%
DM	88%	87%	82%
DPA	96%	91%	95%
DPI	100%	90%	100%
DPKO	100%	100%	100%
DSS	100%	100%	100%
ECE*	90%	96%	97%
EOSG	89%	71%	60%
IAAC	100%	50%	100%
IAEA	100%	100%	100%
ICJ	100%	100%	100%
ICSC	85%	95%	93%
ICTR	100%	100%	100%
ICTY	100%	100%	100%
IRM	100%	100%	100%
JIU	100%	100%	100%
OAJ	75%	0%	-
OCHA	100%	100%	100%
ODA	100%	100%	99%
OHCHR**	87%	83%	77%
OHRLLS	80%	92%	100%
OIOS	100%	100%	100%
OLA	93%	93%	98%
OOSA***	96%	91%	98%
OSAA	100%	100%	100%
OSRSG-CAC	100%	100%	100%
OSRSG-VAC	100%	100%	-
PBSO	100%	100%	100%
PGA	-	100%	-
RCNYO	82%	100%	73%
UNAIDS	100%	100%	100%
UNCC*	89%	100%	100%
UNCCD *	97%	-	96%
UNCINTRAL***	93%	98%	100%
UNCTAD**	100%	100%	100%
UNDP	72%	80%	68%
UNDP/SSC	50%	75%	100%
UNEP***	-	73%	18%
UNFCCC*	62%	54%	45%
UNFIP	100%	50%	100%
UNFPA	98%	89%	92%
UN-Habitat	65%	-	35%
UNHCR**	100%	84%	65%
UNICEF	100%	100%	100%
UN-ISDR**	77%	43%	100%
UNITAR	100%	-	100%
UNJSPF	54%	55%	72%
UNODC***	87%	90%	97%
UNOPS	67%	100%	100%
UNOSDP	-	0%	-
UNRWA	67%	100%	100%
UNSCEAR***	100%	100%	100%
UNSSC	100%	-	100%
UNU	100%	-	0%
UPEACE	100%	-	-
UNV	100%	-	-
UNW	99%	99%	99%
WFP	100%	100%	100%
Overall submission compliance by slot date	**89%**	**90%**	**89 %**
Departments with submission compliance above 90%	**72% (43/60)**	**70% (39/56)**	**81 % (46/57)**

* UNOG
** UNHQ and UNOG combined
*** UNOV
**** UNHQ and UNON combined (All UNHQ except where marked)

Note to the Chef de Cabinet
(thru the Deputy Chef de Cabinet a.i.)

Draft Memorandum on "Annual Report on Documents Management for 2015"

1. Please refer to the Note from USG/DGACM enclosing the "*Annual report on documents management for 2015*" and requesting approval of a draft memorandum to all heads of departments and offices. The Annual Report covers major aspects of documentation management at the four major duty stations – United Nations Headquarters, the United Nations Office at Geneva, the United Nations Office at Nairobi, and the United Nations Office at Vienna – in the context of integrated global management.

2. The draft memorandum commends all departments/offices that have met the 90 per cent benchmark while expressing concern that a total of 17 author departments/offices have yet to reach the target of 90 per cent compliance with slot dates. The draft memorandum is in accordance with the practice of previous years whereby the Secretary-General has approved communications proposed by DGACM on this subject.

4. Based on our review, approval of the draft Memorandum is recommended.

Proposed action:

- Favourable consideration and approval of the draft Memorandum is recommended.

Nardos Bekele-Thomas
16 February 2016

16-00863

RECEIVED
JAN 29 2016
16-00863
EOSG/CENTRAL

United Nations Nations Unies

INTEROFFICE MEMORANDUM MEMORANDUM INTERIEUR

ROOM S-3068 NEW YORK NY 10017 USA TEL.:(212) 963 8021

TO: The Secretary-General
A:

DATE: 29 January 2016

THROUGH: DSG/cdc
S/C DE:

FROM: Catherine Pollard, Under-Secretary-General for General Assembly and Conference Management
DE:

SUBJECT: **Annual Report on Documents Management for 2015**
OBJET:

1. I am pleased to enclose herewith the annual report on documents management for 2015.

2. The report covers all major issues relating to documents management at the United Nations Headquarters (UNHQ), United Nations Office in Geneva (UNOG), United Nations Office in Vienna (UNOV) and United Nations Office in Nairobi (UNON) in 2015 in the context of integrated global management. It evaluates the performance of all duty stations, highlights problems where they exist and proposes solutions.

3. In 2015, DGACM explored various means of enhancing global document workload forecast and capacity planning in order to achieve the optimal utilization of available resources in the face of budgetary constraints and increasing workload, and has achieved positive results.

4. I would like to note that submission compliance when counted by departments/offices has increased to 72 per cent in 2015 from 70 per cent in 2014. Globally there were seventeen author departments that fell below the 90 per cent benchmark in 2015. I would like to request, through you, specific explanations from the Heads of Departments for their late submissions. In addition, bilateral meetings with each of them will be arranged by DGACM in order to find ways for improvement. I seek your support in this exercise in order to ensure timely issuance of documents to Member States.

5. As in previous years, a memorandum has been drafted for you to the heads of departments and offices (attached), together with a copy of the report (also attached).

6. I thank you for your kind attention.

cc: The Deputy Secretary-General
The Chef de Cabinet

CFR/04/001

To:
Cc:
Bcc:
Subject: Fw: Annual Report on Documents Management for 2015

From: Lena Lupon-Williams/NY/UNO
To: SGCentral/NY/UNO@UNHQ
Cc: Igor SHPINIOV/NY/UNO@UNHQ, Abigail Loregnard/NY/UNO@UNHQ, Xuesong Ma/NY/UNO@UNHQ, Xin Tong-Maywald/NY/UNO@UNHQ, DPU-DGACM/NY/UNO@UNHQ
Date: 29/01/2016 05:55 PM
Subject: Annual Report on Documents Management for 2015

Dear Colleagues,

Please see attached a memo from Ms. Pollard to the SG on the above mentioned subject, including the draft memo (Word version) from the SG to the Heads of Departments and the actual report (Word version). Thank you for your kind attention.

Regards,

Léna

C Pollard to SG - Annual Report on Documents Management for 2015.pdf

Draft memo from SG to all Heads of Depts-29JAN.docx

Report -Doc. Management 2015.docx

Léna Lupon
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