

The Secretary-General's Retreat

Alpbach, 5-6 September 2010



Monday, 6 September 2010

Improving our Efficiency

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Chair for the day: [Vijay Nambiar](#)

✓ 09:00 – 11:00	Plenary Session 4: <i>“Shifting Gears on our HR systems – a modern work force at Headquarters and in the field. Maximizing the impact of ICT on the performance of managers”</i> Discussants: Alicia Barcena , Franz Baumann
11:00 – 11:15	Coffee Break
✓ 11:15 – 13:00	Plenary Session 5: <i>“Building trust between staff and management through institutional reforms”</i> Discussants: Patricia O’Brien , John Barkat
13:00 – 14:30	Lunch – ‘How can we effectively communicate the UN message?’ Presenter: Josette Sheeran

Positioning the UN to Meet Global Challenges

14:30 – 15:30	Plenary Session 6: <i>“Achieving peace, justice and human rights without compromising”</i> Discussants: Radhika Coomaraswamy , Francis Deng
15:30 – 17:00	Plenary Session 7: <i>“Building effective links between prevention, peacekeeping and peacebuilding”</i> Discussants: Ján Kubiš , Ed Luck
17:00 – 18:30	Coffee break and screening of video “Home” by award-winning photographer Yann Arthus-Bertrand
18:30 – 19:00	Closing session with the Secretary-General’s Final Remarks
20:00	Closing Dinner



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contributors**



Dear Colleague,

On behalf of the Department of Management, UNITAR and the UNSSC, I want to warmly welcome you to this year's Secretary-General's Retreat.

Enclosed to this letter, you will find the latest version of the Programme of the Retreat, your badge and other useful information for your stay. Meanwhile, please take note of the main appointments below for the coming days:

Saturday, 4 September:

- **7:15 pm:** meet our UNSSC representative in the lobby of your hotel who will accompany you to the opening dinner.
- **7:30 pm:** dinner has been organized in your honor, hosted by the Austrian Minister of Foreign Affairs, H.E. Michael Spindelegger. The dinner will be held at the hotel "**Alpbacherhof**" here in Alpbach, a few minutes walk from your hotel. **Dress Code: business suit.**

Sunday, 5 September:

- **8:15 am:** meet our UNSSC representative in the lobby of your hotel who will accompany you to the meeting venue.
- **8:45 am:** meetings start at the Alpbach "Conference Centre".

Monday, 6 September:

- **9:00 am:** meetings start at the Alpbach "Conference Centre".

Please kindly wear your badge during the entire event for security purposes.

A small team of UNSSC colleagues is here in Alpbach to assist you during the event and a dedicated hospitality desk is located in the lobby of this hotel, the "**Boeglerhof**".

Please do not hesitate to contact any of the following UNSSC staff, should you need assistance during your stay:

- **Ms. Chiara Piatti:** + 39 335 56 99 691
- **Ms. Heli Ihalainen:** +39 320 42 88 613
- **Ms. Elisa Pontini:** +39 338 169 0238
- **Ms. Anna-Karin Kruse:** +39 334 65 84 311

I wish you a fruitful Retreat and look forward to seeing you soon.

With warmest regards,

Carlos Lopes
UN Assistant Secretary-General
UNITAR, Executive Director/ UNSSC Director

The Secretary-General's Retreat 2010 (Alpbach, Austria)

Programme

Saturday, 4 September 2010

All Day	Arrival of Participants
19:30	Dinner hosted by the Minister of Foreign Affairs of Austria – Hotel Alpbacherhof, Alpbach

Sunday, 5 September 2010

How to Respond to a Rapidly Evolving Global Environment?

08:45 – 09:00	Swearing-In Ceremony
09:00 – 09:30	Secretary-General BAN Ki-moon: Welcome and Opening Remarks

Chair for the day: **The Deputy Secretary-General**

09:30 – 10:00	KEY-NOTE ADDRESS: “Mega Trends’ Impact on the Multilateral Agenda” Guest speaker: Dr. Javier Solana
10:00 – 10:45	Q & A session with the guest speaker
10:45 – 11:00	Coffee Break
11:00 – 13:00	Plenary Session 1: “ <i>Rising to the Challenge – UN strategic choices for the immediate future</i> ” Discussants: Helen Clark, Antonio Guterres
13:00 – 13:15	Group Photo

Sunday, 5 September 2010 (cont.)

13:15 – 14:00	Lunch
14:30 – 16:30	<p>Plenary Session 2:</p> <p><i>“Latest trends in international negotiations and processes (climate change, food, health, G-20).”</i></p> <p>Discussants: Achim Steiner, Christiana Figueres</p>
16:30 – 16:45	Coffee break
16:45 – 18:45	<p>Plenary Session 3:</p> <p><i>“The year of the MDGs: what do we want to achieve? Preparation for the MDG Summit”</i></p> <p>Discussants: Michel Sidibé, Noeleen Heyzer</p>
18:45 – 19:15	Teambuilding
20:15	Dinner with the Secretary-General

Monday, 6 September 2010

Improving our Efficiency

Chair for the morning: [The Deputy Secretary-General](#)

	Plenary Session 4:
09:00 – 11:00	<i>“Shifting Gears on our HR systems – a modern work force at Headquarters and in the field. Maximizing the impact of ICT on the performance of managers”</i> Discussants: Alicia Barcena , Franz Baumann
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Positioning the UN to Meet Global Challenges

Chair for the afternoon: [Vijay Nambiar](#)

	Plenary Session 6:
14:30 – 15:30	<i>“Achieving peace, justice and human rights without compromising”</i> Discussants: Radhika Coomaraswamy , Francis Deng
	Plenary Session 7:
15:30 – 17:00	<i>“Building effective links between prevention, peacekeeping and peacebuilding”</i> Discussants: Ján Kubiš , Ed Luck
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20:00	Closing Dinner



The Secretary-General's Retreat 2010

Ban Ki-moon, Secretary-General

List of Participants (alphabetical order)

Mr/Ms	Last name	First name	Title	Organization
Ms.	Migiro	Asha-Rose	Deputy Secretary-General	EOSG
Mr.	Adlerstein	Michael	Assistant Secretary-General, Capital Master Plan	DM
Mr.	Akasaka	Kiyotaka	Under-Secretary-General for Communications and Public Information	DPI
Ms.	Amos	Valerie	Under-Secretary-General for Humanitarian Affairs and Emergency Relief Coordinator	OCHA
Mr.	Banbury	Anthony	Assistant Secretary-General for Field Support	DFS
Ms.	Bárcena	Alicia	Executive Secretary, Economic Commission for Latin America & the Caribbean	ECLAC
Mr.	Barkat	Johnston	Ombudsman	EOSG
Mr.	Baumann	Franz	Assistant Secretary-General for General Assembly and Conference Management	DGACM
Ms.	Bjork-Klevby	Inga	Deputy Executive Director, UN-Habitat	UN-Habitat
Ms.	Bragg	Catherine	Assistant Secretary-General for Humanitarian Affairs and Deputy Emergency Relief Coordinator	OCHA
Ms.	Cheng- Hopkins	Judy	Assistant Secretary-General for Peacebuilding Support	PBSO
Mr.	Choi	Soon-hong	Chief Information Technology Officer	OICT
Ms.	Clark	Helen	Administrator	UNDP
Mr.	Clos	Joan	Executive Director, United Nations Human Settlements Programme	UN-Habitat
Ms.	Coomaraswamy	Radhika	Special Representative of the Secretary-General for Children and Armed Conflict	CAAC
Mr.	Deng	Francis	Special Adviser on the Prevention of Genocide	DPA
Mr.	Diarra	Cheick Sidi	High Representative for the Least Developed Countries, Landlocked Developing Countries and Small Island Developing States	OHRLLS
Mr.	Draganov	Petko	Deputy Secretary-General of the United Nations Conference on Trade and Development	UNCTAD
Mr.	Duarte	Sergio de Queiroz	High Representative for Disarmament Affairs	ODA
Ms.	Dubinsky	Joan Elise	Director, Ethics Office	EOSG
Mr.	Fedotov	Yury	Director-General of the United Nations Office in Vienna and Executive Director of the United Nations Office on Drugs and Crime	UNOV/UNODC
Mr.	Fernández-Taranco	Oscar	Assistant Secretary-General for Political Affairs	DPA



The Secretary-General's Retreat 2010

Ban Ki-moon, Secretary-General

List of Participants (alphabetical order)

Mr/Ms	Last name	First name	Title	Organization
Ms.	Figueres	Christiana	Executive Secretary, United Nations Framework Convention on Climate Change	UNFCCC
Mr.	Grandi	Filippo	Commissioner-General, United Nations Relief and Works Agency for Palestine Refugees in the Near East	UNRWA
Mr.	Guterres	António	High Commissioner for Refugees	UNHCR
Ms.	Heyzer	Noeleen	Executive Secretary, Economic and Social Commission for Asia and the Pacific	ESCAP
Mr.	Janneh	Abdoulie	Executive Secretary, Economic Commission for Africa	ECA
Mr.	Jomo	Kwame Sundaram	Assistant Secretary-General on Economic Development	DESA
Ms.	Kane	Angela	Under-Secretary-General for Management	DM
Ms.	Kang	Kyung-wha	Deputy High Commissioner for Human Rights	OHCHR
Mr.	Khare	Atul	Assistant Secretary-General for Peacekeeping Operations	DPKO
Mr.	Kim	Won-soo	Deputy Chef de Cabinet and Special Adviser to the Secretary-General	EOSG
Mr.	Kubiš	Ján	Executive Secretary, Economic Commission for Europe	ECE
Ms.	Lapointe	Carman	Under-Secretary-General for Internal Oversight Services	OIOS
Mr.	Le Roy	Alain	Under-Secretary-General for Peace-keeping Operations	DPKO
Mr.	Lopes	Carlos	Executive Director, UNITAR & Director, UNSSC	UNITAR/UNSSC
Mr.	Luck	Edward C.	Special Adviser	IPi
Ms.	Malcorra	Susana	Under-Secretary-General for Field Support	DFS
Mr.	Mathias	Stephen	Assistant Secretary-General for Legal Affairs	OLA
Mr.	Mattson	Jan	Executive Director, UNOPS	UNOPS
Ms.	Mayanja	Rachel	Special Adviser on Gender Issues and Advancement of Women	DESA
Mr.	Nabarro	David	Special Representative on Food Security and Nutrition	UNSC/HLTF
Mr.	Nambiar	Vijay K.	Chef de Cabinet	EOSG
Ms.	O'Brien	Patricia	Under-Secretary-General for Legal Affairs & UN Legal Counsel	OLA
Mr.	Ordzhonikidze	Sergei	Director-General, United Nations Office at Geneva	UNOG



The Secretary-General's Retreat 2010

Ban Ki-moon, Secretary-General

List of Participants (alphabetical order)

Mr/Ms	Last name	First name	Title	Organization
Mr.	Orr	Robert	Assistant Secretary-General for Policy Coordination and Strategic Planning	EOSG
Mr.	Pascoe	B. Lynn	Under-Secretary-General for Political Affairs	DPA
Ms.	Pillay	Navanethem	High Commissioner for Human Rights	OHCHR
Ms.	Pollard	Catherine	Assistant Secretary-General for Human Resources Management	DM
Mr.	Sach	Warren	Assistant Secretary-General for Central Support Services	DM
Mr.	Sha	Zukang	Under Secretary-General for Economic and Social Affairs	DESA
Mr.	Shaaban	Shaaban Muhammad	Under-Secretary-General for the Department for General Assembly and Conference Management	DGACM
Ms.	Sheeran	Josette	Executive Director, World Food Programme	WFP
Ms.	Sidibé	Michel	Executive Director, UNAIDS	UNAIDS
Mr.	Šimonovic	Ivan	Assistant Secretary-General in New York, Human Rights Office	OHCHR
Mr.	Smith	Michael	Executive Director, Counter-Terrorism Executive Directorate	CTED
Mr.	Starr	Gregory B.	Under-Secretary-General for Safety and Security	DSS
Mr.	Steiner	Achim	Executive Director, United Nations Environment Programme	UNEP
Mr.	Stelzer	Thomas	Assistant Secretary-General for Policy Coordination and Inter-Agency Affairs	DESA
Mr.	Titov	Dmitry	Assistant Secretary-General for Rule of Law in Peace-keeping Department	DPKO
Ms.	Wallström	Margot	Special Representative on Sexual Violence in Conflict	DPKO
Mr.	Yamazaki	Jun	Assistant Secretary-General for Programme Planning, Budget and Accounts, Controller	DM
Mr.	Zerihoun	Tayé-Brook	Assistant Secretary-General for Political Affairs	DPA



OUR GUESTS

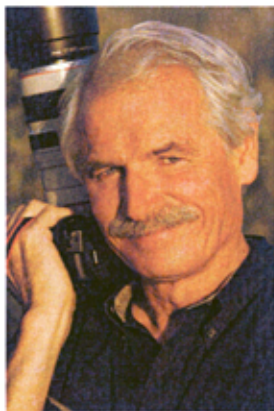
JAVIER SOLANA



Javier Solana is the President of ESADE Business School's Centre for Global Economics and Geopolitics. He is also Distinguished Senior Fellow in Foreign Policy at Brookings Institution, Honorary President of the Centre for Human Dialogue, Senior Visiting Professor at the London School of Economics Global Governance, and member of the board of the International Crisis Group and of the European Council on Foreign Relations. Previously, Dr. Solana served as the European Union's High Representative for the Common

Foreign and Security Policy and Secretary General of the Council of the European Union. Before serving the Council, Dr. Solana was Secretary General of NATO where he negotiated the NATO-Russia Founding Act and presided over the establishment of the Euro-Atlantic Partnership Council. Prior to that, he held different ministerial portfolios in the Spanish government, including Foreign Affairs.

YANN ARTHUS-BERTRAND



Born in 1946, Yann Arthus-Bertrand has always been fond of nature. It was in the late 70s, in Kenya, while studying with his wife Anne the every day life of a pride of lions that he truly became a photographer. He published in 1981 his first book "Lions", first release of a series of 80 books. He also began a career as a reporter-photographer and closely worked with various naturalists including Dian Fossey and her mountain gorillas in Rwanda. His work was published in many internationally known magazines such as Paris Match, Geo, Life or National Geographic. In 1991, he created Altitude, the first photo agency specialized in aerial photography. In the 90s, under the patronage of UNESCO, he embarked upon his most ambitious project: creating an image bank of the earth seen from above. He authored "The Earth from Above" which sold more than 3 million copies and has attracted over 100 million visitors. In 2003 he launched "Six Billion Others", as a

Cameraman, who travels the world to meet and interview people as a mean to portray the planet under a humanistic angle. To date more than 4.000 interviews have been filmed in more than 65 countries. In 2005 Yann Arthus-Bertrand created GoodPlanet, a non-profit organization which is dedicated to the promotion of sustainable development. His most recent feature is "Home" a movie released simultaneously in the conventional circuit and free internet access.

The Secretary-General's Retreat

Alpbach, 5-6 September 2010



Background Papers

The Secretary-General's Retreat 2010
Alpbach, Austria • 5–6 September 2010

PLENARY SESSION 1

RIISING TO THE CHALLENGE – UN STRATEGIC CHOICES FOR THE IMMEDIATE FUTURE

Introduction

Over the past decade, the international community has been witnessing an unprecedented level of confluence of interlocking issues of global significance. The 2009 Secretary-General's Report on the Work of the Organization pointed to the multiple crises and the convergence of complex challenges related to the core business of the United Nations. The spectrum of intertwining issues transcending state borders is vast, and ranges from the financial and economic downturn, food insecurity, climate change, epidemics, migration, to complex armed conflict situations, human rights abuses, terrorism and transnational crime, proliferation of weapons, etc. As the only organization with the universal membership and a broad based multi-sectoral mandate, the United Nations needs to ensure bold leadership and strategic guidance in key policy areas in the context of a rapidly evolving global environment.

What has changed

The food crisis that came to prominence in 2008, with an urgent response from the UN, still looms large, in the world with a growing number of undernourished people, and with 1 out of 5 children under the age of five underweight. While the world economy is emerging from the global financial and economic downturn and economic growth forecasts for the developing world are optimistic, a jobless recovery threatens to slow down the pace of social progress. Most notably, high unemployment rates and worsening employment conditions for the working poor, including women in developing countries and migrant workers, require urgent action. Climate change impact, already affecting livelihoods of the most vulnerable, will worsen in the absence of global solutions and firm commitments. The international community is facing the surfacing of new types of humanitarian emergencies including those triggered by climate change and the food crisis, however, the effectiveness and timeliness of our humanitarian response still depends on voluntary ad hoc contributions and cumbersome coordination efforts. In many poorer countries, human security and achievements in the area of the Millennium Development Goals are threatened by instability and ongoing armed conflicts. In 2009, 42 million people had been displaced by conflict or persecution.

Mushrooming linkages between organized crime, drug trafficking, and corruption have a devastating impact on human security and environment. When intertwined, crimes considerably reduce poverty eradication and human development prospects in many states where border controls and law enforcement mechanisms are poor. Complex interlinkages between various types of criminal activities often serve to perpetuate armed conflicts or terrorism. As a result the environment under which peacekeeping and peacebuilding efforts currently take place is changing extremely fast. West Africa is a good example; it becomes a prominent transit point for drug trafficking from Latin America to Europe.

The linkages between multiple global challenges are also strongly influenced by the spread of new communication technologies, and transports revolution. New opportunities, and a new type of interconnectedness enhance sense of community with other people, but also allow easy networking of centrifugal forces. There is an urgent need for a proper analysis of the global mega trends that transcend borders, create risks and generate opportunities.

Risks versus opportunities: Revisiting the paradigm

The relevance and effectiveness of the United Nations' work increasingly depends on its capacity to turn risks into opportunities. There are a number of trends and dynamics that can be identified in five broad areas and that require increased attention.

First of all, the financial and economic meltdown has highlighted the importance of putting in place a proper financial regulatory framework. The much paraded reform of financial governance institutions has not gone far enough, and

the voting power of emerging players and developing world, in general, which demand a greater say on these matters remains inadequate. Worse, the crisis has served to perpetuate social inequalities by punishing the most vulnerable through reduced employment opportunities while the banking sector responsible for the downturn has benefitted from generous public financial injections. An enhanced political will is clearly needed to avoid return to status quo, to push forward regulatory mechanisms, and improve financial governance.

Second, the progress made on political solutions to the climate change issue is disappointing. A lack of commitment on behalf of governments is certainly an enormous obstacle. However, the international community needs to go beyond political solutions. Even if implemented, currently negotiated sanctions and green house gas emissions cuts will not guarantee the solution to the problem. The real challenge comes from the exponential growth of the global consumerist society driven by ever higher aspirations of the upper and middle layers in rich countries as well as expanding demand of emerging middle-class in developing countries. Our true ambition should be therefore creating incentives for the profound transformation of attitudes and consumption styles.

Third, threats to peace and security concerns the international community has to deal with have undergone a significant change, from predominantly inter-state conflicts to complex situations including intrastate armed or low intensity conflicts and transnational threats. As a result, a long way has been made from the traditional concept of peacekeeping missions mandated to impose respect for cease-fire by the two parties in inter-state conflicts. The scope of activities of UN peacekeeping missions has considerably expanded to include political outreach, support to government-led reconciliation efforts, civilian protection, countering organized crime, and trafficking, etc. UN peace operations are expected to adequately support capacity development efforts in areas of public administration, rule of law, and security. The growing international convergence on the normative framework opens up new avenues for more justice, better protection of human rights, and enduring peace. The linkages between justice and conflict prevention have been revisited. These are all opportunities to be seized to promote peace, justice and human rights.

Fourth, demographic trends and increased human mobility are reshaping modern societies. Internal migration that represents the largest portion of migration flows - around 740'000 out of the total of almost 1 million migrants - accelerates urbanization processes and poses new challenges in terms of management in large agglomerations with a high density of people and insufficient infrastructure and limited job access. Ensuring decent quality of life and adequate social conditions in rapidly growing urban centers is a major challenge, equally so, in developing countries responsible now for the biggest part of international migration. Migration from the South to the North modifies the ethnic composition and monolithic character of the host societies that are often characterized by ageing population and has a profound impact on cultural identities. There has been a strong resistance so far to adopt a solid international migration governance framework that could further promote the development gains of migration. Migration will, nevertheless, prevail in the long run. Transmigrants, whose multi-layered identities allow easier moves across cultural frontiers, already defy the notion of national borders.

Last but not least, new technologies profoundly transform the nature of human interaction and have a major impact on our perceptions, life styles, and value systems. They generate enormous opportunities in terms of enhanced and rapid communication, better knowledge sharing, and improved participation in decision making processes. This is the area where one sees opportunities much easier than notices hidden risks. Well devised policies aimed at ensuring equal access to technologies for all, as well as adoption of proper regulations will enable a clever use of technologies to enhance civil society's interaction with multilateral bodies.

In all these five areas, the United Nations will have an important role to play. The complexity and global character of the challenges listed above necessitate a global response that would complement effectively national approaches.

Need for a renewed multilateralism

It is being increasingly recognized that multilateralism is instrumental to the success of our response to global challenges. Existing multilateral mechanisms, however, will fall short of meeting their objectives unless significant progress is achieved on reforming these institutions.

The emergence of new multilateral groupings, including the G20, that came to prominence in the wake of the global recession; negotiating blocks such as those within the WTO or, more recently, during the Copenhagen Summit on Climate Change; the failures to enforce peace, rule of law and the protection of human rights; speculations on food prices, and health pandemics, signal that the complex challenges require complex solutions. These, in turn, would be possible only if the current multilateral framework is adjusted and fine-tuned. A call for more stringent regulatory frameworks in so many areas and new or improved, transparent and more accountable, international governance institutions in areas of finance and economy, migration, environment, has recently received a broad support precisely for this reason.

There has been a growing recognition of the need for a renewed multilateralism that would take into account the emerging voice of the South, including big players, poorest countries, and the reality of an emerging global public opinion. The 2009 Secretary-General's Report on the work of the Organization identified five essential features of the new multilateralism. The renewed interest in the concept of **Global Public Goods** within the academic community but also among the policy-makers is an essential element for new approaches. Its first and foremost contribution is raising awareness on the intrinsically global character of current challenges. The GPGs suggest that some issues of global concern can only be resolved with the active participation of all the countries; a single big effort of one country can benefit all; or else a free-rider problem and uneven consequences of a certain challenge for various stakeholders can prevent international community from a much needed action. Similarly, the global interconnectedness prompted the Secretary-General to conclude on the importance of an **integrated approach** that would promote the spill-over of achievements from one area into others, mutually reinforce their beneficial character, and promote desired development outcomes. Another essential feature - the new multilateralism should not lose sight of the **most vulnerable segments of the world population**. Its success can only be ensured through a **larger engagement of a broad range of stakeholders including civil society and private sector**. Finally, the Secretary-General underlined the need for the **revision of the current multilateral architecture** to make it more reflective of the 21st century and more effective in the face of this century's megatrends.

The UN is well positioned to promote multilateral and integrated approaches to tackle global challenges. However, the multiple crises represent a tremendous challenge to UN credibility demonstrating how much needs to be done to improve the effectiveness of the Organization's response.

Harnessing UN's capacity to respond

How do we transform the UN into a multilateral institution with the potential to fulfill the Secretary-General's expectations? How can we harness UN's capacity to foresee the upcoming crises, and to prevent or respond effectively? One lesson we have learnt from the multiple crises is that there is space for improvement in UN's forecasting function. The assessment, analysis, and proposal of effective solutions are all the key areas in which the Organization is expected to deliver. Strategic choices need to be made to boost UN's capacity to respond to global challenges. What choices will we make for the near future in terms of the key objectives, main focus areas, overall strategy, and delivery mechanisms?

To rise to the challenge, the UN should be able to take the lead in setting the global agenda, engage effectively with other multilateral, and regional organizations as well as civil society and non-state stakeholders, and transform itself into a tool to help implement the globally agreed objectives. For that to happen, it will be necessary to deeply reflect on the substance of sovereignty, and accept that changes in our perceptions are a good indication of the direction we are going.

Paper prepared by the United Nations Institute for Training and Research

The Secretary-General's Retreat 2010
Alpbach, Austria • 5–6 September 2010

PLENARY SESSION 2
LATEST TRENDS IN INTERNATIONAL NEGOTIATIONS AND PROCESSES:
THE CLIMATE CHANGE'S CHALLENGE

Introduction

Our planet's ability to sustain life, as we know it is under enormous strain. The human footprint resulting from rising greenhouse gas emissions, environmental degradation, increased resource consumption, rapid population growth and other demographic trends is approaching dangerous tipping points. The consequences – for our species, as well as other species and the ecosystems that sustain us – could be grave.

The next forty years will prove pivotal. By 2050, when global population growth is expected to crest, an estimated 9 billion people will inhabit our planet – nearly fifty percent more than today. By that same year – 2050 – according to the Intergovernmental Panel on Climate Change (IPCC), the world would need to cut greenhouse gas emissions by at least fifty percent to keep within a two degrees Celsius threshold and hence avert potential climate chaos. And many say the two degrees Celsius threshold is already too dangerous.

How will we provide a dignified life for all, while not irreparably damaging the planet that sustains us? **How will the world provide the clean water, food, shelter, energy and other resources needed by up to fifty percent more people, while simultaneously reducing global emissions by at least fifty percent?** How do we square this circle? And what does this mean for millions of the world's poorest people if we don't? For international security? For equity? For the world our children and future generations will inherit?

The "50-50-50 Challenge"

This, in a nutshell, is the **"50-50-50 Challenge"** that is facing humanity as a whole. Of course, it cannot be addressed by any single individual, nation or organization alone. But especially for the world body that is supposed to bring everybody together to tackle these types of global challenges, our ability to respond coherently and effectively could determine the UN's relevance – or lack thereof – in the 21st century.

We already know the elements of the response: nothing less than a fundamental transformation of the global economy is needed, one based on clean energy resources coupled with the proper policy framework and market incentives to support it. Nothing is more crucial to preventing run-away climate change than lifting billions out of poverty, protecting our planet, and fostering long-term peace and prosperity for all.

Now more than ever, we must connect the dots and address these issues simultaneously in all their complexity and interlinkages. Is the global governance structure, still dominated by national sovereignty, capable of responding with the coherence and speed needed? Can we harness the power of technology and markets to amplify the work of existing policy frameworks? Or do we need to push the 'reset' button and rethink global governance to meet the **"50-50-50 Challenge"**?

The Climate Change's Challenge on the International Agenda

The year 2009 saw unprecedented focus on climate change, culminating in the UN Conference on Climate Change in Copenhagen. Over 100 Heads of States and Government came together twice during the year to focus just on climate change – and there were other regional, mini summits throughout the year doing the same. The UN system was also able to mobilize in ways never before.

But since Copenhagen, the issue of climate change seems to have been slipping off the agenda. There seems to be an overarching sense of pessimism on the part of all actors that solutions, especially political ones, are elusive. Yet emissions continue to rise, the impacts continue to be worse than predicted, and the solutions that are being applied are not reaching the needed scale.

There is some good news to report after Copenhagen. We have had unprecedented mobilization of world's top leadership on climate, demonstrating that there is political will to do something. Also, the scientific and economic case for action has never been stronger. But we also have bad news: the negotiations are not moving forward as fast as the growth of emissions, and their adverse impacts. Nature is not in a position to negotiate. We are still very far from meeting scientific bottom-line. Decades-old issues of equity, trust, and power still unresolved, and current governance and negotiating structures not proving effective at resolving them. National sovereignty remains supreme. Is the UN system up to the task? The UN System – as a whole – has had a difficult time to connect the needs for implementation – as expressed in the UNFCCC negotiations – with what it does on ground supporting Member States on development and humanitarian issues like energy, food, peace and security.

The clock is ticking. Do we need a fundamental re-think? Many say we need to shift climate change from being an externality to the centre of the development process. But how? And will that work? Should we perhaps focus more on positive, incentives-based approaches (for encouraging low-carbon alternative development strategies), as opposed to the punitive approaches (of simply setting mitigation targets)? Moving from a 'should' to a 'could' to elicit the public support that is essential for mobilizing political will, and to translate that into action. Perhaps we should pursue both strategies, with one being complementary to the other?

We are over halfway between Copenhagen and Cancun – the place of the next UN Conference on Climate Change. While there is always some incremental progress to show, expectations for Cancun are being lowered by the day. The long-term objective of a comprehensive legally binding agreement is definitely not on the table for Cancun. Can we at least expect that an "implementation architecture" is adopted in Cancun focussing on a few concrete deliverables, such as reduced emissions from deforestation and land degradation (REDD), capacity building, technology centres, adaptation framework and financing, which will enable action on the ground now while negotiations on a comprehensive solution continue?

The world of the key actors in climate change has been changing. The emerging developing countries (Brazil, South Africa, India, China – the BASIC) have now become key players. Their current and future emissions are large, and increasing. They are also emerging as major economic, political and military powers to be reckoned with. The present US administration is more sympathetic to climate change issues than any other previous administration – yet it has been unable to deliver domestic legislation on climate change. Yet this is key for moving forward the intergovernmental negotiations.

And after the difficulties of adopting the Copenhagen Accord, many are saying that the multilateral process is unable to resolve these issues, and that one could consider going to smaller groupings, such as the MEF or the G20.

Ways Forward: "Connecting the Dots"

Over the years, the UN has invested a great deal in analysis. We have studied the constituent parts of the whole, and have created specialized bodies to address them. But synthesis – connecting the dots, making sense of the inter-linkages and providing ways to leverage progress across a range of issues (climate, water, food, energy, health) – has been historically a weak point.

By contrast, it should be the UN's strength – its unique added value. We have to put the pieces together, connect the dots, both conceptually and practically. At the conceptual level, the world hankers for a vision of a better future, going beyond the doom and gloom to something that can inspire, energize and win. At the practical level, through the UN system we have all kinds of expertise and capacities, even if not adequate resources, to actually do something. If

we strengthen our coherence and delivery “as One” we can show the way of addressing the global interconnected challenges of today and tomorrow.

How can we use the potential of this organization and its people to advance simultaneously on both the conceptual and the practical fronts? How can we synthesize and make sense of numerous data points from all Member States to come up with a big picture view of 21st century global sustainability, while addressing effectively each individual challenge like climate change, food and water scarcity, energy security, new and old diseases, biodiversity loss, and beyond?

Our vision for the future needs to be both compelling and credible. It needs to show how we can provide a dignified life for some nine billion people sharing one fragile planet in an equitable manner. Drawing from that vision, the Secretary-General could establish a handful of top priorities for multi-disciplinary, international action. Climate change already is one such priority. We have also set such priorities in the context of the MDGs, as well as in other treaty processes, such as for biodiversity, desertification, etc. But these dots remain unconnected dots. Can we rise to the challenge of coming up with strategies to connect them?

In addition to the various ongoing intergovernmental processes dealing with these issues, such as the Conference of the Parties of the UNFCCC, the CBD and CCD, UNEP’s Governing Council, the Commission for Sustainable Development, UNDP’s Executive Board – and the list goes on – in the next two years the UN system has at least two major opportunities to provide a compelling and credible vision of how it is prepared to support Member States.

First, the process leading to the UN Conference on Sustainable Development/Rio 2012, which has already started. Member States have embarked on negotiations towards an eventual outcome. But at this stage the outlook for the event is not very encouraging. While the desire for change seems to be there, the actual political and economic prerequisite to agree to change is not. At best, Member States know what they don’t want from this conference. But where is the vision? The UN has the secretariat of that process and can provide strategic input to make it more ambitious, action-oriented and substantive, based on our collective inputs.

On the 9th of August, the Secretary-General launched the High-level Panel on Global Sustainability (GPS), co-chaired by President Halonen of Finland and President Zuma of South Africa. The Panel has been tasked with reflecting on a new vision for sustainable growth and prosperity in a carbon-constrained world, along with mechanisms for achieving it, with its recommendations due by the end of 2011. Work on this Panel has barely started, and the first meeting will take place on the 19th of September.

Rio 2012 is an intergovernmental process with secretariat inputs; the High-level Panel is a group of eminent personalities with political experience in an out-of-the-box setting, again supported by a UN secretariat. These are two complementary processes, which, if handled properly not least from our part, can lead to a breakthrough in terms of the world’s overall approach to sustainable development and what can be done to achieve it.

Are we ready to empower the Secretary-General with our collective ideas on a different vision of sustainable development, one that will enable growth and prosperity, while respecting planetary boundaries? Furthermore, are we prepared to also prepare a strategic roadmap of how to get there? The Planet and the World are both waiting for it.

As a follow-up to the Retreat, the UN secretariats of the Rio 2012 process and the Global Sustainability Panel should engage the UN system in ways that will maximize their collective input into these processes to demonstrate the UN’s relevance in the 21st century.

Paper prepared by the Climate Change Support Team (Executive Office of the Secretary-General)

The Secretary-General's Retreat 2010
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PLENARY SESSION 2

**LATEST TRENDS IN INTERNATIONAL NEGOTIATIONS AND PROCESSES:
FOOD AND NUTRITION SECURITY**

A System-wide Response and a Shared Strategic Vision

Since 2008, when the purchase price of food grains soared and prompted rioting in more than 30 locations, the international community has focused on both the immediate hardships faced by those short of food and the longer-term challenges of helping them become food secure. In April 2008 the CEB responded to the threats posed by rising food prices by seeking system-wide coherence around a comprehensive and unified response to food insecurity. The Heads of 22 United Nations Specialized Agencies, Funds, Programmes, UN Secretariat Departments, the World Trade Organization, the World Bank, the International Monetary Fund and the Organization for Economic Cooperation and Development were brought together in a High-Level Task Force (HLTF) on the Global Food Security Crisis, chaired by the UN Secretary-General.

This temporary and light-touch mechanism is designed to build on the strengths of the HLTF members: the HLTF's Comprehensive Framework for Action (CFA) – released in July 2008 – sets out a joint strategic vision. The vision is now being pursued by the HLTF Member agencies as they back longer-term responses to food security within countries.

Setting-up a Global Partnership

Towards the end of 2008 many stakeholders sought to encourage the creation of a Global Partnership on Agriculture and Food Security. While donor nations (led by the G8 during 2008 and 2009) wanted to emphasize an informal partnership of multiple actors based on agreed principles, many G77 governments and civil society actors sought arrangements that were legitimized through intergovernmental processes and chose to build on the remodeled Committee on World Food Security (CFS). These reforms all aim at improved governance and accountability for food and nutrition security within the framework of the Global Partnership for Agriculture, Food Security and Nutrition (GPAFSN).

A G8 Plus Initiative for Actions Led from the Country Level

The L'Aquila Food Security Initiative (AFSI), launched at the G8 Summit under the Italian Presidency, symbolized the transformation of the G8 into a much larger ad hoc group. Twenty-six nations (18 of them from the G20) and 14 organizations, including the UN system (Secretary-General as Chair of the HLTF) agreed to intensify their efforts to improve food and nutrition security, and work according to a set of principles:

- Support national governments taking the lead on strategies for better food security;
- Encourage comprehensive approaches that address all dimensions of food security;
- Reflect coordinated actions at all levels by all stakeholders;
- Make full use of our multilateral system; and
- Lead to increased spending and measurable results.

G8 countries and other donor nations (Australia, Netherlands, Spain, and Sweden) made commitments to a value of \$22 billion, \$6 billion of which is new money.¹

The principles – endorsed at the 2009 Summit on World Food Security – are now the Five Rome Principles for Sustainable Global Food Security.

¹ Individual pledging figures are reflected in the tracking table attached to the 2010 G8 Muskoka Accountability Report.

Where to Focus – Governance or Results?

The remainder of this paper focuses on where the UN system should focus its attention. The short answer is on Governance (including normative, technical assistance, monitoring, reporting, and coordination functions within the context of its support for intergovernmental negotiations and agreements) and on results (specifically those aspects of development practice that yield sustainable benefits for those most in need and least able to realize their human rights). In practice, however, choices have to be made and these are more challenging now than they were, say, five or ten years ago.

The l'Aquila Initiative is evolving. But there are differences in the emphases of Member States as they seek both to engage with the initiatives that are designed to give a boost to development priorities, and to encourage improvements in governance of actions around these priorities. Here are some specifics:

- Those Member States deeply engaged in the revitalization of the CFS – including representatives of newly emerging and G77 nations and several from civil society – would like to see the CFS managing the implementation of the l'Aquila initiative. This fits with their view that the CFS should be the overarching governance mechanism, given its legitimacy as a member state body. The UN system, particularly the Rome-based agriculture and food agencies, is centrally involved in supporting the evolution of the CFS, with its plans to develop a new Global Strategic Framework for Food and Nutrition Security, its High Level Panel of Experts and its efforts to ensure coordination and monitoring of all initiatives that bear on food security.
- Some of the Member States who are explicitly concerned with the implementation of the l'Aquila initiative acknowledge the need for better global governance of food security and nutrition but want to be sure that there are well co-ordinated systems in place for efficient and accountable management (and tracking) of international assistance – and they explicitly request the UN system to support the creation and operation of these systems especially at country and regional level.
- Several Member States – including some within the G8 and G20 – are explicitly backing both processes while requiring that they remain distinct. They expect the UN system to provide a link between the processes.
- The G20 requested the creation of a dedicated funding pathway – the World Bank-managed Global Agriculture and Food Security Programme (GAFSP) – with its own independent governance structure. At least four G20 members, some other OECD members and a philanthropic foundation are contributing to the GAFSP. There is an expectation that the UN entities and the World Bank will work closely together ensuring consistency between country level operations, normative and standard setting functions and support for national authorities as they develop investment strategies that can be backed through this GAFSP. The HLTF has helped ensure effective World Bank – UN cooperation.

Five years ago we could have generalized from this analysis. We would have concluded that (a) OECD Member States are primarily concerned with improved coherence and accountability of donor support for priority MDG-related actions through country-led processes (in line with Paris and Accra principles) and (b) the broader community of UN member states seeks to exercise collective governance of all actions related to food security and nutrition. This dichotomy always exposed one particular challenge – how to engage the interests of philanthropic foundations and businesses? Typically arrangements that involve all member states move slowly and are characterized by suspicion of attempts to engage the private sector as full partners. At the same time, initiatives championed by groups of donors are seen to lack legitimacy...The UN system has had to function in support of both – and to do this in an even handed way – and this has not always been appreciated by each group.

The situation now (2010) is more complex, with even greater challenges for the UN system. Development assistance funding is less readily available and the donors are ever more focused on demonstrable results. At the same time, newly emerging states are themselves providing more assistance but not necessarily through standard donor channels. Each group has demands of the UN system particularly in the area of food and nutrition which is characterized by much south-south cooperation and trade.

Conclusions

There has been considerable progress in all these areas as a result of the UN system High Level Task Force on Global Food Security which has enabled the Secretary-General and the UN system as a whole to bridge a number of challenging gaps in the international system. But there is room for more progress on patterns of working that encourage and reward common analyses, effective implementation and joint systems for monitoring progress, with a central role, at all times, for national authorities.

Annex

Ensuring that the UN System Continues to Add Value in Today's Context

There are five challenges that the multilateral – United Nations - system must address to reflect the demands of Member States and to add value to their collective processes so that they yield ever greater food and nutrition security for those who are most in need (and are least able to realize their right to food and nutrition).

- **Sustaining comprehensive approaches** in a way that links efforts (a) to improve smallholder farmers' food production and availability, (b) to ensure that all people are able to access the food they need (and enjoy their right to food), (c) to increase the likelihood that the most vulnerable people can utilize (and be adequately nourished by) the food they eat – and (d) to do this in ways that take account of climate change, access to land and water scarcity.
 - This means that UN system agencies have to share and pursue one overarching analytical perspective on the issues being faced by communities and nations affected by food insecurity, and on response options (analyzed from technical, institutional and political perspectives) within each country and region);
 - To help achieve this, the CFA is being revised as a basis for the HLTF's analysis, engagement and action – in close cooperation with the CFS' strategic work. The challenge is to ensure that the CFA principles and recommendations are reflected in the work of agencies, especially within countries.
- **Encouraging effective support for country-led and regional actions** that improve food and nutrition security and include (a) joint investment planning, (b) coordinated stewardship (c) mutual accountability and (d) predictability and trust at national, regional and global levels.
 - This implies an important role for HLTF entities, working through existing mechanisms at the interface between national authorities and other country-level stakeholders, regional platforms, multilateral banks and global intergovernmental arrangements, to support these country-led processes;
 - At the same time, donors expect to see clear results, and an analysis of successes and failures, through global programmes which standardize progress assessments and compare what is happening in countries. Member-state run governance fights shy of such comparisons. Donors' needs for robust accountability have to be squared with the principles of country ownership and leadership. HLTF entities can help to bridge this challenging gap.
- **Linking together a broad range of public sector, business and civil society partners**, ensuring that global arrangements for partnering contribute to more effective action and outcomes at local and national levels.
 - This requires that partners are able to engage in ways that ensure the participation of stakeholders from local, national and regional levels, engagement of the research community, and a welcome to those with quite narrow interests from civil society and business.
 - The UN system – via the HLTF – should be in a position to help partners to make effective contributions to agreed outcomes and to have their interests taken into account in any discourse about "global governance". This is another gap that has to be bridged.

- **Ensuring strong contributions by the different elements of the multilateral system** – working together at all levels while maintaining respect for diverse mandates; ensuring that synergy results in more effective outcomes without establishing additional bureaucracy.
 - This implies a far greater emphasis on effective systems for the joint design and implementation of effective actions by different UN systems entities, with a greater appreciation of the roles, comparative advantage and optimal interagency working arrangements;
 - Single communications from heads of HLTF entities to their country representatives are always to be preferred to agency-specific communications. Emphasis must always be given to the importance of effective joint working – characterized by harmony, synergy and coherence, and a willingness to partner with others. Again this is not easy – the gaps between practices of individual agencies are often very hard to bridge at country level.
- **Tracking progress, and communicating both intentions and results at country, regional and global levels.**
 - This implies a need for HLTF entities to work together tracking and illuminating ways in which their individual and collective contributions add value;
 - They also need coherent and comprehensible message boards that can be well used by all.



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PLENARY SESSION 2

**LATEST TRENDS IN INTERNATIONAL NEGOTIATIONS AND PROCESSES:
GLOBAL HEALTH**

Introduction

The importance of health to economic productivity, social stability, security, human rights and poverty reduction has been firmly demonstrated. Global health is gaining prominence and recognition as an engine for global development – with the health-related MDGs continuing to serve as the barometer of progress. Within an environment where the centrality of health is increasingly recognised, the United Nations (UN) agencies, funds and programmes should be increasingly positioned as the collective, expert leadership for global health. Within this role, UN system leaders can work together to further elevate health at the political level. Global health is a leaders-level issue. The UN should support world leaders to do all they can to work effectively together, mobilise all types of required resources and secure a healthy, safe and better world.

The Global Health's Challenges

The UN is already at the centre of global health activities and debates. Vigilance in the face of disease outbreaks and humanitarian crises, as well as sustained support to countries' programmes has delivered notable success. Yet significant challenges remain in securing better health for many communities around the world. This is largely due to deficient health systems, threats to health security posed by emerging diseases, and profound inequities – illustrating a failure to allocate adequate resources to healthcare for the poor, women and children. A summary of current and future challenges on some key global health issues follows:

- The H1N1 influenza pandemic reminded us of the rapid spread of new pathogens and demonstrated the effectiveness of the International Health Regulations led by the World Health Organization. The Director-General of World Health Organization was joined by the Secretary-General in promoting access to pandemic vaccines, and through the UN steering group on influenza coordination, ensuring a coordinated response to the H1N1 pandemic. The response, which included delivery of H1N1 vaccines to at least 83 developing countries, must be sustained at an appropriate level so that countries are equipped in the event of a further outbreak. Strong vaccine supply and delivery systems have been highlighted by the H1N1 pandemic as a critical need.
- There has been tremendous progress against malaria over a short period of time: over 150 million insecticide treated nets were delivered to Africa in the two year period 2008-2009, and nine countries have reduced child deaths by over fifty percent. However, malaria still kills over 800,000 people a year, most of them children under five and pregnant women. If we can continue on the current trajectory of ramping up efforts, we could achieve the previously-unimaginable goal of zero deaths from malaria by 2015.
- We have seen measurable forward movement in the AIDS response, which is an integral part of the development agenda. Since 2001, global rates of new infections have decreased by 17 per cent. At the same time, HIV treatment access in low- and middle-income countries increased ten-fold over a span of just five years - bringing to four million the number of people on antiretroviral therapy at the end of 2008. We have the tools and techniques today to virtually eliminate mother-to-child HIV transmission. HIV-based stigma and discrimination are being confronted more strongly, as demonstrated by several countries that have lifted decades-old travel restrictions against people living with HIV. Yet real challenges remain. AIDS remains the leading cause of death among women of reproductive age worldwide. Shortfalls in public financing threaten the progress made in curbing the epidemic's spread and saving the lives of those infected. Four out of five low- and middle-income countries are currently not on track to reach their Universal Access targets.
- Improved food and nutrition security is essential for achieving better health, particularly for women and children. Yet under-nutrition contributes to one-third of deaths among children world-wide. Advances in

policy, such as an increasing emphasis on the need for nutrition-sensitive development, coupled with targeted nutrition-specific interventions, should help drive progress. A group of committed stakeholders has recently developed a 'Framework for Action to Scale Up Nutrition' (SUN Framework) which addresses these two lines of activities and has been endorsed by more than 100 organisations.

- Progress on both maternal and child has been made in some of the world's poorest countries. The *2010 Countdown Decade Report* cites that 19 of the 68 countries being followed are on track to achieve MDG 4. New vaccines now offer an opportunity to tackle the two biggest killers of children – diarrhea and pneumonia – which would significantly reduce the number of preventable child deaths. On maternal health, the critical indicator of a functioning health system, the world has made unacceptably slow progress. At least 200 million women still lack access to family-planning services, and an estimated 70,000 girls aged 15-19 die each year from pregnancy and childbirth-related deaths, including unsafe abortion.
- The prevention and control of non-communicable diseases such as cardiovascular diseases, cancers, chronic respiratory diseases and diabetes is emerging as a key issue for countries across the world. These most prominent non-communicable diseases are commonly linked to risk factors such as tobacco use, alcohol abuse, an unhealthy diet, physical inactivity and environmental carcinogens. They have economic, social, gender, political, behavioural and environmental determinants and will require an explicit multi-sector and locally- applicable response.

Ways Forward

Going forward, the UN system will be both scrutinized and assessed on its ability to work together, capitalise on innovation – for example in the area of information technology - and remain a leader at the centre of the global health discourse. At this critical juncture – with five years left to meet the MDGs – we can and must reassert the centrality of the UN in global health, building on the tremendous assets of the UN system and advancing our work towards system-wide coherence. The health and development architecture can be simplified through rigorously applying “delivering as one” principles to the UN's work related to health. Already, WHO, UNICEF, UNFPA, UNAIDS and the World Bank are working together to harmonise their effort in support of countries' national health policies, strategies and plans and their implementation. The United Nations Development Assistance Frameworks (UNDAFs) are a specific avenue whereby countries can be supported to better address health challenges and ensure that links are forged with other sectors.

The links between global health, gender equality, HIV/AIDS and other pressing challenges, such as climate change and food security are increasingly understood by many stakeholders. Significant value could be generated through countries' efforts to translate these links into joined-up action on the ground. Inter-sectoral approaches must recognize the many links not only among the health-related MDGs, but also between those MDGs and the rest of the goals. For example, countries must address persistent inequities – in particular related to gender. Here, the evidence is telling: in countries with similar levels of economic development, the higher the social status of women, the lower the maternal mortality rates.

This past year, the UN Secretary-General has called for renewed focus on achieving the health-related Millennium Development Goals – putting the health of women and children at the centre of efforts. *The Global Strategy for Women's and Children's Health* has brought together a range of stakeholders, from governments and UN entities to foundations and the business community as part of a global effort. The global effort seeks to build upon and revitalize existing commitments, secure new commitments from a range of influential partners, and provide organization and accountability for delivery at the highest levels. This strategy is one example of a key opportunity that the UN and its partners can build on. It should be utilized both as an advocacy tool and a strategic framework by which new partners can be engaged in the work of the UN, and through which existing partnerships can be strengthened.

For the UN agencies, funds and programmes working on health related issues, the next five years offer a time-limited opportunity to build on recent progress and the current position of health as a prime mover for global development. A continued focus on results, innovation and partnership will be critical in order for the UN's strong technical and operational work to be elevated, understood and supported at the highest political levels across the globe.

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PLENARY SESSION 2

**LATEST TRENDS IN INTERNATIONAL NEGOTIATIONS AND PROCESSES:
THE UNITED NATIONS SYSTEM AND THE G20**

Background

The G20 was set up among Finance Ministers of major economies after the 1997-1998 Asian crisis by then US Deputy Treasury Secretary Summers, with then Canadian Finance Minister Martin becoming the first chair. Martin tried -- without success -- to organize a parallel leaders' meeting after becoming Prime Minister. In October 2008, the UN Secretary-General concurred with President Sarkozy's suggestion to convene such a leaders' meeting on the financial crisis at the United Nations in New York. Later, President Sarkozy spoke to President Bush, and at the insistence of the White House, the venue of the meeting was changed to Washington. Subsequent meetings have been held in London in April 2009, in Pittsburgh in September 2009 and in Toronto in June 2010. The next summit is scheduled to be held in November in Seoul, Republic of Korea.

UN engagement with the G20

The Secretary-General has participated in all the G20 summits held so far. He has also made efforts to influence the agendas and outcomes of these summits. The SG's letter to G20 leaders before the London summit set a \$1 trillion target for the recovery effort. It also drew attention to how cross-border public investments in renewable energy as well as smallholder food agriculture would not only contribute to economic recovery, but also to addressing climate change, food security and development challenges.

The SG's letter before the Toronto Summit sought to address the G20's fiscal concerns, e.g. by raising the need for international cooperation on tax matters, while reminding the G20 leaders of the importance of full engagement with inclusive multilateralism, i.e. the UN. The SG also sought support for his joint action plan for women's and children's health besides calling for inclusive growth and a green recovery.

At its first three summit level meetings, the G20 was quite successful in co-ordinating international countercyclical responses to the crisis by trying to ensure affordable credit flows, encouraging fiscal stimuli and limiting protectionist responses. At Toronto, however, agreement remained elusive on how best to address fiscal sustainability. Meanwhile, earlier concerns about inflation have given way to new concerns about deflation.

Recent fiscal crises have increased pressure to cut back on reflationary efforts despite the continued fragility of the recovery, as well as very high unemployment and vulnerable employment rates. ODA tends to be very vulnerable to fiscal cuts, even as significantly greater efforts will be needed to achieve the MDGs and the other internationally agreed development goals after the recent setbacks associated with the food, climate and financial crises and their ramifications. There also seems to be little agreement on the desirability of financial transactions taxes and the earlier commitment to financial regulatory reform.

Despite their significance, the leaders' meetings remain ad hoc, with the host government greatly influencing arrangements for each meeting. The UN's involvement at the preparatory or sherpa level has been uneven over the last 22 months. The UN's non-involvement with the Finance Ministers and their Deputies remains a distinct disadvantage, especially in engaging on substantive issues.

As of now, Member States remain divided over the nature of UN engagement with the G20, with non-G20 member states only in agreement that the UN should engage on its own terms, rather than on G20 terms. The Chairs of the G20 have made efforts to engage with the larger membership of the UN by holding consultations prior to the summits as well as briefings after the meetings. Some Member States, through the Group on Global Governance (3G), have

proposed finding modalities for connecting with the G20, including through 'variable geometry'. These discussions are still on-going.

The G20 was quite successful in co-ordinating international countercyclical responses to the crisis by trying to ensure affordable credit flows, encouraging fiscal stimuli, limiting protectionist responses and greatly augmenting IMF resources. However, fiscal sustainability, the fragility of the recovery, financial regulatory reform, financial and currency transactions taxes as well as other reform matters continue to remain formidable challenges.

At the Seoul summit in November, the RoK government will be adding financial safety nets as well as development to the G20 agenda. These initiatives provide an important new opportunity for the Secretary-General to impress upon the G20 the need for meeting their commitments in the context of the UN system as the legitimate embodiment of inclusive multilateralism. Hence, it will be crucial to build on these opportunities to strengthen UN engagement, including the SG's participation.

The Seoul Summit and Beyond

- **Working Group on Development.** The recent establishment by the G20 sherpas of its first Working Group -- on Development -- provides a new G20 platform where the UN can make an impact. Many in the G20 emphasize growth, and believe that the UN emphasis on the MDGs has detracted from the earlier development policy emphasis on growth. While growth is essential, it is not sufficient for balanced and sustainable development, as emphasized in the UN development agenda to achieve the internationally agreed development goals. Such concerns were expressed by several members at the G20 Development Working Group meeting, but none linked the G20 development initiative to the UN except for some mention of the MDGs. The G20 members should be persuaded that engaging with the UN system will be appreciated by the rest of the international community and will also be advantageous to the G20.

The co-Chairs of the Working Group -- Korea and South Africa -- have invited G20 members and international organizations to present proposals for its multi-year action plan consistent with its Framework for Strong, Sustained and Balanced Growth. As of now, the G20's initial thinking on priority areas has emphasized innovation, infrastructure, human resource development, investment and job creation and food security. They are developing strict criteria² for selecting priorities for the plan. The SG has initiated rapid system-wide engagement, through UNDG and EC-ESA, to prepare the UN system submission. Building on the Global Pulse report, the UN can link its work on vulnerability to the G20 interest in promoting growth with resilience.

- **Engaging with Finance Ministers.** The G20 develops most of its policy positions and initiatives at the meetings of Finance Ministers and their Deputies who have set up several working and expert groups, mainly on macro-financial issues. The absence of the UN from these processes and meetings puts it at a decided disadvantage in policy discussions, even on development issues, however narrowly defined. Moreover, the UN continues to be marginalized from all G20 macro-financial discussions despite their importance for sustainable development and social progress as well as the UN's acknowledged macroeconomic analytical track record.

It is therefore urgent to secure UN participation at the meetings of Finance Ministers and their Deputies. If the issue comes up at the next G20 Finance Deputies meeting in Gwangju on 4-5 September (when we are scheduled to meet in Alpbach, Tyrol, Austria), it is important that UN participation has enough support. We have commitments of support from half the sherpas at Seoul in July, mainly from developing countries, but it is not clear how effectively they have communicated with their respective Finance Deputies in capitals.

² Proposals will only be adopted as G20 priorities if they *fully meet these criteria*. Although not yet settled, the criteria are likely to include: growth and resilience oriented; focus on innovation and private sector involvement; address challenges of a global and systemic nature (considering G20 strengths in international coordination and cooperation); supplement existing initiatives; action and results oriented; involve mutual accountability of all development partners.

For enhanced UN system participation in G20 meetings and processes, it will be crucial for all members of the UNDG and EC-ESA to work together, effectively and strategically, with the G20 members. The ILO heightened its involvement before Pittsburgh last September through the G20 Employment and Labour Ministers' initiative, and UNCTAD now contributes to the G20 Mutual Assessment Process and the G20 work on investment. As the UN in New York and Geneva has limited contact with Finance Ministers, the regional commissions with such contacts could play an important advocacy role in this effort. The MDG Summit Outcome will offer another important opportunity to ensure that Finance Ministers develop a greater interest and stake in the UN, especially if it significantly advances Financing for Development initiatives and processes, e.g. on international tax cooperation and sovereign debt workouts.

Ways forward

The Seoul Summit offers a unique opportunity for the United Nations to strengthen its engagement with the G20. While the Korean host has made special efforts to engage the UN, there is still much heavy lifting to be done by and for the UN system.

- The SG's leadership and system wide support and advocacy would greatly help secure a more significant role for the UN system on the G20 platform, especially through involvement with the Finance Ministers' and Deputies' meetings and processes.
- The UN system inputs to the G20 Development Working Group's proposed action plan must be strategic while taking full cognizance of the G20's strict criteria for selection and prioritization.
- We must also start planning for the medium-term as France will have the G20 presidency in 2011 and Mexico in 2012.

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PLENARY SESSION 3
THE YEAR OF THE MDGs: WHAT DO WE WANT TO ACHIEVE?

Introduction

A successful Summit should generate a renewed political commitment to achieve the MDGs and lead to a global action agenda that specifies clear and unambiguous roles and concrete strategies for action for all stakeholders to support MDG acceleration and achieve the 2015 targets.

Preparations for the MDG Summit

Preparations for the Summit are well under way. The MDG Task Team, comprising over 15 UN entities established to coordinate UN system-wide activities in preparation for the MDG Summit, has met regularly since February. Focusing on the key message that the MDGs can be achieved, UN entities have launched a number of reports (including two of the three major analytical reports mandated by the GA) and organised regional and global MDG-related events. The Secretary-General has also established an MDG Advocacy Group consisting of eminent personalities tasked with helping the Secretary-General to build political will and mobilize global action on the MDGs ahead of the Summit, and to support and advocate MDG implementation by their target date of 2015.

In March, the Secretary-General launched the Report “Keeping the promise: A forward-looking review to promote an agreed action agenda to achieve the MDGs by 2015”. The report presents information on progress made in achieving the MDGs through a comprehensive review of successes, best practices and lessons learned, obstacles and gaps, and challenges and opportunities, leading to concrete strategies for action. Together with other documents and processes, the report is the foundation for Member States negotiations on the outcome document.

The global “2010 MDG Report” was released in June. It confirms trends of success and uneven progress, and states that the developing world as a whole can meet the poverty reduction target by 2015, despite significant setbacks due to the 2008-2009 economic and financial downturn, and the food and energy crises. Although the overall poverty rate is still expected to fall to 15 per cent by 2015, poverty rates will be slightly higher in 2015 than they would have been had the world economy grown steadily at its pre-crisis pace. The report states that without a major push forward, many of the MDG targets are likely to be missed in most regions. Old and new challenges threaten to further slow progress in some areas or even undo successes achieved so far.

The MDG Gap Task Force is reviewing and assessing progress on commitments made under MDG 8 ‘Develop a global partnership for development’, including ODA and access to market, medicine and new technologies. The 2010 Gap Task Force report will also include an analysis on delivery gaps, coverage gaps and country level needs gaps. A preliminary draft of the report was released to member states on July 2nd.

In June 2010, UNDP released “What will it take to achieve the Millennium Development Goals? - An International Assessment”. Based on a review of 50 country studies as well as consultations with Member States and partner agencies, it complements the recommendations contained in the Secretary-General’s report. It finds that acceleration of progress over the next five years will need to focus on continuing proven strategies, policies and interventions and making a radical break with those that do not work.

The UNDG Policy Network for the MDGs has released a publication on “MDG Good Practices”, looking at various constraints and challenges in achieving the Goals, in each country’s context. It presents a diverse range of nationally-led programmes, policy interventions and locally-tailored support to address specific challenges. Most significantly, they demonstrate that, even under resource-constrained circumstances, there are innovative ways of overcoming obstacles to accelerate progress.

The UN has also supported several MDG related events, such as the DFID Conference on the MDGs "Agenda 2010: The Turning Point on Poverty," held in London, UK, on 11 March 2010; the Europe and CIS MDG +10 Regional Conference, held in Istanbul, Turkey, from 9 to 10 June 2010; the High-Level Event on MDG 8 hosted by the Spanish Government in Madrid, Spain, from 9 to 10 June 2010; and the Summit of the African Union held in Kampala, Uganda, from 19 to 27 July 2010, under the theme "Maternal, Infant and Child Health and Development in Africa".

Efforts by the Secretary-General and the UN system, along with Member States, have effectively positioned the Summit process in terms not only of accelerating MDG progress but also mobilizing action on the broader development agenda. The latest version of the draft Summit outcome document reflects the four components identified in the Secretary-General's Policy Committee decision as priorities:

- Need for urgent action to accelerate MDG progress;
- Links between the MDGs and broader UN agenda, as well as addressing the multiple and interrelated crises, including the financial and economic crisis, volatile energy prices, growing concerns over food insecurity, the increasing challenges posed by climate change as well as promotion of human rights and good governance;
- Recognition of the special needs and challenges faced by countries in conflict/post-crisis zones; and
- Need for investment in development, especially in areas that directly address MDG implementation gaps and current challenges.

Recently, the Secretary-General has used the G8 and G20 Summit processes to draw attention to investing in the MDGs as a critical component of sustaining the global recovery and putting the world economy on the path to a stronger, more sustainable, inclusive and balanced growth. He has warned leaders of the G8 and G20 countries not to use global economic and financial difficulties as 'an excuse' to neglect previous pledges of billions of dollars for the world's poor – for doubling aid to Africa, food security, malaria and AIDS programs and maternal and child health care.

The Way Forward

With five years to go to the target date for attaining the MDGs, it is important to build upon the many successes already achieved to accelerate progress towards the MDGs. With the right policies, adequate investment and reliable international support, the MDGs remain achievable. Today, we have the resources and knowledge to achieve the MDGs. What is required is the commitment to effectively pursue the strategies, policies and interventions that have accelerated progress on multiple MDGs. In the remaining weeks before the MDG Summit, bilateral engagements with Member States by the Secretary-General and senior UN officials should focus on pressing for actions to bridge the implementation gaps under MDG-8. In order to address the other MDGs, the UN also needs to strengthen the coordinated support it offers to countries that wish to accelerate MDG progress.

Strategies and Actions for MDG Implementation

Drawing on the reports that have been prepared in advance of the Summit, the following strategies and actions are flagged as priorities:

- Support country-led development strategies, including national ownership, institutional capacity, and localised MDG support;
- Foster inclusive economic growth through promotion of employment-intensive growth and addressing rural-urban inequalities by supporting agriculture;
- Facilitate early conclusion of a development-oriented multilateral trade Round and provide 100 per cent duty-free and quota-free market access to exports from least developed countries;
- Increase public investments in education, health, water and sanitation, and infrastructure;
- Invest in women and girls. Ensuring girls' access to health and education helps to make progress on all the MDGs, as does ensuring women's access to equal rights;
- Scale up interventions to ensure universal social protection and expand employment programmes;

- Support climate adaptation, enhance and expand energy access and promote low-carbon development;
- Invest and support programmes that reduce vulnerability to extreme weather events and natural disasters, like hurricanes, flooding, droughts, tsunamis, and outbursts of glaciers in developing countries;
- Accelerate domestic resource mobilisation to finance the MDGs and encourage establishment of progressive taxes and increase efficiency of public spending;
- Enhance efforts towards international tax cooperation and innovative financing;
- Accelerate full delivery on existing aid commitments, especially to those most in need, including specific plans from governments (e.g. revised timelines for meeting the G8 Gleneagles commitments to increase annual aid by USD\$50 billion by 2010, with half the total going to Africa). Improve the predictability and effectiveness of aid, reduce aid fragmentation, and highlight the importance of budget support;
- Address inequalities that limit the benefits of growth for excluded populations;
- Invest in better monitoring and evaluation of indicators to ensure accountability by all development partners and stakeholders;
- Establish mechanism for orderly sovereign debt workouts;
- Facilitate access to affordable essential medicines and new technologies for development.

Most of these recommendations are reflected in some form in the draft outcome document that is being negotiation.

Final consideration

The UN will need to plan for the period immediately after the summit and discuss within the UNGG Task Force on MDGs on how best to execute the various outcomes of the MDG Summit.

Policy suggestions:

- The fall sessions of HLCP and CEB should be used to discuss the Summit follow-up and implementation;
- Launch of an inter-agency working group mandated with the study of options for creation of a mutual accountability framework, to be eventually presented to Member States; and
- It is essential that the operational support offered to countries to accelerate progress on the MDG Progress entails better coordination among UN entities. A multi-sectoral approach and coordination among various UN entities is essential to best utilize the apparent synergies in MDG implementation.

Paper prepared by the United Nations Department of Economic and Social Affairs and the United Nations Development Programme

PLENARY SESSION 4

SHIFTING GEARS ON OUR HR SYSTEMS – A MODERN WORK FORCE AT HEADQUARTERS AND IN THE FIELD

Introduction

Member States expect the United Nations to deliver on its broad range of normative and complex operational mandates. The environments in which the Organizations of common system operate vary from being relatively predictable, stable and concentrated in a limited number of locations, to being dispersed to a large number of field operations. The scope, scale and often increased time horizon of the mandates of field operations, covering everything from humanitarian to peacekeeping to peacebuilding activities, requires a fully integrated and harmonized United Nations Secretariat and seamless inter-operability with the specialised agencies and separately administered Funds and Programmes. Only when this is achieved can the United Nations truly *serve as One* and *deliver as One*.

To achieve the vision of *One UN*, harmonization is needed to provide the foundation for integration which, in turn, should lead to efficiencies in productivity, an improved work environment, and a wide pool of global, dynamic and adaptable talent. It is essential to look into ways to support interoperability between the Secretariat and other Organizations that make up the United Nations common system to allow for more effective allocation and deployment of talent. The benefits of supporting efforts towards inter-operability allow the Organizations to strengthen their capacity to respond to changing needs by recruiting people who know and understand the operational realities of the various entities of the common system. Indeed, staff with such a varied background are most likely the ones that bring a multi-organizational perspective to proposals for organizational change. Inter-agency mobility also supports career development of staff. For the individual staff member it yields significant benefits which include greater opportunities for career growth, a mix of experiences and transferability of skills, enhancement of job and career skills and feeling part of the greater mission of the United Nations.

Harmonization of Conditions of Service and Contractual Reform: the Foundation for Integration and Interoperability of Staff in UN Common System

Against this backdrop, two key Human Resources management reform initiatives have been launched since July 2009 setting the foundation for more integration and interoperability in the UN common system: a new contractual framework streamlining contracts into one series for all staff; and, harmonization of conditions of service for United Nations staff serving at HQ and in the Field to allow equal access to career opportunities, irrespective of programmes and sources of funding. While harmonization within the UN Secretariat has been achieved, more remains to be done to achieve harmonization among the common system.

Barriers to Interoperability and Inter-Agency Movement

The culture within the UN system does not support inter-agency movement. In fact, the very few inter-agency movements for all Organizations of the common system would seem to suggest that there is reluctance to accept staff on inter-agency transfers for a variety of reasons, including financial considerations and the fact that such staff are unknown commodities.

There is a disconnect between the desire of Organizations in the common system to encourage a *One UN* approach to work as opposed to maintaining their independence and autonomy. Organizations have evolved human resources management approaches and practices that best support their mandates, funding structures and staff deployment patterns. This has led, in certain cases, to unique approaches to management of people and these are often carefully defended in the overall interest of the individual Organizations. As a result, inter-agency mobility may not be pursued as actively as it should and Organizations operate without benefiting from the good practices of their sister agencies.

Furthermore, from an organizational standpoint, Organizations of the common system have different competency and performance management frameworks. For example, the specialized agencies recruit and develop talent to meet the needs of their unique functional mandates, which in and of itself does not lend itself to the exchange of talent with other elements of the common system.

The lack of clear administrative arrangements to facilitate inter-agency movement is another barrier. While the new Inter-Agency Mobility Accord was adopted in 2005 with the intent of providing a better and more flexible management tool for inter-agency movement, legal issues with the Accord raised by a number of Organizations have limited its effectiveness.

Other barriers to inter-agency movement include:

- Different recruitment standards followed by different agencies;
- Non-recognition by certain Organizations of promotions granted to a staff member while serving away from the parent organization;
- Lack of consistency in considering applications from staff from other UN Organizations as being “internal” or “external”;
- Non-uniformity of criteria for granting of permanent or continuing contracts;
- Lack of formal job networks (clusters of positions and job groups with transferable skills) across the Secretariat, UN Programmes and Funds and Agencies, which foster movement of staff within and across networks;
- Lack of common Core Values across the Organizations and competency frameworks;
- Lack of integration of Human Resources Information Systems across the common system;
- Employment for spouses.

What are potential steps towards inter-agency mobility?

Potential steps towards inter-agency mobility include:

- **Development of common career networks.** How can bridges be built across the UN common system? For instance, to make the One UN concept a reality, it may require the development of networks of like-minded agencies and programmes, e.g. field-based Organizations, Organizations in particular locations, and Organizations with missions that overlap, among others.
- **Integrating inter-agency movement into human resources management policies.** Should inter-agency movement be integrated into human resources management policies? This would necessarily have to include policy provisions which would provide that staff from the various agencies would be considered as “internal” for all vacancies in all agencies.
From a basic policy perspective, the long-standing issues with the Inter-Agency Mobility Accord would need to be resolved as soon as possible so that all Organizations of the common system have an agreed upon, common framework to administer inter-agency movement. Attention to this matter by the Legal Network of the CEB is therefore essential.
- **Harmonization of recruitment standards and policies.** In order to facilitate movement, should consideration also be given to harmonizing recruitment standards and policies? Further harmonization of conditions of service from one entity to another would include recognition of promotion granted through inter-agency mobility, re-absorption arrangements, etc.
- **Common competency frameworks.** Should a full scale review of the competency frameworks existing in all Organizations of the common system be undertaken with the purpose of formulating the competencies in such a way that meets the needs of all Organizations?

- **Career paths and models.** For staff to be competitive across the system they require a conducive environment, relevant information and tools. Through these career models, staff can empower themselves by identifying career possibilities by recognizing what skills are in demand and where new opportunities are being created. What type of career models and options for career paths within UN common system are needed?
- **Strengthen Management and Leadership.** The UNSSC has established the successful UN Leaders Programme. Would additional inter-agency initiatives for staff, e.g. for women's leadership development, also facilitate the vision of one global UN workforce?
- **Investment in learning and development.** The Secretary-General has promulgated a comprehensive learning and development policy to ensure that all UN Secretariat staff members have access to learning, and that high-quality and consistent learning and development services are offered across all duty stations. What level of coordination between the UN Secretariat, agencies, funds and programmes in the areas of learning and development would contribute to long term interoperability and would supporting the vision of one global workforce to support One UN? Should all entities work toward the establishment of a common approach to e-learning, increased coordination on e-learning development and sharing of appropriate e-learning resources?

Paper prepared by the Department of Management's Office of Human Resources Management and the Department of Field Support

PLENARY SESSION 4

MAXIMISING THE IMPACT OF ICT ON THE PERFORMANCE OF MANAGERS

Understanding generational diversity and ICT

In order to create a modern workforce, we must acknowledge and understand the issue of generational diversity. Within our organization, there are staff segments spanning multiple generations. Each of these generations holds a different attitude, approach and capacity towards work. There are key characteristics that are shared by many members of the same generation. Understanding these characteristics would enhance the organization's approach towards the distinct generational groups, helping them work more effectively.

As it pertains to ICT, there is a distinct difference between the younger generation (30 and younger) and the previous generations (30 and older). The younger generation tends to be more technically savvy and accepting of new methods and innovative technologies. Our challenge as an organization is twofold in this respect. First, we need to assure that our technological tools are robust enough to maximize the abilities of the younger generation in order to meet their needs and aspirations. Second, we need to provide the previous generations with the support required for them to be able to integrate into today's technical, fast-paced work environment. This support should be provided through technical and skills training complemented by change management efforts and incentive structures.

Therefore, the objective and design of our ICT systems needs to keep up with developments in the market and other leading organizations in order for us to provide our staff and managers with the adequate tools to become a more modern workforce. Understanding the relationship between generational diversity and ICT will enable us to achieve this goal.

Leveraging best practices through enterprise-wide ICT systems

In order to achieve the goal of creating a more efficient United Nations, we must examine policies, work processes and procedures that have worked well and enhanced efficiency in other organizations, both in the public and private sectors.

One way to facilitate this process is through the utilization of enterprise-wide ICT systems that have been tried and tested in large, global organizations and encompass industry "best practices". Examples of such systems would include knowledge management systems and enterprise resource planning (ERP) systems, including human resource management systems. These systems have built-in workflows and business processes that have worked for thousands of global organizations for many years and could be leveraged for the United Nations. Through the implementation of systems that are based on best practices, staff and managers throughout the organization will be able to access critical and useful operational and HR data, resulting in a faster, more factual based decision making process.

Despite the clear differences that exist between the UN and other organizations, opening our minds to best practices that have proven successful in other organizations and implementing these through enterprise-wide ICT systems will increase our chances of becoming a more efficient organization.

Improved accessibility to data for effective decision-making and transparency

The administrative ICT systems that are currently used at the UN are designed mainly from a provider perspective; hence they assure that the data submitted is standardized and complete, while often overlooking the day-to-day needs of the users of these systems. Managers requiring alternative views of their employee and operational data must request customized reports which can often take several weeks or more to generate. This situation hinders the

ability of managers to make informed decisions in a timely fashion and significantly increases the workload of administrative support staff.

Due to the size of the organization, there is a vast amount of operational and HR-related information that is created and stored on a daily basis, much of which pertains to management of the employee lifecycle. We may wish to explore Portal and Data Warehouse technologies which can provide managers with real-time access to authorized operational and HR data and the ability to generate customized reports on demand. The effective management and utilization of operational and HR data can result in enhanced decision making processes at the individual, unit and system level, and promote transparency across the organization.

Streamlining and automating organizational performance management functions

One of the keys to the success of the UN is the proactive management of performance throughout the organization. We have been moving in this direction through the introduction of the Senior Management Compact. Additionally, the Strategic Management Framework is used as a means to measure and report to Member States on programmatic performance in the context of approved budgets. These processes enable the organization and its stakeholders to monitor its performance as it relates to the overall goals and objectives of the organization.

Currently, organizational performance tools, such as the Senior Management Compact, and Strategic Management Framework are created manually using simple forms and templates. ICT can be utilized to improve performance management functions by incorporating best practices in the development, implementation and automation of these tools.

This approach also enables the cascading of performance objectives through multiple layers of management or organizational structures, ensuring alignment of organizational and departmental goals and priorities. For example, ICT dashboards can enable managers to monitor progress and make proper adjustments to their plans in a timely manner. An additional added value of automating these processes is the increased transparency and visibility of performance-related information across organizational units. The reports generated through performance management systems can provide managers on all levels with the information they require to assess their effectiveness both in terms of long-term trends and in relation to other organizational units. These performance management systems can be based upon measurable key performance indicators (KPIs), stemming from the operational systems (such as ERP), thus enhancing their validity and reliability.

Paper prepared by the Office of Information and Communication Technology (Executive Office of the Secretary-General)

PLENARY SESSION 5

BUILDING TRUST BETWEEN STAFF AND MANAGEMENT THROUGH INSTITUTIONAL REFORMS

Introduction

Through its resolutions 61/261, 62/228 and 63/253, the General Assembly (GA) established a new system of administration of justice for staff of the United Nations Secretariat and the separately administered Funds and Programmes. This system replaced a largely peer-review system that had functioned for more than 60 years but which had become, in the view of the GA, “slow, cumbersome, ineffective and lacking in professionalism”. Accordingly, the GA decided to establish a “new, independent, transparent, professionalized, adequately resourced and decentralized system of administration of justice consistent with the relevant rules of international law and the principles of the rule of law and due process to ensure respect for the rights and obligations of staff members and the accountability of managers and staff members alike.” Furthermore, the new system put a stronger emphasis on resolving employment-related disputes through informal means, before resorting to formal litigation.

The new system has informal and formal components. The informal system is centered on the services provided by the Office for Ombudsman and Mediation Services (UNOMS) whereas the formal system constitutes a process involving the Management Evaluation Unit (MEU), the United Nations Dispute Tribunal (UNDT) and the United Nations Appeals Tribunal (UNAT). In addition, in the formal system, professional legal assistance is made available to staff by the Office of Staff Legal Assistance (OSLA). The new system began to function on 1 July 2009.

Strategy to build trust between staff and management

The reform of the internal justice system provides an opportunity to improve staff-management relations. Even though the system is still in its early stages, it has already been recognized that it has many positive aspects such as increased transparency, more professional and expeditious in the resolution of disputes.

A brief description of the various elements of the new system that contribute to building trust between staff and management follows:

- **The informal system – resolving workplace disputes amicably.** The General Assembly has placed emphasis on the informal resolution of disputes and has strongly encouraged the prevention of conflicts and the use of informal means to resolve conflict at an early stage. In addition to already existing services, the Assembly strengthened the capacity of UNOMS by establishing a dedicated mediation service and various regional Ombudsman branches including two in peacekeeping operations. The Ombudsman and Mediation Services are an adjunct to the administration of justice system. The Office also maintains links with the formal system through the referral of cases from the various offices of the administration of justice system for informal resolution.

Ombudsmen and mediators provide informal and impartial conflict resolution services by looking at disputes from all perspectives with the objective to identify possible ways forward. The parties remain in control of the resolution process. Such an informal approach allows for swift resolution of disputes and increases staff confidence in the possibility of improving relationship with management or colleagues in a collaborative and sustainable way.

During the first five months of 2010, UNOMS has seen an increase of 69 percent in the use of its services by UN Secretariat staff. Notably, senior managers are also making more use of the informal mechanism. Experience indicates that in about 80 per cent of all cases received by the Ombudsman a satisfactory solution is found for the parties involved. Overall, during the first year of the Administration of Justice System, approximately 79 percent of cases received by the Office of the Ombudsman and Mediation Services did not proceed to the Dispute Tribunal.

Given the success rate above, why do we not see an even greater reliance on the informal system? Why do so many cases still proceed to the formal system? Why do managers respond in a timely manner to cases in the formal system but either ignore or take much more time to do the same in the informal system?

- **Management evaluation.** Management evaluation constitutes the mandatory first step of the formal system of administration of justice. The Management Evaluation Unit (MEU), staffed by professional legal officers, conducts a first review of a contested decision and is located in the office of the Under-Secretary-General for Management. Management evaluation is designed to give management a chance to correct an improper decision, or provide acceptable remedies in cases where the decision has been flawed, thereby reducing the number of cases that proceed to formal litigation.

Management evaluation is an instrument to increase managerial accountability by ensuring managers' compliance with their responsibilities while respecting the Organization's regulations, rules and ethical standards. It allows the linkage of managerial performance to assessment tools (ePAS, Human Resources Action Plan, Senior Managers' Compact) and possible withdrawal of delegation of authority, if warranted.

In the twelve-month period, 74 per cent of cases reviewed by the MEU were upheld by the Secretary-General, 15 per cent were partially upheld and 11 per cent were rejected. It is interesting to note that 44 per cent of cases were filed by staff members at the P-3/P-4/P-5 levels. The majority of these cases pertain to non-selection/non-promotion, and given the outcome above, reflect less on errors in managerial decision-making, and more on the dissatisfaction that staff at these levels experience with their careers.

It is clear that more attention needs to be paid to such issues that emerge as a result of analysis of the MEU and UNDT caseload.

- **UNDT and UNAT.** The tribunals play an important role in reinforcing the integrity of the system and their jurisprudence represents an important learning opportunity for managers.

This first year of the new system of justice has been one of transition. In the twelve-month period, the UNDT disposed of 220 cases, of which 10 cases were referred to the Mediation Division. The largest number of cases was for non-renewal of appointment. During the same period, the UNAT rendered a total of 64 judgments.

The most important lesson learned is that management should comply with its own regulations, rules and procedures. Such compliance meets the requirement of due process and goes a long way in building trust.

As for the UNDT judges, the merits of the Secretary-General's prior proposal for the establishment of three judge panels have been reinforced. Divergent practices at different locations and reliance on particular national jurisdictions or jurisprudence has been observed. Should the three judge panels not find support with the legislative bodies, consideration should be given to developing a robust training programme for the judges, which would help achieve harmonization of proceedings.

- **Office of Staff Legal Assistance.** It has been a long-standing principle of the Organization that staff members who wish to appeal an administrative decision, or who are subject to disciplinary action, should have access to legal advice and representation. In the old system this was provided by the Panel of Counsel, which was largely staffed through volunteers. In the new system the Office of Staff Legal Assistance is staffed by fulltime legal officers in New York as well as in Geneva, Nairobi, Addis Ababa and Beirut. At any stage of a dispute, or even in anticipation of a dispute, a staff member may seek advice from legal officers in the Office of Staff Legal Assistance.

The establishment of OSLA has, however, presented many challenges. Staff has complained about inequality of arms between staff and management since there are currently only seven staff members in the OSLA to advise and assist staff on legal issues. This has been contrasted with offices providing legal counsel for the Administration, which are able to re-deploy posts from other areas or use GTA budgets to enhance staffing in response to the surge of use of the new system. It has been argued by staff that there is an equally, if not more, acute need for OSLA to secure additional staffing, particularly in duty stations away from New York, including the field.

If no additional resources are allocated, OSLA will be forced to reject requests for legal assistance. OSLA has argued that the current work load is not sustainable with the existing capacity and must be addressed in order for OSLA to be sustainable.

Against the above backdrop, should Administration make attempts to enhance OSLA's capacity?

- **Ethics Office.** Even though not officially part of the internal justice system, the Ethics Office plays an important role in building trust between staff and management. In addition to communicating and updating existing standards of conduct, providing ethics guidance and confidential advice on conflicts of interest, the Ethics Office administers the protection against retaliation policy, which offers protection to those who report misconduct and for cooperating with duly authorized audits or investigations.
- **Expedited disciplinary cases.** Disciplinary cases can take years, during which time the accused is either placed on leave or continues to work, and both situations do not help in building trust. In this connection, experience from the first year of the new system has introduced a sense of urgency on the issue of internal UN investigations. The Tribunals have found that investigations need to be conducted by professionally trained and experienced investigators. This is a limited capacity in the UN system. The General Assembly has also raised concerns about the investigative process, which is sometimes alleged to be conducted without due process.

Looking ahead

The past year has seen a significant number of cases reviewed by the MEU and brought before the Tribunals. Although this can be seen as a sign of trust in the system, attention should be paid to the cause of discontent among staff.

- **Staff.** The current system does not provide any deterrents for staff filing appeals. Staff has little to lose from filing an appeal. Yet, each frivolous appeal places a heavy burden on an already strained system. How can we motivate staff to engage in more dialogue and resolve issues informally? How can we encourage staff to first exhaust all possible conflict resolution methods before resorting to litigation?

Currently, the UNDT may order a party that manifestly abuses the proceedings to pay costs. In addition to that, should there be a fee for filing cases?

- **Managers.** There is a need to reflect on how to provide managers with incentives to manage well and to identify the stage at which a mistake becomes unacceptable.

Providing guidance from the lessons learned is also critical. A number of systemic issues and trends in respect of the decision-making authority of managers have been identified through a qualitative analysis of the cases reviewed by the MEU and the recent judgments issued by the UNDT and UNAT.

The majority of administrative decisions challenged by staff pertain to non-renewal of appointments and non-selection/non-promotion of staff.

The review of cases of non-renewal of appointments for unsatisfactory performance revealed that, in some cases, the procedures set out in the Administrative Instruction on Performance Management were often not followed: performance improvement plans were not prepared, shortcomings in the staff members' performance were not recorded, e-PAS discussions were not held. It was also determined that in the event that an e-PAS rating is contested, the final rating from the rebuttal process must be taken into account before making the decision not to renew an appointment.

In cases of non-selection/non-promotion of staff, the procedures set out in the Staff Selection system, such as the priority consideration of candidates eligible at the 15-day mark or the notification of the outcomes of the selection process to all interviewed candidates, were not followed.

In this context, and to provide further guidance to managers, a detailed analysis of all available jurisprudence is currently being undertaken with a view to providing managers with a lessons learned guide, which will be updated on a regular basis. The guide is expected to serve as an important tool to assist managers in their decision-making role.

The Secretary-General's Retreat 2010
Alpbach, Austria • 5–6 September 2010

PLENARY SESSION 6

**ACHIEVING PEACE, JUSTICE AND HUMAN RIGHTS WITHOUT COMPROMISING:
RULE OF LAW AND PEACEKEEPING**

Introduction

Together with justice, peace and security, respect for human rights anchors the imperatives which lie at the heart of the rule of law. Human rights advocacy efforts of the past six decades and the political dynamics that marked the end of the Cold War have helped to set an agenda that also extends to sustainable development and the eradication of poverty, good governance, democracy and protection of the environment. All major initiatives currently promoted by the international community are almost invariably rooted in the notions of respect for the rule of law, human rights and the preservation or restoration of international peace and security. Each of these now constitute a key element of peacemaking, peacekeeping and peacebuilding.

Rule of law, including the respect for human rights, is enshrined in the United Nations Charter and in numerous international treaties. These principles are standard features of the Charter bodies' deliberations and thus routinely form part of peacekeeping mandates, peace-making and even development agendas. This point was repeatedly emphasized during the Security Council's debate in June 2010 on "the promotion and strengthening of the rule of law in the maintenance of international peace and security", when Member States affirmed that the assistance peace operations provide to host countries to strengthen their justice and security institutions is central to sustainable peace.

Together with international humanitarian law and refugee law, international human rights instruments, such as the Universal Declaration of Human Rights, the International Covenant in Civil and Political Rights and the International Covenant on Economic, Social and Cultural Rights, provide a comprehensive foundation for the establishment of peace and security. More particularly, the Secretary-General, in many of his reports to the Security Council, has also dedicated extensive attention and special sections to justice, corrections, human rights and refugee protection. These issues – which are all directly related to peace and security – are also the focus of the Human Rights Council, whose establishment was a breakthrough achievement at the turn of the 21st century.

In implementing mandates entrusted to the Secretary-General, peace operations are responding to emerging challenges in the rule of law field, the Organization is aiming to take a more effective and coherent approach while adhering to the principles of human rights. In his August 2009 report on "strengthening and coordinating United Nations rule of law activities", the Secretary-General indicated that the United Nations is increasingly taking a more comprehensive and strategic approach to the rule of law at the country level, which involves jointly planning and implementing programmes. Key partnerships, with regional organizations among others, and persistent advocacy, in various fora, including the Human Rights Commission, the Peacebuilding Commission, and international conferences, remain essential. Across the board, the Organization's practices need to be in line with our principles in order to succeed.

While international justice mechanisms have become an important element of many post-conflict settlements, national ownership remains an indispensable element of transitional justice as a tool for a lasting peace. This often requires extensive national capacity-building with the assistance of the international community. At the same time, everything possible should be done within the United Nations framework to prevent erosion of the legitimacy of international justice mechanisms, while also removing any perception of bias.

In addition, any efforts to strengthen the rule of law should be nationally rooted and owned, and requires the United Nations to possess adequate tools to address peace, security, justice and human rights in a balanced, comprehensive manner. But to be effective at the domestic level, advocacy on these issues needs to be actively supported by short-

and long-term development of rule of law institutions – from the police, court systems and prisons to parliaments and civil society. Neglecting any of one of these closely linked institutions often results in an unbalanced and therefore unsustainable approach.

Without Compromise

The challenge, therefore, is to coordinate all activities and strengthen the tools as part of comprehensive approach to ensure peace, justice and human rights and to professionalize the UN contribution to this effort.

The report to the Security Council on “Uniting our strengths: Enhancing United Nations support for the rule of law” states that “the protection and promotion of the universal values of the rule of law, human rights and democracy are ends in themselves...[and] are also essential for a world of justice, opportunity and stability”. There can be no compromise on delivery of our mandates in order to remain true to our principles. There can be no peace without respect for these principles.

Any comprehensive and balanced approach to the issues of peace, justice and human rights must be mainstreamed and advanced through:

- Strategic advocacy coupled with continuous capacity-building, including with and at the regional level;
- Early warning of human rights violations and rule of law deficiencies based on an internationally accepted methodology;
- Joint planning by UN agencies of any complex United Nations interventions with the clear delineation of responsibilities and guaranteed delivery on plans as well as joint monitoring and assessment of the implementation;
- Early association of national stakeholders and capacity-building from the outset of a peace operation;
- Without exception, the protection of civilians as an integral part of any complex peace operation.

The challenge remains to deepen and professionalize efforts of the whole UN system. This includes building specialized skill sets to meet the increasingly complex situations in which we operate. UN police, for example, must have the skills and tools to address the issues that undermine lasting peace and security, such as organized and transnational crime or corruption. Our professional corrections and judicial affairs officers are required to possess specific programmatic and project-development skills.

Similarly, the Organization needs to develop and maintain high standards at every stage of a peace operation. Rapidly deployable professional teams and well-maintained rosters of specialized experts trained together and deployed with a set of tools and templates could facilitate early assessments and planning processes in the areas of rule of law and security institutions and ensure that no time is lost. Equally, uniform standards for performance, proper training, quality monitoring and control for UN staff are critical.

The United Nations’ long-term goals must be matched by long-term planning. This means early preparation for local participation and ownership. We need to develop guidance on the identification and engagement of national partners with whom international staff can work from the outset in the areas of rule of law and security institutions and on the coordination, prioritization and sequencing of core early peacebuilding tasks.

Access to flexible programme resources is necessary in order to enable civilian staff to offer tangible deliverables and equipment to their national counterparts. The Organization is expected to ensure inter-operability with UN and non-UN partners in the areas of deployment, budget sharing, integrated planning, and make adjustments to the human resources system to overcome current challenges in identifying, recruiting, selecting, rapidly deploying and retaining highly qualified, specialized staff. Moreover, recognizing limited capacity and resources, the international community as a whole should identify comparative advantages of various actors in order to make our collective effort more efficient.

Indeed, the whole Organization must address these challenges within the limitation of the current financial/economic crisis, but also aiming at the future further expansion of the whole area of international peace, rule of law, security sector reform (SSR) and human rights. As noted in the Secretary-General's New Horizon initiative, the peacekeeping family must effectively communicate our challenges and needs to the Security Council and the General Assembly, troop- and police-contributing countries, key donors, NGOs as well as beneficiary populations and Governments - to ensure focused, time-bounded mandates, appropriate resources, predictable delivery and realistic expectations.

Operationalization

Operationally – DPKO/DFS family is building the capacity to deliver on the basis of a number of assumptions.

Together with the DPKO/DFS family and other UN partners, the components of DPKO dealing with police issues, justice, corrections, disarmament, demobilization and reintegration (DDR), SSR and mine action contribute to the establishment or restoration of basic security, stability and justice in post-conflict situations. These are some of the core tasks of any complex peacekeeping Mission and ultimately lead to the long-term strengthening of the rule of law, undertaken with the active participation of traditional UN players, Bretton Woods Institutions and increasingly the Peacebuilding Fund.

The DPKO will soon have almost 17,000 United Nations police officers serving on four continents, undertaking various policing mandates, including advising, mentoring, and reforming host State police services in peacekeeping operations and special political missions. The increasing complexities of the mandates require police officers with specialized skills, experience in police institutional development, more female officers and a continuing need for Formed Police Units (FPU) for public order management duties. The Police Division has developed a clear FPU policy and an award-winning police pre-deployment training course that has strengthened our ability to appropriately prepare and deploy UN Police.

DPKO rule of law initiatives and United Nations system-wide partnerships aim to assist national authorities in combating impunity for crimes through the building or strengthening of courts, legal and legislative reform and locally driven approaches to justice. This is one of the core functions of the justice components of peace operations (which currently employ almost 200 judicial affairs and 300 corrections officers globally) as articulated in the policy on the roles and activities of our justice components produced by the Criminal Law and Judicial Advisory Service. DPKO – together with partners - is also developing a comprehensive training programme specifically for our judicial affairs officers in the field – which contains a module on the rule of law in peacekeeping, including the protection of civilians. DPKO is also developing guidance materials to enable corrections components of peace operations to assist national authorities in managing prisons in accordance with international human rights standards.

Ensuring respect for the rights of persons deprived of their liberty – whether accused or convicted – is a core human right that is an essential part of any framework for an effective justice system. DPKO and DFS have developed standard operating procedures on the temporary detention of individuals by United Nations personnel in order to ensure that such action is carried out in accordance with relevant international human rights standards. Together with the Office of the High Commissioner on Human Rights, the Department is developing an instrument which will allow for the identification of the strengths and challenges in the police, justice and corrections sectors in a given country. This work is being done together with other members of the Rule of Law Coordination and Resource Group.

At the same time, DPKO and DFS, in close coordination with the Peacebuilding Support Office, are seeking to improve or build rapidly deployable police, justice and corrections capacities that will enable us to assess, plan and start up essential protection and stabilization activities as early as possible in the life of any Mission. DPKO's Standing Police Capacity (SPC) – which became operational in 2007 – has deployed to Chad, Timor-Leste, Liberia and other countries; and DPKO has been mandated to create a standing justice and corrections element to complement the SPC. The United Nations Mine Action Service already has – and is continually improving – a rapidly deployable capacity, which is crucial to protect UN personnel in the field.

Mine Action Coordination Centres in many peacekeeping settings provide assistance and advocacy in support of the rights of civilian victims of mines, explosive remnants of war and cluster munitions. UNMAS is also focusing on destroying stockpiles of weapons affecting the populations, developing a capacity to address immediate threats of improvised explosive devices, and assisting in providing a defensive Counter IED capacity to protect UN personnel and facilities.

Equally, the economic, social, political and security reintegration of ex-combatants into civilian life is central to creating a peaceful environment, human rights and sustainable development. Today, DPKO continues to support peacekeeping missions in addressing a caseload of over 500,000 combatants, including women associated with armed forces and groups. Simultaneously, the Department and its partners are pursuing the development of “second-generation” DDR methodologies, which take into account alternative, community-based approaches. Together with the Inter-Agency Working Group on DDR, we have also recently finalized guidance on the nexus between DDR and SSR, and on DDR and transitional justice. The latter, in particular, discusses ways in which DDR and transitional justice initiatives can support and strengthen each other.

Efforts to professionalize national security providers are obviously part of the long-term agenda. Initiatives include training on international law; legislative reform; the creation of civilian oversight mechanisms; the development of a new generation of military and police leaders; stronger roles for parliamentarians and civil society in identifying security threats and responses; and general support in the areas of developing infrastructure and obtaining equipment from bilateral donors.

Paper prepared by the Department of Peacekeeping Operations’ Office of Rule of Law and Security Institutions

PLENARY SESSION 6
ACHIEVING PEACE, JUSTICE AND HUMAN RIGHTS WITHOUT COMPROMISING:
THE HUMAN RIGHTS PERSPECTIVE

Background

The United Nations system as a whole has been involved in complex discussions articulating the relationship between justice, peace and human rights. The dilemma was once presented as between securing peace with the cooperation of perpetrators of international crimes or addressing justice at the cost of perpetuating conflict. In recent years, however, this assumed tension between justice and peace has gradually dissolved. The United Nations now recognizes that, when properly pursued, justice and peace can promote and sustain one another, with respect for human rights and the dignity of individual being at the center of such a discussion.

The Secretary-General's Guidance Note on the UN Approach to Transitional Justice of 10 March 2010 usefully summarizes the key components of the issues at stake. It emphasizes that peace and justice should be promoted as mutually reinforcing imperatives and the perception that they are at odds should be countered. The question for the UN is never, as the Guidance Note puts it, whether to pursue accountability and justice, but rather when and how. The nature and timing of such measures should be framed first of all in the context of international legal obligations and taking due account of national context and the views of national stakeholders, particularly victims. The Note also emphasizes that the UN cannot endorse provisions in peace agreements that preclude accountability for genocide, war crimes, crimes against humanity and gross violations of human rights. The UN should seek to promote peace agreements that safeguard room for accountability and transitional justice measures and protection of human rights in the post-conflict and transitional period.

Established Trends

- **Amnesties.** The growing realization that justice and peace are mutually reinforcing is reflected in current international law and United Nations policy on amnesties. Under various sources of international law and United Nations policy, amnesties are impermissible if they prevent prosecution of individuals who may be criminally responsible for war crimes, genocide, crimes against humanity, gross violations of human rights, or serious violations of international humanitarian law. Both international law and United Nations policy also recognize the right of victims to an effective remedy, including reparations, and the right of victims and societies to know the truth about violations.³ The continuing work of the United Nations in the area of justice and peace, particularly with regard to amnesties, aims to safeguard room for justice both during and after peace processes.

The lawfulness of amnesty for genocide, war crimes, and crimes against humanity was first questioned in relation to the 1999 Lomé Peace Agreement between the Government of Sierra Leone and the Revolutionary United Front. The United Nations position has subsequently been upheld in Angola, the Sudan and Uganda, where United Nations representatives have first attempted to limit the scope of amnesties and, if unsuccessful, have appended a reservation to their signatures.

It should be further clarified that the United Nations only opposes amnesties for international crimes, and not all types of amnesty. Some amnesties are permissible under international law. For instance, at the end of hostilities, the authorities in power must endeavour to grant the broadest possible amnesty to persons who have participated in a non-international armed conflict, or those deprived of their liberty for reasons related

³ See the Basic Principles and Guidelines on the Right to a Remedy and Reparation for Victims of Gross Violations of International Human Rights Law and Serious Violations of International Humanitarian Law (General Assembly resolution 60/147), the Updated Set of principles for the protection and promotion of human rights through action to combat impunity (E/CN.4/2005/102/Add.1) and the Study on the right to the truth (E/CN.4/2006/91).

to the armed conflict. Such amnesties cannot be granted to persons suspected of, accused of or sentenced for war crimes⁴ genocide, or crimes against humanity⁵

A study conducted by OHCHR of post-2000 peace agreements, memoranda of understanding and other relevant agreements,⁵ indicates that more recent peace agreements reflect above-mentioned developments in international law and United Nations policy with regard to amnesties and accountability. Blanket amnesties, though still present in some accords, are less common. Moreover, a growing number of agreements contain provisions for transitional justice processes, such as truth-seeking, national prosecution initiatives, reparations programmes and institutional reform.

- **Guidelines for UN Mediators.** By the late 1990s, the need to provide UN Representatives with guidelines in their efforts to facilitate a negotiated resolution of conflicts and better to address the tension between stopping the fighting and punishing human rights violations had become acute. In 1999, the Guidelines for United Nations Representatives in Certain Aspects of Negotiations for Conflict Resolution were adopted by the Secretary-General. They were, in the words of the then Secretary-General, “a useful tool with which the United Nations can assist in brokering agreements in conformity with law and in a manner which may provide the basis for lasting peace... [and] a significant step in the direction of mainstreaming human rights”.⁶ The Guidelines were revised in 2006 to take account of subsequent developments. Paragraph 11 of the Guidelines requires the UN Representative to seek guidance from Headquarters when demands for amnesty are made and recalls that the UN cannot condone amnesties for war crimes, crimes against humanity, genocide or gross violations of human rights.

Special envoys and special representatives of the Secretary-General mediating peace processes should continue to advocate for the inclusion of commitments to combat impunity and to protect and promote human rights in peace agreements. United Nations mediators need to be equipped with relevant human rights expertise during peace negotiations and should call upon such expertise available within the United Nations system. Human rights experts should also be present to participate in peace negotiations.

- **Accountability.** Under international law, States have the duty to combat impunity, to ensure effective investigation and prosecution of those responsible for serious violations of human rights and international humanitarian law, and to also ensure that victims of these violations have access to effective remedies. The United Nations should encourage and support independent and impartial fact-finding activities that would lead to such accountability. When the State is unable or unwilling to so investigate or prosecute, the United Nations should continue to support the establishment of international commissions of inquiry and international judicial mechanisms of accountability.

The establishment of the International Criminal Court in 2002 represents the most significant recent development in efforts to combat impunity. The ICC is an independent judicial institution, with a mandate distinct and separate from the UN and the cooperation between the UN and the ICC is governed by the terms of the Relationship Agreement entered into force on 4 October 2004. The Rome Statute’s commitment to complementarity, articulated in article 17, affirms the primary role of national Governments in ensuring accountability for those who bear the greatest responsibility for perpetrating international crimes. Thus, while the Court will bring alleged perpetrators of international crimes to justice where national authorities are unable or unwilling to do so, the establishment of the Court has also fostered the development of national capacities to meet this obligation.

New Trends

While these policies are now established, there are a number emerging areas and challenges faced by the UN in immediate aftermath of conflict and those challenges that are more long-term that require additional reflection. Some are outlined below:

⁴ See Article 6.5 of the Additional Protocol II to the Geneva Conventions of 1949 and Rule 159 of the ICRC Customary Law Study.

⁵ A/HRC/12/18 and A/HRC/12/18 Add 1.

⁶ Secretary-General’s Press Release of 10 December 1999 (SG/SM/7257).

- **Conditionality.** In the immediate aftermath of conflict, an issue has arisen regarding the need of conditionality for UN support to national armed forces. The challenges faced by the UN became recently apparent in the context of the UN's support to the Congolese army (FARDC) in the Democratic Republic of Congo (DRC) pursuant to Security Council resolutions. The conditionality policy in the context of the DRC focuses on two objectives: (a) reducing the risk that the UN might be complicit of or even associated with grave violations of humanitarian, human rights and refugee law committed by UN-supported FARDC elements; and (b) influencing FARDC behaviour to enhance protection of civilians by ensuring FARDC respect for international humanitarian, human rights and refugee law.

The UN peacekeeping operation in the DRC has strived to implement this policy within the framework of its overall effort to protect civilians. The direct engagement of the mission's civilian and military leadership is evidence of the importance attached to these efforts. How can we ensure the application of such conditionality policy in all similar situations? How can the UN re-define conditionality in a more positive way as a package including, but not limited to, education, awareness, monitoring, timely support to military justice, designed to contribute to behavioural change to achieve respect for international law?

- **Vetting and UN peacekeepers.** Increasingly, the Security Council is giving peace-keeping missions the mandate to protect civilians in danger. This is positive. But some UN peacekeepers come from countries with a poor human rights record where the armed forces and police are seriously implicated in human rights violations. Meanwhile, the UN remains desperate for troop contributions and this limits its ability to choose. But at what cost? How can we ensure that those who have been implicated in serious human rights/criminal activity in their home country are not given to the UN as peacekeepers? What is standard of proof is needed to exclude individuals? And who bears the burden to prove this, is it the UN or the Contributing State? Do we vet only high ranking officials, who should do that and where do we draw the line?
- **Vetting and institutional reform at the national level.** In the longer term, vetting in the host country is another important element in transforming a State into one that is democratic and respectful of the rule of law and legal institutions. In the post conflict setting where the UN is in charge it is important to elaborate a policy that ensures that those responsible for human rights abuses, whether in the courts, police or prisons no longer exercise power. How do we ensure national ownership of such policy? How do we guard against mistakes and possible abuse? What is the evidential basis to do so and what are the due process protections in place? Is there a danger we could remove the institutional memory of key institutions?
- **Sexual exploitation and zero tolerance.** The United Nations has developed a series of policies concerning sexual exploitation and abuse in response to allegations that such acts had been committed by peacekeeping and humanitarian personnel. Sexual exploitation and abuse by UN staff cannot be tolerated. It violates everything the United Nations stands for. Men, women and children displaced by conflict or other disasters are among the most vulnerable people on earth. They look to the United Nations and its humanitarian partners for shelter and protection. Anyone employed by or affiliated with the United Nations who breaks that trust must be held accountable and, when the circumstances so warrant, prosecuted. But are you seeing this important policy have an impact in the field? Is conduct of a minority number of staff, changing, being tolerated?

Conclusion

This note addressed ways in which to confront violations of human rights that have occurred and, as a corollary, to prevent their recurrence in the future. The challenge remains of how can the UN at the same time be contributing to the creation of cultures in which there is respect for human rights? OHCHR cannot do this alone and there is scope of real partnership and collaboration amongst the various UN Departments and Agencies in this regard.

Paper prepared by the Office of the High Commissioner for Human Rights

The Secretary-General's Retreat 2010
Alpbach, Austria • 5–6 September 2010

PLENARY SESSION 6
ACHIEVING PEACE, JUSTICE AND HUMAN RIGHTS WITHOUT COMPROMISING:
LAW AND JUSTICE

Introduction

In the practice of the United Nations Secretariat, the “peace and justice” dilemma has generally been understood as a policy choice between peace and justice at a time when a peace agreement is being negotiated at the end of an armed conflict, during which massive violations of human rights and IHL have been committed by some or all of the parties. How to end the fighting without foregoing the prosecution of those responsible? This dilemma is posed in its acutest form when those participating in the peace talks have made it a condition of their presence at the negotiating table or their signing of any peace agreement that, in it, they will be granted immunity from prosecution.

In this connection, the following specific issues have arisen:

- Lawfulness of amnesty for the core international crimes;
- Role of the UN Representative in facilitating peace agreements;
- Interaction with indictees holding positions of authority; and
- Combating impunity through calling for accountability.

The Lawfulness of Amnesty for Core International Crimes

It has been a long-standing position of the United Nations Secretariat for a decade now, whether in negotiating peace agreements or in establishing international criminal jurisdictions, that amnesty cannot be granted in respect of the crime of genocide, war crimes, crimes against humanity or other serious violations of IHL or in respect of gross violations of human rights (such gross violations include torture and similar cruel, inhuman or degrading treatment, extra-judicial, summary or arbitrary executions, slavery, enforced disappearance, and rape and other forms of sexual violence of comparable gravity). More recently, the Secretariat has been mandated by the Security Council to specifically exclude from the scope of any amnesty “sexual violence crimes”.

The Role of the UN Representative in Facilitating Peace Agreements

By the late 1990s, the need to provide UN Representatives with guidelines in their efforts to facilitate a negotiated resolution of conflicts and to better address the tension between stopping the fighting and punishing human rights violations, had become acute. In 1999, the *Guidelines for United Nations Representatives in Certain Aspects of Negotiations for Conflict Resolution* were issued by the Secretary-General. They were, in the words of the then Secretary-General, “a useful tool with which the United Nations can assist in brokering agreements in conformity with law and in a manner which may provide the basis for lasting peace... [and] a significant step in the direction of mainstreaming human rights” (Secretary-General’s Press Release of 10 December 1999 (SG/SM/7257)). The Guidelines were revised in 2006 to take account of subsequent developments. Paragraph 11 of the Guidelines requires the UN Representative to seek guidance from Headquarters when demands for amnesty are made and recalls that the UN cannot condone amnesties for genocide, war crimes, crimes against humanity or gross violations of human rights.

In negotiating, mediating or facilitating peace agreements on behalf of the United Nations, Special Representatives of the Secretary-General, Special Envoys and other senior representatives of the Secretary-General:

- Should liaise with OLA and other relevant departments or agencies, such as OHCHR, while the agreement is being drafted in order to ensure that the agreement is in compliance with United Nations principles and practices and that any role that is foreseen for the Organization is the implementation of the agreement is “do-able”;
- Should seek the advice of UNHQ on the draft agreement as a whole as early as practically possible, in particular on any amnesty clause and any accountability mechanism for violations of human rights and IHL;
- Should encourage the parties to incorporate into agreements provisions for accountability and arrangements for the promotion and protection of human rights, in accordance with international law;
- Should seek operational support from specialized partners within the UN system;
- In the event that they are unsuccessful in appropriately limiting the scope of a sweeping amnesty clause in a peace agreement, should, if requested to witness the final peace agreement, append a reservation to their signature reiterating the UN position on amnesty.

The signature of the UN Representative on a peace agreement as a witness is conditional upon the authorization of the Secretary-General, on the advice of the Legal Counsel.

Interaction with Indictes Holding Positions of Authority

While the question of interacting with indictees has arisen on a number of occasions since the mid 1990s - notably in the case of Karadžić at the time of the Dayton peace negotiations - it was in the early 2000s, with the growing involvement of the United Nations in countries and situations subject to investigation by the ICC, that a policy on interaction with indictees had to be devised. The position adopted balances the need to safeguard the moral authority of the Secretary-General, the Organization’s obligation to uphold the principle of accountability and its duty not to undermine the authority of any of the international criminal jurisdictions, on the one hand, with the responsibility of the Secretariat to implement mandates established by the Organization’s political organs and the practical constraints facing UN presences in the field, on the other. This position, which has been considered by the Secretary-General’s Policy Committee and endorsed by the Secretary-General in the specific context of Sudan, prescribes, in essence, that contacts between UN Representatives and persons indicted by international criminal jurisdictions must be limited to what is strictly required for carrying out essential UN mandated activities. In this connection, “essential UN mandated activities” are activities that concern fundamental key mandates, the implementation of which is vital for the functioning and the success of a UN operation as a whole.

Interaction with persons against whom an arrest warrant has been issued by the ICC - other than in the pursuit of a peace process or as may be required for carrying out the Organization’s mandated activities - would violate the spirit of the Relationship Agreement between the United Nations and the ICC, frustrate its object and purpose and might even undermine the work of the Court itself.

Combating Impunity Through Calling for Accountability

The General Assembly has affirmed, for example in its resolution 60/147 of 16 December 2005, that, under international law, States have the duty to combat impunity, to ensure effective investigation and prosecution of those responsible for serious violations of international law and to ensure that victims of these violations have access to effective remedies. The United Nations should therefore encourage and support independent and impartial fact-finding activities that would ensure a satisfactory measure of accountability. When the State concerned is itself unable or unwilling to investigate or prosecute serious violations of international law, the United Nations has supported the establishment of international commissions of inquiry and international judicial mechanisms of accountability. It should continue to do so.

In addition to international fact-finding and accountability mechanisms, the United Nations should support capacity development of national institutions that can end impunity and encourage national ownership. The UN has played,

and continues to play, an important role in assisting countries to strengthen national systems for the administration of justice in accordance with international standards, paying due attention to laws, processes and institutions.

Peace and “What Kind of Justice”?

After a decade-long debate on how to reconcile peace and justice or sequence them in time, it now seems that the debate is no longer between “peace and justice”. Voices that denied the need for justice seem to have fallen silent and there is now a strong current of opinion, which emphasizes the vital need in every comprehensive conflict settlement for elements of justice to be present, which might include:

- International accountability mechanisms;
- Hybrid accountability mechanisms;
- Strengthened national accountability mechanisms;
- National, international or hybrid accountability mechanisms, which are not strictly judicial in nature, such as Truth and Reconciliation Commissions.

In short, it is now generally accepted that “peace and justice” must go hand in hand. The question has now become “peace and what kind of justice?”

Whatever form justice may take in a particular case, there seems to be a consensus that justice must be factored into post-conflict strategies in order for any peace to be sustainable. In an era of accountability ushered in with the establishment of the two ad-hoc tribunals and followed by the establishment of hybrid tribunals and the ICC, few countries would now claim that there should be peace without any kind of justice. Rather, discussions revolve around the extent to which national jurisdictions have the ability and will to bring the alleged perpetrators of these international crimes to justice. Determining in any given case whether a national accountability mechanism is a genuine assertion of a nation’s ownership of the judicial process or a shield from international prosecution is one of the greatest challenges. However, in situations where the ICC has jurisdiction, the Court, as a judicial body, has the authority to rule on issues of complementarity. Having assumed this role, the ICC also provides significant incentives to develop national capacity for the administration of criminal justice in accordance with international standards.

Paper prepared by the Office of Legal Affairs

PLENARY SESSION 7

**BUILDING EFFECTIVE LINKS BETWEEN PREVENTION, PEACEKEEPING AND PEACEBUILDING:
HOW CAN THE UN BE MORE EFFECTIVE IN PREVENTING AND RESOLVING VIOLENT CONFLICTS?**

The Challenge of Prevention in a Changing Landscape

A respected think-tank recently published a report, which claimed that conflict prevention is getting harder⁷. We certainly do not see it getting any easier. Civil wars may have decreased in number since the early 1990s, but not in intensity, scope or complexity. Patterns of political violence appear to be changing, with organised crime, narco-violence and other transnational threats to security on the rise – threats that are exceedingly difficult to address, complicating the task of prevention. In Kyrgyzstan, for example, there is post-facto speculation that criminal elements may have helped incite the ethnic violence that ripped through Osh and Jalalabad districts in June 2010, the circumstances of which we still do not properly understand.

At the same time, we have witnessed the emergence of stronger normative frameworks in favour of conflict prevention. Most notably, in Africa the old OAU doctrine of non-interference has been replaced by the doctrine of “non-indifference”, which is written into the 2000 Constitutive Act of the African Union and allows intervention in the internal affairs of a Member State in the event of an imminent threat to peace and security. Coupled with this is a growing capacity, at the UN, as well as among our regional partners and other actors, for operational crisis response. Preventive diplomacy and mediation today are being conducted by a broader array of actors using a wider range of tools than ever before. This makes it possible to consider multifaceted strategies of a kind that were previously not an option.

Yet despite these developments, state sovereignty is still a formidable shield, particularly in complex internal situations, which constitute the majority of cases we deal with. Likewise, the willingness of the international community to act, and act early, has remained elusive in many cases, and even when the will is there, we often scramble for the resources to mount a quick response. These challenges, and the ways in which we have tried to address them, are developed further below.

Building a Faster and More Effective UN Machinery for Crisis Response

The 2005 World Summit Outcome Document and several milestone resolutions of the Security Council⁸ have laid out a vision for bolstering the UN's effectiveness in preventing and resolving armed conflict. Since then, the UN has embarked on an ambitious effort to professionalize its preventive diplomacy and mediation capacity, and to respond faster and more effectively when asked to do so. Over the past three years, we have sought to strengthen the Department of Political Affairs (DPA) in carrying out its lead role in supporting the Good Offices of the Secretary-General and in providing mediation expertise. Other key capabilities are UN regional offices on the ground focused on diplomacy and peacemaking, as well as more effective cooperation within the broader UN system and, critically, with Regional and Sub-regional Organisations.

In the last year or so, the United Nations has supported, often in partnership with others, more than twenty peace processes, and responded to an even higher number of disputes that did not reach the level of a formal peace process. It undertook – or supported regionally-led – rapid political interventions to stem electoral or constitutional crises in Kyrgyzstan, Niger and Guinea. In Guinea, following the massacre of 28 September 2009, concerted efforts by the UN, regional and other international actors shaped developments that helped avert the threat of civil war and obviated the need for peacekeepers.

⁷ Richard Gowan and Dr. Bruce Jones, with Sara Batmanglich and Andrew Hart, *Back to Basics: The UN and crisis diplomacy in an age of strategic uncertainty* (Center on International Cooperation, 2010)

⁸ Examples of milestone resolutions in this regard include 1325 (2000), 1625 (2005) and 1809 (2008).

UN mediators worked to broker or support agreements in situations as diverse as Madagascar, Cyprus and the eastern Democratic Republic of Congo, in the latter case averting, at least for the time being, the spectre of a regional confrontation feared by many in late 2008.

The DPA-led offices in West Africa and Central Asia have played a catalytic role in forging the kinds of innovative working relationships with Regional and Sub-regional Organizations that are so pivotal in improving the collective impact of international crisis response. They have also allowed the UN to build a network of key political contacts in these regions, which has both improved our understanding of the complex political dynamics on the ground and provided the UN with entry points for diplomacy.

At the same time, we have attempted to hone new tools, such as the use of investigative mandates to help defuse tensions in judicial cases with political implications. The latest example of this is the establishment of the Panel of Inquiry on the flotilla incident of 31 May 2010. Learning the lessons of Kenya and elsewhere, we have also begun to pay more attention to electoral disputes as potential flashpoints for conflict and to electoral processes as windows of opportunity for building peace. We have taken action to improve Headquarters support to Resident Coordinators and UN Country Teams, particularly in countries facing complex political challenges that do not have a resident peacekeeping or political mission. In some of these fragile situations, we are discreetly assisting national authorities, at their request, in building local capacities for dispute resolution, underpinned by development programmes that can help address some of the structural causes of conflict.

In countries where prevention has failed, Security Council-mandated missions tend to include an important mediatory role, typically carried out by the Head of Mission, in recognition of the fact that the need for diplomacy persists throughout the conflict cycle. And our evolving peacebuilding architecture, together with our small peacebuilding missions on the ground, are helping countries to navigate the difficult task of rebuilding and reconciliation in order to solve their problems more durably.

This represents a wide and growing array of interventions and tools, and certainly not every case is viewed as a success. It illustrates, however, a more creative, agile and proactive UN approach to crisis response. With increasing experience, we are learning what works and what does not, and are working hard to distil best practice.

Key Challenges

Rarely do political crises erupt so suddenly that they catch us wholly unaware. We usually see some warning signs ahead of time. The key is to read the warning signs correctly and to decide on what can be done to improve the situation, and by whom.

Overall, we are getting better at working the political track early in situations where instability threatens. But effective preventive action depends critically on the will of the parties to the conflict. The better we understand motives, calculations, and incentives to use violence, the better we can target our response. Diplomatic openings are often extremely difficult to find, especially in situations of internal crisis. But if armed conflict threatens, we must be willing to use all available leverage to persuade the key actors, with due respect for their sovereignty, that it is in their own interest to accept assistance. Neighbouring countries and Sub-regional Organisations, who are closest to the events and often have unique influence over the parties, are key allies in this respect.

Conversely, if the parties do not want peace, and the environment is not conducive, diplomacy alone is unlikely to be effective. We should plan for such contingencies too, while doing all in our power to avert situations that would require an escalation in our response.

Whatever our strategy, we will rarely be in it alone. Contemporary peace processes now almost always involve multiple actors, and in fact require contributions by multiple actors to be truly effective. But how the UN, Regional Organizations and others decide on partnership arrangements in a given situation has not been regularized, placing a premium, in each case, on strategic coordination, or at least on good communication. We see scope for moving

towards a more strategic dialogue with regional partners on potential conflicts, which would allow us to make more informed policy choices at critical moments and make full use of our comparative advantages.

At the same time, we need to ensure that our machinery keeps pace with our practice. Much, if not most, of the work undertaken in pursuit of the Secretary-General's Good Offices is funded through extra-budgetary means, and Special Political Missions cannot count on the reliable and predictable resources provided by a peacekeeping support account. As a result, *ad hoc* arrangements are often needed to conduct complex exercises. There is a compelling need to address this, particularly since the Security Council increasingly relies on such missions to support critical political and peace consolidation processes, including protecting peacekeeping investments.

The Secretary-General intends to submit proposals to the sixty-fifth session of the General Assembly to address this fundamental gap.

We also know that we must get better at monitoring outcomes and measuring success, and present hard evidence that prevention works. As political work is not easy to see and quantify, this is notoriously difficult to do, but it is crucial if we are to improve our ability to generate and sustain support.

Finally, we must think outside silos, along a continuum, as the title of this session suggests. Our response should be configured not according to our various institutional set-ups, but according to the needs on the ground.

Ways Forward

Due to a variety of reasons, diplomacy seems once again to be ascendant. At a time when more blue helmets are deployed on the ground than ever before in history and the global financial crisis has added pressure on already scarce resources, Member States appear to be taking a fresh look at conflict prevention and mediation as cost-effective means of addressing threats to international peace and security. Recent discussions of the Security Council, behind closed doors and in open debate, have highlighted the need to strengthen the UN's machinery for early crisis response, and provide "predictable, coherent and timely financial support to optimize the use of preventive diplomacy tools, including mediation, throughout the conflict cycle."⁹

The World Bank's influential World Development Report (WDR), due to be released later this year, will focus on fragility and conflict and promises to make a similar case. Amongst its draft findings is the statistic that countries take on average 14 years to recover from war, while mediation efforts cost as little as a few hundred thousand dollars a piece. President Johnson-Sirleaf of Liberia, who is a member of the WDR Advisory Board, was recently quoted as saying, "You guys give everything to us after we have had a civil war, but nothing to us as we are trying to prevent a civil war."

The case for preventive diplomacy and mediation remains compelling, on moral, political and financial grounds. We should build on the current up-tick in attention and drive forward efforts to build a predictive capacity for conflict prevention and peacemaking that can respond quickly and reliably when asked to do so.

Paper prepared by the Department of Political Affairs

⁹ Statement of the President of the Security Council (S/PRST/2010/14), adopted during the Security Council open debate on "Optimizing the use of preventive diplomacy tools: Prospects and challenges in Africa", on 16 July 2010.

PLENARY SESSION 7

BUILDING EFFECTIVE LINKS BETWEEN PREVENTION, PEACEKEEPING AND PEACEBUILDING:
THE NOTION OF INTEGRATION

Introduction

The concept of integration first emerged in the 1997 Secretary-General's report *Renewing the United Nations: a Program for Reform*, which called for a transformation of the "leadership and management structure of the organization, enabling it to act with greater unity of purpose, coherence of efforts and agility in responding to the many challenges it faces." Following the establishment of a number of multi-dimensional and integrated missions and the first external review of integrated missions (undertaken in 2004-05 at the initiative of ECHA and in coordination with DPKO), the Secretary-General issued a Guidance Note on Integrated Missions in 2006 that clarified the respective roles of the SRSG and DSRSG/HC/RC in integrated missions and certain other aspects. In the same year, the Secretary-General issued Guidelines on the Integrated Mission Planning Process (IMPP) as the process to ensure system wide planning for UN missions.

In June 2008, the Secretary-General issued a set of decisions that reaffirmed integration as the guiding principle for all conflict and post-conflict situations where the UN has a Country Team and a multi-dimensional peacekeeping operation or political field mission/office. The principle of integration applies to these situations whether or not the field presences are 'structurally integrated' through a DSRSG/RC/HC. The decisions also removed any remaining doubts about whether the principle of integration and related guidelines also applied to DPA led political missions or offices.

The 2008 decisions clarified that integration is not an end in itself; instead, its main purpose "is to maximize the individual and collective impact of the UN's response, concentrating on those activities required to consolidate peace". To achieve this main purpose at the country level, there should be an effective strategic partnership between the UN mission/office and the Country Team, under the leadership of the SRSG and other members of the leadership team, which ensures that all components of the UN mission/office and the Country Team operate in a coherent and mutually supportive manner, and in close collaboration with other partners. Rather than seeing integration and integrated missions as 'integration into the mission', the Secretary-General's decisions emphasize the need for a strategic partnership between the mission (or political office) and UN Country Team under the SRSG's leadership, recognizing that members of the UN Country Team are governed by their own mandates, internal decision-making structures and funding arrangements even in 'structurally integrated' missions.

Integration at the Country-Level

According to the 2008 decisions, the country level integration arrangements should reflect the specific requirements and circumstances and can take different structural forms. In all cases they should include:

- A shared vision of the UN's strategic objectives;
- Closely aligned or integrated planning;
- A set of agreed results, timelines and responsibilities for the delivery of tasks critical to consolidating peace; and
- Agreed mechanisms for monitoring and evaluation.

Some of these elements are encompassed within the Integrated Strategic Framework (ISF), a new tool that has been applied by several integrated field presences and has to be initiated by all of them by the end of 2010. The ISF is a critical element of an integrated approach as it serves to unify, in many cases for the first time, all UN actors in a country around a common set of peace consolidation priorities.

There are several different kinds of 'integrated UN presences' (the term used on the 2008 decisions), all of which comprise a multi-dimensional peacekeeping operation or political mission/office and a UN Country Team. This includes 'integrated missions' with DSRSG/RC/HC such as UNMIS and UNOCI. It also includes those presences that are not structurally integrated but subject to the principle of integration (e.g., Somalia, Chad and Nepal). The term 'integrated UN office' generally refers to peacebuilding integrated offices that can emerge from multi-dimensional peacekeeping operations, such as BINUB, or be the extension of existing political offices, such as BINUCA. Such integrated offices can be led by an ERSR who is the political head of the mission as well as the RC/HC, or by an SRSR with only one deputy, who is also the RC/HC.

The 2008 decisions resulted in the creation of the Integration Steering Group (ISG) which is chaired by DPKO and meets on a quarterly basis. The purpose of the ISG is to ensure implementation and progress on integration-related issues by providing senior level leadership and oversight on key integration issues in post-conflict contexts. The ISG has met six times so far and is considering a broad range of issues:

- Strategy and planning issues, including the development and approval of the new IMPP guidance package on:
 - Strategic Assessments;
 - Role of Headquarters; and
 - Role of the Field.
- A review of Headquarters task forces (called IMTFs for DPKO-led missions and ITFs for DPA led missions) that the lead departments are required to maintain integrated task forces for each integrated UN presence to ensure coherent and consistent support and policy guidance;
- Administrative, personnel, finance and other issues that present obstacles to integrated activities in the field;
- Integration and humanitarian space; and
- A review of field experience and practice in joint programming involving mission components and UN Country Team members.

With regard to integration and humanitarian space, a discussion paper was presented to the ISG in March 2010 that summarized the concerns of humanitarian actors, including:

- The impact of integration on the security of humanitarian staff;
- The impact of integration on access and the ability of humanitarians to interact with non-state armed groups;
- The related issue of how integration arrangements may influence perceptions of humanitarian actors; and
- Humanitarian advocacy or the 'humanitarian voice' in integration contexts.

Following a constructive discussion, the ISG agreed on the need for a more detailed study aimed at assessing the positive or negative impact of specific integration arrangements on humanitarian space. This study will be conducted in the coming months.

Challenges and Ways Forward

Despite the substantial progress made on integration since the 2008 decisions, much work remains to be done. For example, a recent review of integration in DPA led missions highlighted the difficulties of promoting an integrated approach in highly politicized environments, particularly in active conflict situations. Relations between missions and UN Country Teams have improved in many cases but remain difficult in several others. There is also a perception, including at the senior levels, that integration can involve high transaction costs that are out of proportion to tangible benefits. This relates to the difficulty of measuring the net impact of integration, particularly where some innovations, such as the ISF, are still too recent to yield much in the way of data. It can also be difficult to differentiate fundamental systemic obstacles from those difficulties that stem from variations in approach and working culture. On the other hand, there are many positive examples of successful cooperation and greater collective impact that have resulted from integrating the UN's efforts towards peace consolidation.

It is also clear that the successful implementation of integration processes and arrangements demands significantly more training at all levels, both at HQ and in the field. The IMPP Working Group, which reports to the ISG, is discussing how these training needs can be met in collaboration with UN agencies. This includes training for planners and other staff directly tasked with integration related processes, but also briefings to senior leadership, programme managers and many others whose contribution is essential to making integration work well.

There are many important links between the UN's integration and peacebuilding agendas, and both of them face similar systemic challenges. For example, the fragmented international system to support peacebuilding creates a number of obstacles to coherence, accountability, continuity and predictability. This includes the need to draw from disparate financing streams of varying reliability and with different funding and planning cycles across different parts of the UN system and beyond. In addition, different administrative, personnel, and finance rules and systems for missions and members of the UN Country Team present major obstacles that the ISG and other fora such as the HLCM have been trying to address. Even if some of these obstacles can be resolved or mitigated, different UN entities will continue to report to different intergovernmental organs, which complicates efforts towards greater coherence and integration, also because the same member states will not necessarily provide consistent guidance and direction across different organs or organizations.

At the same time, the ambitious agenda laid out in last year's Secretary-General's report on peacebuilding in the immediate aftermath of conflict contains many elements that are crucial for improving integration, including more effective and better supported UN leadership teams on the ground, and an early agreement on priorities and alignment of resources behind them. Tools such as the ISF and enhanced planning capacities are already making an important contribution to a more effective overall response of the UN in post-conflict situations.

Paper prepared by the Department of Peacekeeping Operations

PLENARY SESSION 7

**BUILDING EFFECTIVE LINKS BETWEEN PREVENTION, PEACEKEEPING AND PEACEBUILDING:
THE PEACEBUILDING PERSPECTIVE**

Introduction

It has become axiomatic that peacekeeping and peacebuilding do not progress along a linear continuum, with one set of activities segueing neatly into the next, but rather that they must be undertaken in parallel and reinforce each other. Indeed, peacekeepers and development actors play instrumental roles in peacebuilding, the success or failure of which may affect the lifespan of a mission or the scale and pace of development programmes. There is also increasing recognition that not only must peacebuilding begin when violent conflict has ended but that peacebuilding activities can be initiated – by humanitarian and development agencies, as well as by missions if present – in countries, or areas within them, that remain affected by violent conflict. This reflects not only a shift in our understanding of how conflict can be transformed, but also a transformation in the nature of the conflicts that we confront. And it raises the question of how the UN can most appropriately equip itself to achieve sustainable peace in a changing global environment.

Peacebuilding in a Changing Environment

Many of the threats to international peace and security arise now not from inter-state conflict but rather both transnational and sub-national threats, a change that is readily apparent in the shifting and increasingly complex mandates of UN missions. Early missions, such as United Nations Military Observer Group in India and Pakistan (UNMOGIP), arose in a context of conflicts between states and were concerned primarily with ensuring respect for ceasefire agreements. Later missions addressed conflicts between state and non-state actors, with the UN's role in such environments ranging from observation to peacekeeping to de facto trusteeship. The common denominator in both contexts was the presence of an agreement between the conflicting parties, whether merely to desist from further hostilities or to embark upon a process whose end state was a comprehensive peace. In the past decade, UN political missions have been deployed in countries where key parties have remained outside of the putative peace process and where the mission mandates include, as in the case of UNAMA, components such as political outreach and support to government-led reconciliation efforts.

While UN peacekeeping will have to devise solutions for issues that pertain uniquely to its mission mandates, the system as a whole must respond to the changing environment in which peacebuilding takes place. As adaptive as the UN has been when faced with new sets of challenges, it has often been outpaced by the forces that impede the consolidation of state authority. The inherent mutability of non-state actors has allowed the latter to coalesce with transnational networks with which they may share an ideology, criminal interests, or merely a common adversary. Organised crime, terrorism, piracy, and trafficking have thus progressed to levels that overwhelm state capacities to tackle them. The results include failed states, states in intractable conflict, and weak states undermined by corruption and the complicity of officials in transnational crime. Under such circumstances, violent conflict in one country can spill over into and ultimately engulf a wider region.

The UN has thus increasingly faced the challenge of building peace in a context of continued insecurity and instability, and in which its traditional responses may be inadequate or counterproductive. Even where a semblance of stability is achieved, institutional weakness and social fragmentation may leave open the prospect of renewed conflict and deter the investment and economic growth that are necessary for a durable peace. The normative elements of a peace process – for example, adopting a constitution or holding elections – will then not necessarily represent milestones in the achievement of peace. While these are undeniably important elements in state building, more fundamental change may be needed in a country's institutions and political culture as well as in public perceptions and attitudes.

Delivering Peace Dividends and Building Institutions

In responding to these challenges, the UN must balance the need for early and visible 'peace dividends' that build confidence and reduce risks with a longer-term commitment to ensure that countries are better able to prevent, contain, and mitigate violent conflict themselves. Both of these objectives are embedded in the recurring priority areas for coherent and rapid international response that the Secretary-General identified in his report on Peacebuilding in The Immediate Aftermath of Conflict: support for basic services, basic safety and security, political processes, restoring core government functions, and economic revitalisation.

Where violent conflict persists despite the existence of a formal peace process, it may nevertheless be possible to provide such services as basic health care, food assistance, rural infrastructure development, and even primary education. The key elements, experience has shown, are flexibility, innovation, and risk tolerance; if an area is deemed too insecure for UN agencies to operate, partners such as NGOs or, where politically possible, the national government may be in a position to implement and monitor projects and services on their behalf. (The Peacebuilding Fund is, in this respect, a valuable resource for the UN System as a rapidly disbursing and risk tolerant source of financing for projects). The notion that development can precede and lay the groundwork for peace by positively orienting communities toward the formal process runs contrary to traditional sequencing but forms an increasingly important component of peacebuilding strategies. Afghanistan's National Solidarity Programme, for example, channels small-scale grants and technical assistance to local communities in line with their own identified development priorities; it has been sought out even in areas of the country that currently have no meaningful government presence.

There is a growing recognition that post-conflict countries need, from the outset, to begin developing their capacities for public administration, rule of law, and security through appropriate support to the relevant institutions of state. This might include the provision of basic infrastructure or mentoring through, for example, mixed police patrols or tribunals. But its long-term success requires a significant investment both in infrastructure and capital, including human capital – the latter achieved in part through support for higher education institutions and training centers that can produce future judges, prosecutors, and lawyers, as well as police and civil servants. Institution building benefits indirectly security and stability as well: it provides the social cohesion that enable markets to develop, economies to grow, and jobs to be created.

Informal institutions can play a vital role in mitigating conflict; in some environments, they may extend the authority of the state and enable the peaceful and cost-effective adjudication of land and property disputes, the management of shared resources such as water, and facilitation of refugee and IDP reintegration. Traditional institutions may, however, have been fundamentally transformed by conflict and displacement, with their leadership potentially having fractured, lost standing or been co-opted by parties to the conflict. In such cases, it would be necessary to determine whether these institutions can be rehabilitated or whether new mediation or community-accessible mechanisms should be constituted. Timor-Leste's dialogue teams, funded by the PBF and implemented by UNDP and IOM, offer an illustrative example of the latter: managed by the Ministry of Social Solidarity, they were initially set up to assist IDP reintegration but their demonstrated effectiveness has now led to the expansion of their mandate to help resolve disputes related to the country's forthcoming land and property legislation.

Implications for UN Planning

The challenges that the UN now faces in countries affected by conflict, and which it can reasonably anticipate in the future, may require a dramatic shift in its approach. The starting point for the UN should be to identify existing domestic capacity. As noted in the Secretary-General's report on Peacebuilding in The Immediate Aftermath of Conflict: "Too often the international community begins activities in a post-conflict country without first assessing what capacities exist. There is a tendency to assume that capacity has been completely depleted, rather than finding existing capacity and strengthening it."

UN mission components should be shaped and staffed with capacity building in mind. The UN often appears to expect that national institutions will have the capacity to assume peacebuilding functions as a mission draws down. We should perhaps instead examine ways in which the UN can shape its mission elements or functions to resemble and interface more with developing domestic capacity, making the handover smoother and more realistic. The vetting of public officials (especially police and military) provides a concrete example: it is seen as something the UN does before handing over the vetted entity to national authorities. But the need for oversight of nascent police and military components in poor countries so soon after or even amidst a violent conflict is hardly something that can be done as a one-off exercise. That kind of oversight, if ongoing and with recognised integrity, can be a critical tool for neutralising a range of conflict drivers. The UN vetting component could perhaps therefore be conceived of, and implemented in alignment with, a national office or function that will continue after UN drawdown.

The Review of International Civilian Capacities is led by PBSO on behalf of and with close support from the UN system, and seeks to improve the international response in the aftermath of conflict. Against a backdrop of fragmentation, change, and crisis, the civilian component of peace operations needs to transform from an ad-hoc coalition, cobbled together by the UN, into a professional enterprise where Member States and the UN accept and share the responsibility for delivering on our collective mandate to build a larger freedom. In order to achieve this, the UN needs to be lighter, faster, and more flexible in terms of its ability to generate civilian capacity.

Beyond the findings of the Review, other observations can be made. The skills sets needed to carry out executive functions such as policing or to administer tribunals are different from those needed to develop the capacity of a country's law enforcement and judicial institutions. This could be surmounted by greater roster interoperability among different UN entities, whose staff may have complementary skills sets, and by canvassing within and beyond the UN System for individuals with multidisciplinary skills sets.

Conclusion

From the Brahimi Report to *In Larger Freedom* to *New Horizons*, the UN has shown that it can take stock, regroup, and return to its mission. The challenge now is not merely to move towards better organising the existing components of the UN family to adapt to the challenges that it now faces and to properly reflect the weight of its experience; the UN must also reconfigure itself in a way that improves its ability to adapt to challenges that are now just barely on the horizon. Climate change is a case in point: some observers consider that this will in future years serve as conflict multiplier, by exacerbating disputes over water resources and access to arable land or by accelerating migration to cities with already strained housing and job markets. The steps that the UN takes toward permitting greater flexibility, innovation, and risk-taking in peacebuilding, and in developing the capacities of states to manage conflict drivers themselves, will also leave it better positioned to meet these and other emerging challenges.

Paper prepared by the Peacebuilding Support Office

The Secretary-General's Retreat 2010

Notes for the Chair

Deputy Secretary-General, Asha-Rose Migiro

Day 1 - Sunday 5 September 2010

Main Theme: ***How to Respond to a Rapidly Evolving Global Environment***

1. Swearing-In Ceremony (08.45 – 09.00)

- At 8:45 all participants will be asked to rise. The Secretary-General and the DSG will be guided to their place next to the swearing-in table.
- The senior officials to be sworn-in will be lined-up near the table.
- The Master of Ceremony (tbc), will take the floor and the Ceremony will begin.

2. Opening of the Retreat (09:00 – 09:30)

- Once the Ceremony ends, the Secretary-General, the DSG, Mr. Lopes and the guest speaker (Dr. Solana) will seat at the main table.
- Mr. Lopes will take the floor to briefly welcome the guests and will introduce the Secretary-General and pass the floor to him.

[The Secretary-General makes his introductory remarks]

- At the end of the Secretary-General's Opening Remarks, Mr. Lopes will take the floor, thank the Secretary-General and introduce the Chair for the day.

[The floor goes to the DSG]

- The DSG will Chair the Retreat until 2.30 pm on the next day, Monday, 6 September.
- The DSG may wish to welcome the participants of the Retreat.

"Thank you, Secretary-General, for the inspirational address and warm welcome. I am very pleased to be here with you all at the annual retreat of the Secretary-General. It is already the fourth time that the Secretary-General convenes its senior management for a joint brainstorming on how to better equip the Organization to address rapidly evolving global challenges in a coordinated

and efficient manner. Torino, Italy, home of the UN System Staff College, was the venue of the first two Retreats; last year we managed to hold the meeting simultaneously in two different locations: New York and in Geneva. This year, we gathered here, in Alpbach, Austria, thanks to the support of the Austrian authorities. Let me thank all of you for your participation and commitment."

- The DSG may then provide a brief outline of the main thematic sessions of the Retreat, with a particular focus on Day 1, and announce the guest speaker.

"I will now briefly outline the format of the Retreat. This year the Retreat is structured around three main themes. Plenary sessions 1, 2 and 3 planned for Day 1 will focus on the issue of **"How to Respond to a Rapidly Evolving Global Environment"**. On Day 2, we will have an opportunity to discuss the challenges faced by the Organization in terms of **"Improving our Efficiency"**, during the plenary sessions 4 and 5, and **"Positioning the UN to meet global challenges"**, during the afternoon sessions 6 and 7. I will be the Chair of the Retreat through Plenary session 5 taking place tomorrow when Vijay Nambiar will take over the chairmanship for the sessions 6 and 7.

This morning we will have the pleasure of the company of our special guest, Dr. **Javier Solana**, who kindly accepted to provide his insights on **"Mega Trends' Impact on the Multilateral Agenda"**. You will also have the opportunity to participate in a Q & A session with Dr. Solana followed by a 15-min. coffee break. After the break, at 11.00 am, we will proceed with plenary sessions for the day.

Dr. Solana needs little introduction and his brief bio you all have in your folders that not come close to highlight his many achievements and important positions held. He has been a staunch supporter of multilateralism and is one the best experts on the UN role in pursuing peace and security. Dr. Solana current position at one Europe's leading management schools allows him time to reflect about strategies that can change the shape of global governance. It is therefore quite appropriate that we have him as a guest speaker for this year retreat.

Dr. Solana, you have the floor."

[The floor goes to Dr. Solana]

3. Key-note address by Javier Solana: "Mega Trends' Impact on the Multilateral Agenda" (09:30-10:00)

- Following the Key-note address by Javier Solana, the DSG may wish to thank Dr. Solana and open a Q & A session.

"Thank you Dr. Solana for a very insightful presentation that highlights the many challenges we should be ready to respond to. I believe there is a lot of interest on

behalf of my colleagues and will immediately proceed with giving them an opportunity to engage into a discussion on this subject."

4. Q & A sessions with Javier Solana (10.00 - 10.45)

- The DSG may wish to moderate the Q&A session.
- At the end of the session, the DSG may invite the participants of the Retreat to take a 15-min. coffee break.

Coffee Break (10.45. – 11.00)

5. Plenary Session 1: "Rising to the Challenge – UN Strategic Choices for the immediate future" (11.00 – 13.00).

Discussants: Helen Clark and Antonio Guterres

- Following the coffee break, the DSG may briefly outline the agenda for the remaining of the day and explain the rules of engagement.
- *"Today, we will have three plenary sessions. The first session will end at 1.00 p.m. Following the lunch break, at 2.30 p.m., we will proceed with plenary sessions 2 and 3, until 7.00 p.m. This evening participants are invited for a dinner with the Secretary-General, starting at 20:00. You have received background papers for all the sessions that were prepared by various UN entities, and that serve to inspire your discussions. I would like to thank all entities involved in the preparation of these papers for their contributions and efforts.*

As you notice from the agenda, each session of the Retreat will be guided by two discussants and will all be held in plenary. I would like now to give the floor for any further details on the flow of the Retreat and a brief introduction of the organizational part of the Retreat to Carlos Lopes who has been putting together this important event with his team at the UN Staff College, UNITAR and in close cooperation with the Department of Management".

[Carlos Lopes will cover the following subjects:

- roles and functions during the retreat
- time-keeping
- other details of the logistics]
- Following Carlos Lopes' remarks, the DSG may proceed with the opening of Plenary Session 1 on **"Rising to the Challenge – UN Strategic Choices for the immediate future"**.

"Thank you, Carlos, for all the efforts you and your team put into making sure this event turns into a truly fruitful and sincere discussion. Let me now proceed with

opening plenary session 1 entitled "Rising to the Challenge – UN Strategic Choices for the immediate future". Earlier this morning our special guest, Dr. Solana, spoke about the impact current mega trends have on the future of multilateralism. The challenges underscored by Dr. Solana are particularly relevant to the work of the UN as the only multilateral organization with universal membership and a broad mandate. This session will be an excellent opportunity for us to discuss the important strategic choices to be made by the Organization to increase its relevance in the face of complex and constantly evolving challenges."

[BACKGROUND FOR THE DSG (NOT TO BE READ)]:

[The international community has been witnessing an unprecedented level of confluence of interlocking issues of global significance: financial and economic downturns, food insecurity, climate change, epidemics, migration, complex armed conflict situations, human rights abuses, terrorism and transnational crime, proliferation of weapons, etc. The relevance and effectiveness of the United Nations' work increasingly depends on its capacity to turn risks into opportunities (especially in the areas of financial and economic development, climate change, conflict management, migration and new technologies). It is being increasingly recognized that multilateralism is instrumental to the success of the United Nations' response to global challenges. However, there are still considerable gaps and shortcomings in existing multilateral mechanisms that hamper their capacity to deal effectively with global challenges. Hence, there is a need for a renewed multilateralism based on: active participation of all countries – including from the Global South; integrated approach; consideration of the most vulnerable segments of the populations; larger engagement of a broad range of stakeholders including civil society and private sector; revision of the current multi-lateral architecture. The United Nations is well positioned to promote multilateral and integrated approaches to tackle global challenges. However, a number of steps still need to be completed before achieving this objective. How do we transform the UN into a multilateral institution with the potential to fulfil the Secretary-General's expectations? How can we harness UN's capacity to foresee the upcoming crises, and to prevent or respond effectively? What choices will we make for the near future in terms of key objectives, main focus areas, overall strategy and delivery mechanisms?]

- After a brief introduction to the Session, the DSG may want to pass the floor to the discussants.

*"I now pass the floor to the discussants for this session, **Helen Clark** and **Antonio Guterres**. Helen, you start, please".*

- **Helen Clark** will provide introductory remarks to launch and stimulate a discussion.

- The DSG may pass the floor to **Antonio Guterres**.
- **Antonio Guterres** will provide introductory remarks to launch and stimulate a discussion.
- The DSG may open the floor for plenary discussions and moderate the interventions.
- The DSG may want to wrap-up the session and outline several concrete recommendations that came out of the discussion. After thanking the discussants for leading the session, the DSG may invite the participants for a Group Photo and lunch.

"Thank you, Helen and Antonio. Participants are now invited to leave the room for a group photo, and lunch. Let us follow the colleagues helping us to the appropriate place, just outside. Plenary sessions will resume at 2.30 p.m."

6. Lunch (13.15 – 14.00)

7. Plenary Session 2 (14.30 – 16.30)

- The DSG may proceed with the opening of plenary session 2 on the **Latest Trends in international negotiations and processes (climate change, food, health, G-20)**

"Let us now proceed with plenary session 2 that will focus on "Latest Trends in international negotiations and processes (climate change, food, health, G-20)". The session will conclude by 16.30 and will be followed by a 15 min coffee break and plenary session 3. Responses provided by the international community in a number of areas, including climate change, food and health insecurity, financial and economic crisis, reveal a growing understanding of complex interlinkages that exist between various global challenges, as well as new approaches to boost multilateral cooperation. The discussion of how the UN could promote comprehensive and inclusive approaches and an integrated direction to multilateral processes aimed at resolving the issues of global significance is more than timely.

[The DSG may wish to expand].

[BACKGROUND TO THE DSG (NOT TO BE READ)]

[The international community is facing a number of challenges: financial and economic downturns, food insecurity, environmental degradation and climate change, health insecurity, – just to mention some of them. Given their global nature, these challenges cannot be addressed by any single individual, nation or organization alone. On the contrary, they make the case for an integrated

approach, in light of their complexity and inter-linkages. More and more, the links between food security, climate change, global health and other pressing challenges are understood by stakeholders. Considerable efforts are made to translate these links into joint initiatives, based on inter-sectoral approaches that highlight the interdependence and inter-linkages among global issues. The United Nations are at the forefront of these efforts, as they seek to revitalize existing commitments, or secure new ones, from a range of influential partners, as well as provide the framework for global approaches. To this end, the United Nations has promoted multiple international fora to discuss global issues (such as the UN Conference on Climate Change or the Summit on World Food Security) and has coordinated international responses to many challenges. However, despite the significance of these arrangements, they remain mostly ad-hoc and dominated by national sovereignty dynamics that hamper the need to respond with coherence and speed. The United Nations are still the best placed to reflect the demands of Member States and to add value to their collective processes. To this end, the United Nations needs to focus on both governance (including normative, technical assistance, monitoring, reporting, and coordination functions within the context of its support for intergovernmental negotiations and agreements) and results, in the view of: sustaining comprehensive approaches; encouraging effective support for country-led and regional actions; linking together a broad range of public sector, business and civil society partners; ensuring strong contributions by the different elements of the multilateral system; tracking progress and communicating both intentions and results at country, regional and global levels.]

- After a brief introduction to the Session, the DSG may want to pass the floor to the discussants.

*"I will now turn to our discussants for this session, **Achim Steiner** and **Christiana Figueres**, who will lead the discussion on this subject.*

***Achim**, you have the floor first".*

- **Achim Steiner** will provide introductory remarks to guide the discussion.
- The DSG may invite **Christiana Figueres** for introductory remarks.

*"Thank you, **Achim**, for introducing the session. **Christiana**, you have the floor".*

- **Christiana Figueres** will provide introductory remarks to guide the discussion.
- The DSG may open the floor for plenary discussions and moderate the interventions.

The DSG may want to wrap-up the session and outline several concrete recommendations that came out of the discussion. After thanking the

discussants for leading the session, the DSG may invite the participants for a coffee break.

"I would like to thank Achim and Christiana for leading this second plenary session. You are now invited for a coffee break that will not last longer than 15 min. The working sessions will resume at 16.45."

Coffee break (16:30-16:45)

8. Plenary Session 3 (16.45 – 18.45)

- The DSG may proceed with the opening of Thematic Session 3 on **"The Year of the MDGs: What do we want to achieve? Preparation for the MDG Summit"**.

*"We will now proceed with Plenary session 3 that will last until 18:45. This year's Summit on the MDGs, with only 5 years ahead to honour the commitments made 10 years ago in the areas of utmost importance, represents a window of opportunity, in many respects. During our common preparatory work, we have already witnessed a frank discussion on successes as well as the lack of progress in a number of areas, as well as reinforced commitment within the Organization. There are a number of other expectations with respect to the Summit. It is hoped that it will also raise the profile of the broader development agenda, and help to steer the international community into action. It is my pleasure to open plenary session on this important topic.
[The DSG may wish to expand]."*

[BACKGROUND (NOT TO BE READ)]

1) Following a proposal by the UN Secretary-General, the General Assembly has convened a MDG Summit on September 2010, with the primary objective of accelerating progresses towards all the MDGs by 2015. Focusing on the key message that MDGs can be achieved, UN entities have launched a number of reports and organized regional and global MDG-related events. 2) These reports confirm trends of success and uneven progresses and agree in stating that without a major push forward, many of the MDG targets are unlikely to be achieved in most regions. To accelerate progresses, the international community would need to focus on continuing proven strategies, policies and intervention and to make a radical break with those that do not work. However, old and new challenges threaten to further slow progresses in some areas or even undo successes achieved so far. 3) Efforts by the Secretary-General and the UN system, along with Member States, have effectively positioned the Summit process in terms not only of accelerating MDG progress but also mobilizing action on the broader development agenda. With five years to go to the target date for attaining the MDGs, it is build upon the many successes already achieved to accelerate progress towards the MDGs. What is required is the

commitment to effectively pursue the strategies, policies and interventions that have accelerated progress on multiple MDGs. In order to address the other MDGs, the UN also needs to strengthen the coordinated support it offers to countries that wish to accelerate MDG progress.]

- After a brief introduction to the Session, the DSG may want to pass the floor to the discussants.

*I will now turn to **Michel Sidibé and Noeleen Heyzer**, the discussants for session 3.*

Michel, you have the floor."

- **Michel Sidibe** will provide introductory remarks.
- **The DSG** may pass the floor to **Noeleen Heyzer** for introductory remarks as a second discussant.

"Thank you, Michel, for introducing the session. Noeleen, you now have the floor".

- The DSG may open the floor for plenary discussions and moderate the interventions.
- The DSG may want to wrap-up the session and outline several concrete recommendations that came out of the discussion. After thanking the discussants for leading the session, the DSG may invite to join the Secretary-General and herself for a "teambuilding" moment before the end of the first day. The DSG may wish to give the floor to Carlos Lopes who will provide details of the venue and format of the teambuilding exercise and of that evening's dinner.

*"I would like to thank **Michel** and **Noeleen** for leading this session. Let me now announce the closing of plenary sessions for today. Thank you for your participation. I am now pleased to invite you for a short "teambuilding" occasion, with the Secretary-General. I now pass the floor to Carlos for further details on this and the rest of the evening and look forward to welcoming you tomorrow morning for plenary sessions 4 and 5 that will proceed from 9.00 to 13.00."*

Day 2 - Monday 6 September 2010

Main Theme: *Improving our Efficiency*

1. Plenary Session 4: **"Shifting gears on our HR systems – a modern workforce at Headquarters and in the field. Maximizing the impact of ICT on the performance of managers"** (9:00 – 11:00)

- The DSG may open the 2nd Day of the Retreat with Plenary Session 4, on **"Shifting gears on our HR systems – a modern workforce at Headquarters and in the field. Maximizing the impact of ICT on the performance of managers"**.

*"I am pleased to welcome you today for the second consecutive day of this Retreat. I will be the Chair for the two morning sessions today that will focus on the second selected theme of the Retreat **"Improving Our Efficiency"**. Let us start with Plenary session 4 will discuss the following subject **"Shifting gears on our HR systems – a modern workforce at Headquarters and in the field. Maximizing the impact of ICT on the performance of managers"**. The issues of enhanced harmonization and inter-operability are central to increasing the Organizations' efficiency. So is the maximization of benefits that can be brought about by comprehensive ICT systems and an expanded and adapted use of ITC by managers and staff alike."*

[The DSG may wish to expand]

[BACKGROUND (NOT TO BE READ)]

1) The mandate of the United Nations covers a range of activities that requires a fully integrated and harmonized Secretariat and seamless interoperability with the specialized agencies and separately administered Funds and Programmes. 2) While harmonization is needed as foundation for integration – which in turn should lead to efficiencies in productivity, an improved work environment and a wide pool of global dynamic and adaptable talent, interoperability is crucial to strengthen the capacity of the organization to respond to changing needs and environments, as well as to support career development. 3) Despite two key Human Resources Management reform initiatives launched in 2009, several steps need still to be undertaken to ensure harmonization and interoperability within the common system. Overall, it is still evident a disconnection between the desire of organizations in the common system to encourage a "One UN" approach as opposed to maintaining their independence and autonomy. Major barriers to interoperability include: different recruitment standards; differences in competency and performance management frameworks; lack of clear administrative arrangements to facilitate inter-agency movements. 4) Potential steps towards interoperability include: development of common careers networks; integration of inter-agency movement into human resources

management policies; harmonization of recruitment standards and policies; development of common competency frameworks; definition of career paths and models; strengthening in management and leadership; investments in learning and development. 5) Interoperability is just one move towards the development of a modern workforce at headquarters and in the field. A second crucial step is the maximization of the utilization of enterprise-wide ICT systems – such as knowledge management systems and enterprise resource planning systems (including human resources management systems). In point of fact, through the implementation of ICT systems, staff and managers throughout the organizations will have access to critical data that would enable more factual-based decision making processes at the individual, unit and system level, as well as promote transparency across the organization. 6) The implementation of ICT system, however, needs to take into account the issue of generational diversity, i.e. of different approach to ICT system by different generational segments of the staff. Hence, in implementing ICT systems, it would be crucial to assure that technological tools are robust enough to maximize the abilities of the younger generations, but at the same time that they include forms of support for previous generations.]

- After a brief introduction to the Session, the DSG may want to pass the floor to the discussants.

*"Let me now pass the floor to the two discussants for this session, **Alicia Barcena** and **Franz Baumann**."*

Alicia, you look quite prepared to start. You have the floor."

- **Alicia** will provide introductory remarks.
- The DSG may pass the floor to **Franz Baumann** for introductory remarks as a second discussant.

"Thank you, Alicia, for introducing the session. Franz, it is your turn now to have the floor".

- The DSG may open the floor for plenary discussions and moderate the interventions.
- The DSG may want to wrap-up the session and outline several concrete recommendations that came out of the discussion. After thanking the discussants for leading the session, the DSG may invite participants for a coffee break.

*"I would like to thank **Alicia and Franz** for leading this session. You are invited now for a coffee break that will last no more than 15 minutes."*

2. Plenary Session 5: "Building Trust between Staff and Management through institutional reforms" (11.15 – 13.00)

- The DSG may proceed with the opening of Plenary Session 5 on **"Building Trust between Staff and Management through institutional reforms"**.

*"Let me proceed with the opening of Plenary Session 5. The main focus of the session will be on the issue of **"Building Trust between Staff and Management through institutional reforms"**. Institutional reforms aimed at improving the administration of justice for staff and promoting trust between staff and management are an important subject to reflect upon and will be at the center of discussions of this session."*

[The DSG may wish to expand]

[BACKGROUND (NOT TO BE READ)]

1) In 2007, the General Assembly has established a new system of administration of justice for staff of the United Nations Secretariat and the separately administered Funds and Programmes that in principle would promote trust between staff and management. 2) The new system reflects the relevant rules of international law and the principles of rule of law and due process, to ensure respect for the rights and obligations of staff members and the accountability of managers and staff members alike. Further, the new system puts a stronger emphasis on resolving employment-related disputes through informal means, before resorting to formal litigation. 3) The reform of the internal justice system provides an opportunity to improve staff-management relations, allowing for increased transparency, more professional and expeditious resolution of disputes. 4) This reform has deemed necessary in light of the significant number of cases reviewed by the Management Evaluation Unit and brought before the Tribunals. In particular, by promoting dialogue and the informal resolution of issues, as well as by encouraging staff to first exhaust all possible conflict resolution methods before resorting to litigation, the new system partially alleviates the burden on a already strained system. On the other hand, by providing guidance to managers on lessons learned and best practices, it also facilitates the informal resolution of issues.]

- After a brief introduction to the Session, the DSG may want to pass the floor to the discussants.

*"Let me now pass the floor to the discussants, **Patricia O'Brien** and **John Barkat**.*

Patricia, I am sure you prepared well for this session. You have the floor."

- **Patricia** will provide introductory remarks.
- The DSG may pass the floor to **John Barkat** for introductory remarks as a second discussant.

"Thank you, Patricia, for introducing the session. John, you deal with these issues all the time. Please enlighten us".

- The DSG may open the floor for plenary discussions and moderate the interventions.
- The DSG may want to wrap-up the session and outline several concrete recommendations that came out of the discussion. The DSG may thank **Patricia** and **John** for leading the session, and invite the participants for a thematic lunch.

*"I would like to thank **Patricia** and **John** for leading this session. I have the pleasure of inviting you now to join us for a luncheon where **Josette Sheeran** will address the participants with a brief presentation on "**How can we effectively communicate the UN message?**". Plenary sessions will resume at 14:30 with sessions 6 and 7, to be chaired by Vijay Nambiar. Let me thank you all for your active participation, particularly the discussants."*

<p>3. Thematic Lunch: "How can we effectively communicate the UN message?" (11.15 – 13.00)</p>

- Carlos Lopes will introduce the luncheon Presenter.

Guidelines for Discussants
The Secretary-General's Retreat 2010
(Alpbach, Austria)

- Session details

Rising to the Challenge – UN Strategic Choices for the Immediate Future

Plenary Session 1

Chair: Deputy Secretary-General

Discussants: Helen Clark, Antonio Guterres

Background paper prepared by the United Nations Institute for Training and Research.

Sunday, 5 September
11.00 – 13.00

- Leading the session

We suggest you open the session introducing the topic, based on the background papers drawn up for the session and your own considerations. Ideally, the introduction would last about five minutes. The introduction would attempt to outline major points that will stimulate dialogue and discussion among the audience. To this end, we would like to highlight some elements you might wish to take into consideration:

1. The international community has been witnessing an unprecedented level of confluence of interlocking issues of global significance: financial and economic downturns, food insecurity, climate change, epidemics, migration, complex armed conflict situations, human rights abuses, terrorism and transnational crime, proliferation of weapons, etc.
2. The relevance and effectiveness of the United Nations' work increasingly depends on its capacity to turn risks into opportunities (especially in the areas of financial and economic development, climate change, conflict management, migration and new technologies).
3. It is being increasingly recognized that multilateralism is instrumental to the success of the United Nations' response to global challenges. However, there are still considerable gaps and shortcomings in existing multilateral mechanisms that hamper their capacity to deal effectively with global challenges.
4. Hence, there is a need for a renewed multilateralism based on: active participation of all countries – including from the Global South; integrated approach; consideration of the most vulnerable segments of the populations; larger engagement of a broad range of stakeholders including civil society and private sector; revision of the current multi-lateral architecture.
5. The United Nations is well positioned to promote multilateral and integrated approaches to tackle global challenges. However, a number of steps still need to be completed before achieving this objective. How do we transform the UN into a multilateral institution with the potential to fulfil the Secretary-General's expectations? How can we harness UN's capacity to foresee the upcoming crises, and to prevent or respond effectively? What choices will we make for the near future in terms of key objectives, main focus areas, overall strategy and delivery mechanisms?

In presenting these points, you are kindly requested to provide a perspective broader than the written papers may offer, and to bring your own specific insights on the subject.

- **Panel Rapporteur Team**

We would like to inform you that a team of rapporteurs will be present during the Retreat to record major points that will be used for the closing intervention of the Secretary-General (Monday, 6 September) and the final report. The team is lead by Ms. Claudia Croci (UNITAR) and includes Ms. Elena Proden (UNITAR) and Ms. Inderpal Dhiman (UNSCC).

The team will be helping the Chairs of the sessions, and the Secretary General (for his final remarks), with a compilations of major points raised and recommendations. You may be consulted after your session to take a look at these write-ups and we would appreciate if you can quickly review them and provide any comments you deem necessary.

Guidelines for Discussants
The Secretary-General's Retreat 2010
(Alpbach, Austria)

- **Session details**

Latest trends in international negotiations and processes (climate change, food, health, G20)

Plenary Session 2

Chair: Deputy Secretary-General

Discussants: Achim Steiner, Christiana Figueres

Background papers prepared by:

- Climate Change Support Team (Executive Office of the Secretary-General);
- Office of the Special Representative of the United Nations Secretary-General for Food Security and Nutrition;
- Strategic Planning Unit (Executive Office of the Secretary-General).

Sunday, 5 September

14.30 – 16.30

- **Leading the session**

We suggest you open the session introducing the topic, based on the background papers drawn up for the session and your own considerations. Ideally, the introduction would last about five minutes. The introduction would attempt to outline major points that will stimulate dialogue and discussion among the audience. To this end, we would like to highlight some elements you might wish to take into consideration:

1. The international community is facing a number of challenges: financial and economic downturns, food insecurity, environmental degradation and climate change, health insecurity, – just to mention some of them.
2. Given their global nature, these challenges cannot be addressed by any single individual, nation or organization alone. On the contrary, they make the case for an integrated approach, in light of their complexity and inter-linkages.
3. More and more, the links between food security, climate change, global health and other pressing challenges are understood by stakeholders. Considerable efforts are made to translate these links into joint initiatives, based on inter-sectoral approaches that highlight the interdependence and inter-linkages among global issues.
4. The United Nations are at the forefront of these efforts, as they seek to revitalize existing commitments, or secure new ones, from a range of influential partners, as well as provide the framework for global approaches. To this end, the United Nations has promoted multiple international fora to discuss global issues (such as the UN Conference on Climate Change or the Summit on World Food Security) and has coordinated international responses to many challenges. However, despite the significance of these arrangements, they remain mostly ad-hoc and dominated by national sovereignty dynamics that hamper the need to respond with coherence and speed.
5. The United Nations are still the best placed to reflect the demands of Member States and to add value to their collective processes. To this end, the United Nations needs to focus on both governance (including

normative, technical assistance, monitoring, reporting, and coordination functions within the context of its support for intergovernmental negotiations and agreements) and results, in the view of: sustaining comprehensive approaches; encouraging effective support for country-led and regional actions; linking together a broad range of public sector, business and civil society partners; ensuring strong contributions by the different elements of the multilateral system; tracking progress and communicating both intentions and results at country, regional and global levels.

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Guidelines for Discussants
The Secretary-General's Retreat 2010
(Alpbach, Austria)

- Session details

The Year of the MDGs: What Do We Want to Achieve?

Plenary Session 3

Chair: Deputy Secretary-General

Discussants: Michel Sidibé, Noeleen Heyzer

Background paper prepared by the United Nations Department of Economic and Social Affairs and the United Nations Development Programme

Sunday, 5 September
16.45 – 19.00

- Leading the session

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1. Following a proposal by the UN Secretary-General, the General Assembly has convened a MDG Summit on September 2010, with the primary objective of accelerating progresses towards all the MDGs by 2015. Focusing on the key message that MDGs can be achieved, UN entities have launched a number of reports and organized regional and global MDG-related events.
2. These reports confirm trends of success and uneven progresses and agree in stating that without a major push forward, many of the MDG targets are unlikely to be achieved in most regions. To accelerate progresses, the international community would need to focus on continuing proven strategies, policies and intervention and to make a radical break with those that do not work. However, old and new challenges threaten to further slow progresses in some areas or even undo successes achieved so far.
3. Efforts by the Secretary-General and the UN system, along with Member States, have effectively positioned the Summit process in terms not only of accelerating MDG progress but also mobilizing action on the broader development agenda. With five years to go to the target date for attaining the MDGs, it is build upon the many successes already achieved to accelerate progress towards the MDGs. What is required is the commitment to effectively pursue the strategies, policies and interventions that have accelerated progress on multiple MDGs. The UN also needs to strengthen the coordinated support it offers to countries that wish to accelerate MDG progress.

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Guidelines for Discussants
The Secretary-General's Retreat 2010
(Alpbach, Austria)

- Session details

Shifting Gears on Our HR Systems – A Modern Workforce at Headquarters and in the Field. Maximizing the Impact of ICT on the Performance of Managers.

Plenary Session 4

Chair: Deputy Secretary-General

Discussants: Alicia Barcena, Franz Baumann

Background papers prepared by:

- Department of Management's Office of Human Resources Management and the Department of Field Support
- Office of Information and Communication Technology (Executive Office of the Secretary-General).

Monday, 6 September
09.00 – 11.00

- Leading the session

We suggest you open the session introducing the topic, based on the background papers drawn up for the session and your own considerations. Ideally, the introduction would last about five minutes. The introduction would attempt to outline major points that will stimulate dialogue and discussion among the audience. To this end, we would like to highlight some elements you might wish to take into consideration:

1. The mandate of the United Nations covers a range of activities that requires a fully integrated and harmonized Secretariat and seamless interoperability with the specialized agencies and separately administered Funds and Programmes.
2. While harmonization is needed as foundation for integration – which in turn should lead to efficiencies in productivity, an improved work environment and a wide pool of global dynamic and adaptable talent, interoperability is crucial to strengthen the capacity of the organization to respond to changing needs and environments, as well as to support career development.
3. Despite two key Human Resources Management reform initiatives launched in 2009, several steps need still to be undertaken to ensure harmonization and interoperability within the common system. Overall, it is still evident a disconnection between the desire of organizations in the common system to encourage a "One UN" approach as opposed to maintaining their independence and autonomy. Major barriers to interoperability include: different recruitment standards; differences in competency and performance management frameworks; lack of clear administrative arrangements to facilitate inter-agency movements.
4. Potential steps towards interoperability include: development of common careers networks; integration of inter-agency movement into human resources management policies; harmonization of recruitment standards and policies; development of common competency frameworks; definition of career paths and models; strengthening in management and leadership; investments in learning and development.

5. Interoperability is just one move towards the development of a modern workforce at headquarters and in the field. A second crucial step is the utilization of enterprise-wide ICT systems – such as knowledge management systems and enterprise resource planning systems (including human resources management systems). In point of fact, through the implementation of ICT systems, staff and managers throughout the organizations will have access to critical data that would enable more factual-based decision making processes at the individual, unit and system level, as well as promote transparency across the organization, as already done by several Funds and Programmes..
6. The implementation of ICT system, however, needs to take into account the issue of generational diversity, i.e. of different approach to ICT system by different generational segments of the staff. Hence, in implementing ICT systems, it would be crucial to assure that technological tools are robust enough to maximize the abilities of the younger generations, but at the same time that they include forms of support for previous generations.

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The team will be helping the Chairs of the sessions, and the Secretary General (for his final remarks), with a compilations of major points raised and recommendations. You may be consulted after your session to take a look at these write-ups and we would appreciate if you can quickly review them and provide any comments you deem necessary.

Guidelines for Discussants
The Secretary-General's Retreat 2010
(Alpbach, Austria)

- Session details

Building Trust between Staff and Management through Institutional Reforms.

Plenary Session 5

Chair: Deputy Secretary-General

Discussants: Patricia O'Brien, John Barkat

Background paper prepared by the Department of Management

Monday, 6 September
11.15 – 13.00

- Leading the session

We suggest you open the session introducing the topic, based on the background papers drawn up for the session and your own considerations. Ideally, the introduction would last about five minutes. The introduction would attempt to outline major points that will stimulate dialogue and discussion among the audience. To this end, we would like to highlight some elements you might wish to take into consideration:

1. In 2007, the General Assembly has established a new system of administration of justice for staff of the United Nations Secretariat and the separately administered Funds and Programmes that in principle would promote trust between staff and management.
2. The new system reflects the relevant rules of international law and the principles of rule of law and due process, to ensure respect for the rights and obligations of staff members and the accountability of managers and staff members alike. Further, the new system puts a stronger emphasis on resolving employment-related disputes through informal means, before resorting to formal litigation.
3. The reform of the internal justice system provides an opportunity to improve staff-management relations, allowing for increased transparency, more professional and expeditious resolution of disputes.
4. This reform has deemed necessary in light of the significant number of cases reviewed by the Management Evaluation Unit and brought before the Tribunals. In particular, by promoting dialogue and the informal resolution of issues, as well as by encouraging staff to first exhaust all possible conflict resolution methods before resorting to litigation, the new system partially alleviates the burden on a already strained system. On the other hand, by providing guidance to managers on lessons learned and best practices, it also facilitates the informal resolution of issues.

In presenting these points, you are kindly requested to provide a perspective broader than the written papers may offer, and to bring your own specific insights on the subject.

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The team will be helping the Chairs of the sessions, and the Secretary General (for his final remarks), with a compilations of major points raised and recommendations. You may be consulted after your session to take a look at these write-ups and we would appreciate if you can quickly review them and provide any comments you deem necessary.

Guidelines for Discussants
The Secretary-General's Retreat 2010
(Alpbach, Austria)

- Session details

Achieving Peace, Justice and Human Rights Without Compromising: Rule of Law and Peacekeeping.
Plenary Session 6

Chair: Vijay Nambiar

Discussants: Radhika Coomaraswamy, Francis Deng

Background papers prepared by:

- Department of Peacekeeping Operations' Office of Rule of Law and Security Institutions
- Office of the High Commissioner for Human Rights
- Office of Legal Affairs

Monday, 6 September
14.30 – 15.30

- Leading the session

We suggest you open the session introducing the topic, based on the background papers drawn up for the session and your own considerations. Ideally, the introduction would last about five minutes. The introduction would attempt to outline major points that will stimulate dialogue and discussion among the audience. To this end, we would like to highlight some elements you might wish to take into consideration:

1. Together with justice, peace and security, respect for human rights anchors the imperatives which lie at the heart of the rule of law. All major initiatives currently promoted by the international community are almost invariably rooted in the notions of respect for the rule of law, human rights and the preservation or restoration of international peace and security. Each of these now constitute a key element of peacemaking, peacekeeping and peacebuilding activities.
2. Mandates of peace operations clearly reflect the commitment of the United Nations to respond to emerging challenges in the rule of law field, in particular through the adoption of more effective and coherent approaches based on human rights principles. These approaches involve joint planning and implementation, in particular at the country level, the strengthening of key partnerships with regional organizations, as well as the participation in various fora (Human Rights Commission, Peacebuilding Commission) and international conferences.
3. Efforts to strengthen the rule of law require the United Nations to possess adequate tools to address peace, security, justice and human rights in a balanced, comprehensive manner. To this end, the major challenge is to coordinate all activities and strengthen the tools as part of a comprehensive approach to ensure peace, justice, and human rights, and to professionalize the UN contribution to this effort.
4. In terms of professionalization of the UN contribution to the rule of law efforts, the challenges ahead include: building specialized skill sets to meet the increasingly complex situations in which the UN operates; developing and maintaining high standards at every stage of peace operations; matching long-term goals with long-term planning; accessing flexible programme resources.

5. These challenges need to be addressed within the limitation of the current financial/economic crisis, but also aiming at the future further expansion of the whole area of international peace, rule of law, security sector reform and human rights.
6. Rule of law cannot abstract from peace and justice. The United Nations recognizes that when properly pursued, justice and peace can promote and sustain one another, with respect for human rights and the dignity of individual being at the center of such a discussion.
7. As highlighted by established trends related to amnesties, conflict resolution techniques and accountability, peace and justice should be promoted as mutually reinforcing measures. The nature and timing of such measures should be framed first of all in the context of international legal obligations and taking due account of national context and the views of national stakeholders – particularly victims.
8. However, despite the establishment of these trends, there are a number of emerging areas and challenges faced by the UN: conditionality; vetting and UN peacekeepers; vetting and institutional reform at the national level; sexual exploitation and zero tolerance.

In presenting these points, you are kindly requested to provide a perspective broader than the written papers may offer, and to bring your own specific insights on the subject.

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The team will be helping the Chairs of the sessions, and the Secretary General (for his final remarks), with a compilations of major points raised and recommendations. You may be consulted after your session to take a look at these write-ups and we would appreciate if you can quickly review them and provide any comments you deem necessary.

Guidelines for Discussants
The Secretary-General's Retreat 2010
(Alpbach, Austria)

- **Session details**

Building Effective Links between Prevention, Peacekeeping and Peacebuilding.

Plenary Session 7

Chair: Vijay Nambiar

Discussants: Jàn Kubis, Ed Luck

Background papers prepared by:

- Department of Political Affairs
- Department of Peacekeeping Operations
- Peacebuilding Support Office

Monday, 6 September
15.30 – 17.00

- **Leading the session**

We suggest you open the session introducing the topic, based on the background papers drawn up for the session and your own considerations. Ideally, the introduction would last about five minutes. The introduction would attempt to outline major points that will stimulate dialogue and discussion among the audience. To this end, we would like to highlight some elements you might wish to take into consideration:

1. Albeit civil wars have decreased in number since the early 1990s, their intensity, scope and complexity doesn't appear to diminish. Patterns of political violence are changing, with organized crime, narco-violence and other transnational threats to security on the rise.
2. If on the one hand these patterns make the prevention of conflict even more difficult, on the other they have stimulated the development of innovative multi-pronged strategies, particularly as consequence of the emergence of stronger normative frameworks in favor of conflict prevention. The United Nations has embarked on an ambitious effort to strengthen its preventive diplomacy and mediation capacity, and to respond faster and more effectively. Over the past years, the role of Department of Political Affairs in supporting the "Good Offices" of the Secretary-General has been strengthened, as well as UN regional offices on the ground.
3. Yet, despite these developments, a number of challenges still remain: state sovereignty is still a formidable shield, particularly in complex internal situations; the willingness of the international community to act has remained elusive in many cases; collaboration and coordination with multiple actors is not always easy.
4. Challenges related to conflict prevention can easily be referred also to peacekeeping and peacebuilding activities. Considered as mutually reinforcing, these activities draw the attention also to the issue of integration.
5. Integration is the guiding principle for all conflict and post-conflict situations where the UN has a Country Team, a multi-dimensional peacekeeping operation or political field mission/office. The main purpose of

integration is to maximize the individual and collective impact of the UN's response, concentrating on those activities required to consolidate peace. To achieve this main purpose at the country level, there should be an effective strategic partnership between the UN mission/office and the Country Team, under the leadership of the SRSG and other members of the leadership team, to ensure that all components operate in a coherent and mutually supportive manner and in close collaboration with other partners.

6. Despite the substantial progress made on integration since 2008, much work remains to be done in particular in relation to: promotion of integration in highly politicized environments; improvement of the relations between missions and UN Country Teams; assessment of the impact of integration; design and implementation of specific training in this area.
7. There are many important links between the UN's integration and peacebuilding agendas, and both of them face similar systemic challenges. The fragmented international system to support peacebuilding creates a number of obstacles to coherence, accountability, continuity and predictability.
8. These challenges are further exacerbated as peacebuilding activities more and more are initiated in countries, or areas within them, that remain affected by violent conflict. As consequence, the system as a whole must respond to the additional challenges posed by the insecure and unstable environment in which peacebuilding takes place.

In presenting these points, you are kindly requested to provide a perspective broader than the written papers may offer, and to bring your own specific insights on the subject.

- **Panel Rapporteur Team**

We would like to inform you that a team of rapporteurs will be present during the Retreat to record major points that will be used for the closing intervention of the Secretary-General (Monday, 6 September) and the final report. The team is lead by Ms. Claudia Croci (UNITAR) and includes Ms. Elena Proden (UNITAR) and Ms. Inderpal Dhiman (UNSCC).

The team will be helping the Chairs of the sessions, and the Secretary General (for his final remarks), with a compilations of major points raised and recommendations. You may be consulted after your session to take a look at these write-ups and we would appreciate if you can quickly review them and provide any comments you deem necessary.



“The UN Secretary-General’s Retreat 2010” *How to Respond to a Rapidly Evolving Global Environment*

Topic: How can we effectively communicate the UN message?

Monday, 6 September 2010

Lunch Address Guidelines

Presenter: Josette Sheeran

Background

The discussion held at last year's Secretary-General's Retreat underscored the paramount importance of effective communication for the success of the UN work, both across the Organization and externally. It have also pointed to a need for a more active and innovative stance on behalf of the United Nations if it is to participate in shaping public opinions on global challenges, and UN achievements.

A number of findings have been identified by the Retreat participants on how to promote clear and effective communications internally and externally. It was stressed that the UN's communications strategy would need to take into proper consideration the diversity of its audiences that could be broadly divided into three major categories - Member States, media and the general public, promote a frank stakeholder dialogue to feed into UN programming, and enhance the use of new mechanisms for rapid transmission of key messages. A greater engagement with Member States, including regular briefings and consultations, could increase ownership and leadership of Member States, foster mutual responsiveness, and increase the impact of UN achievements. Other avenues for improving UN communication is through the expansion of partnerships at global, regional and local level, targeting non-traditional media outlets, as well as adjusting to local specificities and highlighting field experiences to showcase the relevance of the UN work. In the globalized world, a major step forward in terms of effective communications would be the consolidation of the UN brand, including through promoting the image of the UN as an

organization that serves the common good, but also through enhancing transparency, building trust, highlighting successes, and acknowledging gaps. The UN senior management could play a crucial role in communicating with external stakeholders by acting as spokespeople on behalf of the Organization.

The participants of the 2009 Secretary-General's Retreat agreed on a series of action items with a view to enhancing the ability of the UN to communicate effectively. First and foremost, it has been recognized that the UN speaking with one voice will be central to any successful communication strategy. The lunch discussion could be an opportunity to take forward the discussion of last year's decisions, with a particular focus on the improvement of UN communication with regards to various stakeholders, promotion of the effective communication culture among the top management, and the importance of a long-term strategy of the Organization and clear vision of what the UN message is.

Format of the Lunch Address

The lunch address will take place at the beginning of the lunch break. It should be 10 minutes long.



**THE UNITED NATIONS
SECRETARY-GENERAL RETREAT 2009**

New York • Geneva, 7 September 2009

Final Report

In an era of diminishing resources, when the demands on the UN keep growing, smarter management and more efficient operation is not an option. It is a necessity.

Secretary-General Ban Ki-moon
United Nations Secretary-General Retreat, New York, 7 September 2009

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EXECUTIVE SUMMARY

The annual *United Nations Secretary-General Retreat 2009* took place on 7 September 2009 simultaneously in New York and Geneva. The UN Secretary-General, Mr. Ban Ki-moon, convened the retreat to provide an opportunity for his senior managers to freely discuss the challenges facing the Organization and identify ways to work more effectively to fulfill the varied mandates provided by Member States.

Organized jointly by the UN Institute for Training and Research (UNITAR), the UN System Staff College (UNSSC), and the UN Department of Management, the retreat brought together 78 participants, and focused on three interrelated and mutually reinforcing topics: (i) strengthening accountability, (ii) improving communications, and (iii) ensuring efficiency ("doing more with less").

An intense preparatory phase preceded the retreat and consisted in three parallel online discussions on each of the retreat topics, which were based on detailed policy papers developed by the organizers prior. Participants were assigned to one of the three online discussions and extensive comments and suggestions were shared over the course of three weeks in August. Each on-line discussion was chaired by a selected participant. (Rapporteurs were also designated from the participant pool.) The most salient points resulting from the online discussion were incorporated into the policy papers, and the three revised paper were shared with all participants on 4 September.

Chaired by Deputy Secretary-General, Ms. Asha-Rose Migiros, the retreat consisted of three different sessions, each covering one of the themes of the retreat. At the opening, Secretary-General Ban Ki-moon welcomed the participants. In noting that the retreat marked the midpoint of his term as the Secretary-General, he encouraged his managers to honestly share their assessment of the Organization's performance and to share their candid insights as to how it could further improve more particularly in the areas under discussion.

The first session on how to strengthen accountability, chaired by Ms. Josette Sheeran, Executive Director of the World Food Programme, explored ways to enhance accountability within the UN system, vis-à-vis Member States, and towards the Organisation's beneficiaries. Supporting the view that collectively, individual accountability translates into institutional accountability, participants advocated the creation of an inventory of responsibilities and authorities for all UN staff, along with a fair system of reward and sanctions for staff performance. They also called for empowerment of senior managers in order to buttress their decision-making capacity.

Furthermore, participants emphasized that credibility is an important component of accountability. As such, the Organisation must be sure to have the funds required to perform the tasks which are assigned to it. Accountability is also about giving voice to those who are affected by the Organisation's work, and being open to their assessment. Participants said the Organisation still needed to develop means for receiving impact assessments from beneficiaries, and to successfully articulate the value of certain long-term projects, which may not yield immediate, quantifiable outcomes.

For more transparent and cost-effective reporting on the use of resources, participants suggested that the multiple layers of current accountability mechanisms, including numerous accounting rules and reporting requirements, be streamlined and simplified. Some raised the feasibility of external or peer auditing as a means to promoting accountability.

And, participants were of the view that the UN should play an important role in advocating publicly to all Member States their commitments to agreed time-bound targets, such as the Millennium Development Goals (MDGs).

The second session focused on improving communications both internally among UN staff, and externally with Member States and the public at large. The session was chaired by Ms. Susana Malcorra, Under-Secretary-General for Field Support, and addressed the issue of bolstering the recognized UN brand with the public at large. A comprehensive communications strategy for the UN is required, one which recognises that the UN has more than one single message to convey, and that coherence and mutually reinforcing messages are essential.

Externally, participants proposed that part of the comprehensive communications strategy involves the identification of a select number of senior managers who would act as spokespersons for the UN as a whole. They would support the Secretary-General in his efforts with media outlets of all forms, and would when required, engage in direct "straight talk" on UN actions and positions. Speaking the truth will support the authority and respect vested in the Organisation. Therefore, bold, clear, and frank messages, combined with captivating stories from the field will inspire public confidence. In addition, participants observed that more strategic alliances with civil society and the use of multimedia like social networking websites would bridge the communications gap with particular populations.

Internally, participants agreed that more frequent and informal channels of dialogue between the Secretary-General, senior managers, and staff are essential in order to create and ensure a common vision, strategy, and action. Another element of the comprehensive communications strategy must be to improve information exchange within the UN system, including with the regional commissions.

Specifically with regard to communicating on UN reform, participants proposed that while reform challenges and progress should be communicated directly to Member States, the messages to the public need to be balanced with ones highlighting the achievements of the UN in adapting to the changing environment.

The final session on efficiency ("doing more with less") was chaired by Mr. Lynn Pascoe, Under-Secretary-General for Political Affairs. Participants concurred that despite the degree of success the Organisation has had relative to its financial resources, there is much room to improve in terms of efficiency. Participants shared various cost-saving ideas, such as ending redundant programmes and outsourcing secondary work. They recommended that this dialogue on cost-saving continue after the retreat, with active participation from Member States.

Recognizing the need to modernize the existing business practices and operations, including human resources management, participants proposed the dissemination of proven innovations from the agencies, funds, and programmes. They also stressed the importance of knowledge management and sharing across the UN system through cutting-edge information and communications technologies (ICTs).

Underpinning these discussions at the retreat was the understanding that without efficiency and accountability, the UN would not be able to address the world's complex challenges with alacrity, authority, and effectiveness. For efficiency and accountability to take root as an institutional culture, facilitating communications among different UN personnel, entities, and Member States was deemed a high priority. Candid communications with Member States and powerful messages to the public fosters trust, and along with it, the financial, human, and moral support needed to flexibly carry out the duties entrusted to the UN.

Throughout the retreat, participants attached critical importance to identifying and learning from the best practices of UN agencies, funds, and programmes, and where relevant, from other international Organisations, national governments, and the private sector. They also emphasized the need for sustained dialogue with Member States, the key stakeholder in the reform process, while fully exploiting the opportunities afforded by ICTs.

At the end of the retreat, the Deputy Secretary-General provided a synthesis of the main findings and recommendations presented. The Secretary-General officially concluded the retreat by once again expressing his gratitude to the participants for their demonstrated commitment to improving the UN as it tackles the world's critical challenges. He considered many of their contributions over the course of the day to be creative and strategic. He conveyed his confidence that together, as one team building on each other's strengths, they can communicate assertively and with purpose, and implement many of the ideas put forth during the day to ensure that the Organisation delivers effectively and continues to inspire the respect and support of the international community.

INTRODUCTION

The *United Nations Secretary-General's Retreat* was conceived in 2007 by the Secretary-General, Mr. Ban Ki-moon, to provide a platform for his senior managers to discuss issues of concern to the Organization and lay out management priorities for the coming year. The Secretary-General also envisioned the retreat to serve as a venue for his managers to get to know each other and forge a team spirit.

Now in its third year, the 2009 retreat was organized by UNITAR, UNSSC, and the UN Department of Management, under the guidance of Mr. Carlos Lopes, Executive Director of UNITAR and Director of UNSSC. This year's retreat focused on the substantive reform of the UN by strengthening accountability, improving communications, and ensuring efficiency.

Mr. Carlos Lopes opened the retreat by briefly highlighting the significance and history of the retreat and explaining the "rules of the game". Senior managers from around the world gathered either in New York or Geneva, and the two groups were connected through live video conferencing. Chaired by the Deputy Secretary-General, Ms. Asha-Rose Migiro, the retreat consisted of three sessions, respectively covering accountability, communications, and efficiency. Each session had a designated chairperson and rapporteurs drawn from the participant pool. Each topic had been discussed during the pre-retreat preparatory phase, lasting one month, which included an online consultation with participants on the themes concerned based on policy papers that had been developed by the organizers. All policy papers, incorporating comments from the online consultation, were distributed to the participants on 4 September.

The Secretary-General then took the floor to welcome and thank all the participants for their dedication to the work of the UN. He also introduced new managers who joined the team this year.¹ Noting that the retreat provides a valuable opportunity for the entire UN leadership to come together and freely share their views, Mr. Ban encouraged the participants to "*look honestly at where we are, where we want to be this time next year and beyond, and, together, determine the way ahead.*"

The Secretary-General underlined the pressing set of issues confronting the UN: climate change, nuclear disarmament, development, poverty, peace and security, humanitarian disasters, and human rights. He expressed his desire to see the ongoing renovation of the UN Headquarters complemented by internal renovation by making the Organization "*younger, more nimble*" as well as more accountable and efficient. In particular, Mr. Ban stressed the importance of ongoing support from his senior managers, and urged them to join him in personally sharing with the world and with Member States, all the good that the UN brings on a daily basis. Reasserting that it is an extraordinary time to be part of the UN, "*with the future in our hands*", he called on all of his managers to share their frank voices on how the UN can better communicate its vision, achievements, and challenges with the world at large.

¹ Mr. Anthony Banbury, Assistant Secretary-General for Field Support
Mr. Franz Baumann, Assistant Secretary-General for General Assembly and Conference Management
Ms. Judy Cheng-Hopkins, Assistant Secretary-General for Peacebuilding Support
Ms. Helen Clark, Administrator of UNDP
Mr. Oscar Fernandez-Taranco, Assistant Secretary-General for Political Affairs
Mr. Jan Kubis, Executive Secretary, Economic Commission for Europe
Ms. Marta Santos-Pais, Special Representative of the Secretary-General on Violence Against Children
Mr. Michel Sidibe, Executive Director, Joint UN Programme on HIV/AIDS* (not present at the retreat)
Mr. Gregory Starr, Under-Secretary-General for Safety and Security

SESSION I: Breaking down the barriers to true accountability

Background

The credibility of the UN depends on greater accountability and transparency in the implementation of its activities. Member States and the concerned public have increasingly demanded accountability in UN staff performance and results delivery, making sure that resources are being spent where most needed in a strategic, cost-effective manner. The Secretary-General has also made accountability one of his key priorities upon taking office in 2007, setting the tone by fully disclosing his financial statements and urging his senior managers to follow suit. The Secretary-General is currently preparing a new proposal on this topic to be submitted at the 64th Session of the General Assembly. In this context, Session I delved into how the UN system can mainstream accountability into all of its operations and gain the trust and support from Member States to successfully perform the duties entrusted to it.

Plenary Discussion Findings

(1) The UN is accountable to its stakeholders, primarily Member States and the beneficiaries of UN activities. With regard to the first category, it was stressed that accountability is a “two-way street”: just as we are accountable to our stakeholders, Member States must provide adequate resources to the Organization to fulfill its mandates. Participants affirmed that programmes undertaken, in particular in the field, are affected by available resources. Unfunded mandates may be one of the main threats to accountability and performance in the UN system. They voiced a common agreement that in order to be held accountable for specific activities, necessary resources must be provided.

Beyond the most traditional concept of accountability to Member States, many participants felt the need to place beneficiaries at the heart of accountability by ensuring that they have a role to play in assessing the impact of the Organisation’s work on their individual lives and communities. It was stated that currently, *“beneficiaries are often not empowered to judge”* both when it comes to assessing their needs and in the UN’s success in meeting them.

(2) Accountability depends on strengthening senior managers’ capacities to deliver expected results to beneficiaries (and not simply applying sanctions). Managers must be supported in decision-making for programme implementation and risk-taking towards that end. As stated by one participant, *“Our mission is a sacred mission and this should infuse our work; however, currently, there is a high premium on risk aversion, not on excellence.”* Participants identified numerous factors as essential including sufficient resources, being empowered to deliver, and elimination of dual lines of reporting. As stated by many, only by empowering managers, will it be possible to move from risk-aversion to risk-taking. Member States play a crucial role in empowering the Organization. In this context, it was proposed to engage with Member States to seek greater clarity on their demands and expectations.

(3) Accountability is also about delivering results. It was stressed by some participants, however, that the focus should *“not be on what we do, but on its impact”*. Others cautioned that in multi-generational initiatives, for instance, results and their impacts are not always tangible, measurable (like crisis aversion), and take decades to do so. By contrast, the UN has established very concrete benchmarks—explicit global goals with precise timeframes—in some areas like development, with the MDGs. For these, it was emphasized that in its relations with States, *“the UN must maintain a tension between what is promised and what is delivered, in a constructive and positive way”*.

(4) A culture of accountability goes beyond a culture of compliance. In stressing that a shift is required from a culture of compliance to one of genuine accountability, many participants underlined that authorities and responsibilities must be clear, as should the manner in which they will be evaluated, rewarded and sanctioned. Though some stressed that a system of rules and regulations is important, it was nevertheless highlighted that a proper system of accountability is not based merely

on enforcing sanctions but should also support and promote good performance. As was stated by one participant, *“recognition is a powerful motivator.”*

(5) One newcomer observed that at the UN, there are many sets of accountability structures, and indeed that it is important to ensure that they do not hamper on the ability to perform in a timely fashion and to take risks. While oversight mechanisms have been recognized as a crucial element to create an efficient accountability system, too many layers of control and bureaucracy could become a managerial distraction and lead to a culture of compliance rather than a culture of genuine accountability. In this context, the need for streamlining administrative procedures was highlighted to allow managers to focus on substantive programme goals and mandates. (One participant also stressed that there is a disconnect between the Secretariat which is accountable to the General Assembly, and agencies, funds and programmes which are accountable to their Executive Boards).

Action Items

The following nine actions, building on the four policy suggestions listed in the background policy paper (see Annex 5), were agreed by the participants at the end of the discussion:

- 1) Empower managers; define roles and responsibilities of staff at all levels; and review the delegation of authority, through extensive stock taking exercise;
- 2) Review the mechanisms to measure and reward staff performance;
- 3) Establish a principle of “no budget, no mandate” such that the UN is not held accountable for unfunded mandates;
- 4) Agree on measurable and quantifiable goals;
- 5) Harmonize accounting rules and reporting procedures wherever possible;
- 6) Establish an open dialogue with Member States and possibly with other key stakeholders;
- 7) Establish an intra-UN process for sharing of best practices and lessons regarding accountability (including with donors regarding their development-related work);
- 8) Consider introducing, on a voluntary basis, an external or peer review of accountability mechanisms already in place as a means of promoting accountability and judging effectiveness in delivering programme results;
- 9) Adopt a system-wide approach for internal controls, such as the COSO principles.

SESSION II: IMPROVING COMMUNICATIONS

Background

In a highly complex and political organization like the UN, clear and effective communications, both internally and externally, is key to achieving its mandates and missions. Communications not only crafts a common vision and strategy within the Organization, it also motivates staff, harnesses their full potential, and enhances collective decision-making and implementation processes. When done skillfully, communications bolsters the solid and universally recognized UN brand, and inspires partnership and support from Member States, civil society, and other stakeholders. Session II therefore focused on how the UN system can tactically deploy communications as a tool for promoting the Organisation’s performance and impact across the globe, particularly given new realities on the

ground, including the variety of audiences and the proliferation of new ICTs.

Plenary Discussion Findings

(1) The UN's external communications strategy requires an intense campaign of bold, proactive, innovative, sustained and clear messages demonstrating a long term vision and strategy. As one participant described it, *"the UN brand is the best in the world, but we can do more."* Part of this strategy should be to involve more senior managers, working with the Secretary-General and using the Media Guidelines, to engage with media through briefings, seminars, dialogue sessions, morning shows, op-eds and blogs. One participant expressed that *"a conscious decision is required on who should be these public faces; it's a choice, a strategic choice."* As asserted by another, *"an important multiplying effect could be achieved if more spokespeople communicated on behalf of the UN."* Diverse faces and voices must share the UN story and communicate the positive developments and achievements of the UN of which its staff and stakeholders can be proud.

(2) The UN communications strategy should consider the diversity of its audiences, target non-traditional media outlets, and reflect the new world context and regional specificities. Each audience requires a tailored strategy of communication and engagement in order to educate, inform and mobilize. Participants considered that, for instance, dedicated communication specialists are required to engage more effectively with politically sensitive audiences. At the regional level, the UN can act as a convener for new partnerships, help with agenda setting, and build on regional cooperation. Furthermore, an effective communications strategy must make better and more extensive use of new technologies.

(3) Part of successful communications depends on communicating achievements. The reputation of the UN is linked to its action and credibility. Thus any gaps, real or perceived, in the UN system's effectiveness and impact need to be addressed in a proactive manner. Participants therefore posited the need to build credibility based on communicating what the UN does right. Highlighting success cases, engaging in strategic action for results, and integrating voices from the field were considered crucial. On the specific issue of communicating on UN reform, participants proposed differentiated messages such that Member States would receive information on the reform progress and challenges but the public would see the achievements of the UN in adapting to the changing international context.

(4) The external communications strategy must also include a frank, proactive, and ongoing dialogue with Member States. Participants agreed that the Organization needs to be firmer, more vigorous and outspoken on issues but without blame in communicating with Member States. In speaking the truth to Member States, one participant asserted *"Member States may not like it when we do it but they won't respect us if we do not."* It was deemed highly important not to allow pressure to stifle creativity, innovation or the UN's important role in speaking for the voiceless.

(5) Communications within the UN context must also be about, *"unity in diversity."* Participants stressed that in order to convey coherent messages to the public, numerous activities undertaken by different parts of the UN system needs to be better linked to and aligned with the overall objectives of the Secretary General.

(6) Another element of the external communications strategy must be to promote transparency and demonstrate accountability and good governance practices. As one participant described, *"there is a perception by the public that the UN is a closed organization; more should be done to share its open and deliberative nature: sunlight is the best disinfectant."* Participants also stressed the need to improve transparency in terms of what the UN does on the ground. This will strengthen accountability and Delivering as One. When Resident Coordinators speak on behalf of the UN system rather than their agencies, people listen. A more systematic approach for engaging Resident Coordinators and regional commissions was also recommended.

(7) On internal communications within the UN system, a comprehensive strategy is also required. Part of the strategy involves a frank, inclusive and consultative two-way dialogue with staff. It was considered that motivated and informed staff, supported by competent management and human resources policies that retain the best and the brightest, will ensure that the UN carries out its work successfully. Engaged and empowered staff are the best ambassadors for the Organization. However, participants felt that much work is required to make staff feel informed and included. Participants highlighted that better communication is needed between the line departments, Spokesperson's Office, and the Department of Public Information (DPI).

(8) They also considered that information exchange within the UN is poor and outdated, and that what is required is a shift of culture such that information sharing takes place on an ongoing basis, in which all staff "*break out of silos*." Though complementary to the external dimension, many participants shared the view that it is important to first improve internal communications and information exchange across the UN system, including the regional commissions and field offices, before proceeding to external communications.

Action Items

The following nine actions, in addition to those enumerated in the background policy paper (*see Annex 6*), were agreed by the participants at the end of the discussion:

- 1) Establish platforms for internal communication and policy discussion, and share reports and activities throughout the UN system on an ongoing basis. Engage more with field offices and UN presences;
- 2) Generate bold, frank, clear, and consistent messages across the UN system to build more effective partnerships and communications with a range of stakeholders. As one of the UN's biggest strengths, field experiences should be communicated more frequently;
- 3) Expand strategic networks of partners and alliances and create more opportunities for stakeholder dialogue to inform UN policies and programming;
- 4) Have the UN Communications Group play a more strategic role in advanced planning on emerging trends and in dealing with crises in a timely manner;
- 5) More senior managers need to serve as the face of the UN. This will require extensive internal communication and a sound support strategy;
- 6) Share reform challenges in a frank manner with Member States, emphasizing the two-way nature of the process, and invite them to share their own good practice to expand lessons learned. In communicating with the public, focus on positive change and adaptation strategies to successfully address the current challenges;
- 7) Be frank in discussions with Member States and speak out when their international commitments are not honored;
- 8) Increase the transparency of the Organization by making intergovernmental meetings at the UN open to the public, unless they cover classified topics;
- 9) Communicate more frequently and cooperate closely with the UN regional commissions and field offices to develop organizational coherence. Make use of knowledge management and ICTs, and update the UN website more regularly in *all* official UN languages.

SESSION III: DOING MORE WITH LESS; BECOMING MORE EFFICIENT

Background

In an increasingly competitive, resource-scarce world, the UN is challenged to become more efficient and effective in its response to the people it serves and the expectations of the international community. The UN's ability to deliver and report on results is undermined by heavy bureaucratic policies and procedures, a lack of flexibility in the use and allocation of available financial and human resources, and micro-management on the part of Member States compounded by a lack of trust. Efficiency and effectiveness go hand in hand. Despite efforts and innovations already made in this regard, there is a widespread recognition that the UN must continue to update its modus operandi, by embracing new technologies, revamping existing business processes and procedures, encouraging innovation from within, and providing incentives for change. It also implies having the courage to drop programmes that are no longer sustainable or cost effective and to resist the tendency to broaden mandates. Furthermore, strategic budget planning is key to ensuring an efficient corporate culture and avoiding duplication and competitiveness. On-going discussions with Member States on strengthening the budgetary process have achieved positive results but this is an on-going process. Session III served to brainstorm on ways to optimize UN performance and impact in the context of financial and other resource constraints.

Plenary Discussion Findings

(1) Efficiency is largely in the hands of managers who must be bold and innovative in their management style, and take calculated risks in order to bring about efficiency and effectiveness. One participant urged that *"we not be discouraged to be bold and take courageous steps due to fears of litigation."* Managers must be empowered to undertake changes and accorded the latitude and trust to make best use of available financial and human resources. It was also noted that initial investments are often necessary in order to save, as efficiency often requires improvement. For instance, increased efficiency and effectiveness require investment in new systems and technologies. In the same vein, some participants argued for a raise in the amount of the Secretary-General's Discretionary Fund, stating that it is not commensurate with the complexity and size of the Organization.

(2) There is much room to modernize and reap efficiency gains within the UN system. Many participants endorsed the adoption of internationally recognized standards such as the International Public Sector Accounting Standards (IPSAS), which bring greater transparency, and enables the UN to keep abreast of innovations occurring in different areas of administration. Participants also recommended reviewing, simplifying, and harmonizing certain procedures, resorting to common and shared services in some cases and revamping in others. Reducing Headquarters presence and the number of regional representatives; urgent reform of the human resources management system (whose existing obstacles currently undermine staff performance); aggregating procurement; better use of ICTs; outsourcing secondary work; closing unsustainable or redundant programmes; flexibility and review of travel procedures were all cited as examples where efficiency gains could be made.

However, it was also cautioned that efficiencies gained in these areas could well lead to a reduction in staff and therefore met with resistance. Some participants therefore recommended convening a forum for sharing ideas on proven cost saving innovations from the agencies, funds, and programmes.

(3) Member States play a critical role in contributing to the UN's efficiency; however current governance structures do not support further reform efforts, nor do they facilitate the linking of funds to priorities and accountability measures. Increasingly burdensome reporting requirements undermine the ability of the Organisation and Member States from working together on delivery of visible and meaningful results. The application of results-based management (RBM) across the board will require buy-in from Member States and a fundamental redesign of the governance, oversight, accountability and reporting frameworks in the UN.

(4) Communicating on efficiency gains is essential for forging a culture of mutual trust both within the Organisation and between the Organisation and Member States. It is also fundamental in order to sustain such gains and to build consensus on continued financing of UN activities including reform initiatives. Some participants were of the view that the UN must indeed *"nurture a culture of belt-tightening, setting out incentives for frugality within the system, together with results-based budgeting."* Others, however, cautioned that the UN was constantly being asked to *"do more with less."* In this regard, participants considered that greater clarity was required vis-à-vis Member States' demands and expectations, as these can be conflicting and inconsistent, motivated by political rather than operational considerations. Better communication on these expectations could serve as an opportunity to share information on UN efficiency gains with Member States.

(5) The UN must track and evaluate efficiencies gained from investments and reform initiatives over the long term. Making the best use of available resources requires the UN to have the capacity to conduct cost-benefit analysis, monitor results and measure efficiency gains over time. In certain areas such as international trade, human rights, and development, RBM is difficult, as there are no concrete benchmarks for success. It is nonetheless important to manage the expectations of the international community by establishing an output-based evaluation system.

(6) Efficiency requires flexibility, enterprise risk management, and functional partnerships. Participants agreed on the importance of excelling in performance; learning from other organizations and from the field; and reducing duplication and increasing integration.

Action Items

The following eight actions, in addition to those enumerated in the background policy paper (see Annex 7), were agreed by the participants at the end of the discussion:

- 1) Grant greater discretion to managers while strengthening accountability;
- 2) Review and modernize rules and regulations, and current processes;
- 3) Engage in exchange of best practices on cost cutting measures, and as appropriate, incorporate innovations tested by the UN agencies, funds, and programmes, and other public sector organizations;
- 4) Capture inefficiencies and monitor efficiency gains;
- 5) Urgently reform the human resource management system and ensure an objective E-Pas system;
- 6) Embrace ICTs promptly to secure greater efficiency gains;
- 7) Adopt internationally recognized quality standards such as IPSAS;
- 8) Enhance knowledge management systems directed towards strengthening efficiency by, for example, documenting what works and what does not work;
- 9) Create a space for open dialogue with Member States on issues of cost cutting and efficiency, duplication in mandates, and the need to harmonize and secure resources for established mandates;
- 10) For the Secretariat, engage in a frank dialogue with the Staff Council with regards to the imperatives of maintaining a vibrant and modern Organisation under the current economic context.

CONCLUSION

The retreat provided a useful platform for the UN management team to take stock of the Organisation's performance and collectively chart the way forward. The Deputy Secretary-General thanked the participants for their valuable contributions and presented a summary of the policy suggestions for each of the three topics (*see Annex 2*).

The Secretary-General officially concluded the retreat by once again expressing his gratitude to the participants for their demonstrated commitment to improving the UN as it tackles the world's critical challenges. He considered many of their contributions over the course of the day to be creative and strategic. He conveyed his confidence that together, as one team building on each other's strengths, they can communicate assertively and with purpose, and implement many of the ideas put forth during the day to ensure that the Organisation delivers effectively and continues to inspire the respect and support of the international community.

ANNEX 1

Opening Remarks by the Secretary-General

Friends, colleagues, good morning.

It is a pleasure to be with you, once again, for our annual retreat. This time, we come together only for a day. We have saved the wear and tear and expense of traveling, and I offer an especially warm welcome to our colleagues joining us via video from Geneva.

As you know, I just returned from Norway. Tomorrow, I leave for the disarmament conference in Mexico City. I say this partly explain why we are holding this retreat today, turning Labor Day into a day of labor. It was the only time available before the September crush leading up to the General Debate. I know how these rare days off are important to you and your families. I know you have given up many holidays, many weekends, and put many long hours into your work.

So ... let me begin by thanking you. Thank you for your extraordinary commitment and dedication. Thank you for your sacrifices on behalf of this great organization and the people we serve. You are a wonderful team. You have earned tremendous respect and goodwill. You and your staff deliver, every day, and I am proud to be working with you.

Ladies and gentlemen,

That is why, personally, I always look forward to this day. It is our chance to renew our commitment to one another ... to share our concerns and lay out our hopes and priorities for the coming year. It is our chance to welcome new members of our team.

In no particular order: Helen Clark at UNDP. Tony Banbury of DFS. Oscar Fernandez-Taranco, DPA. Gregory Starr, our new USG for security. Franz Baumann in conference management. Judy Cheng-Hopkins in peacebuilding. Jan Kubis at the European Economic Commission. Marta Pais-Santos, helping drive our efforts to combat violence against children. Michel Sidibe at UNAIDS.

This is the moment when I fear I may have left someone out. If so, my sincere apologies, and I urge you to file a formal complaint according to House procedures.

Again, welcome to you all. Our gathering this year is well-timed. As you know, we are at the mid-term of our first term in office ... a good time to take stock. I want to hear your frank assessments, as a team.

At this retreat, let us look honestly at where we are, where we want to be this time next year and beyond ... and, together, determine the way ahead.

The coming year will be unusually challenging. It will place demands upon us and the United Nations without precedent. First, this is the year of climate change. We must get Member States to seal the deal in Copenhagen. Second, nuclear disarmament. The forthcoming Security Council debate will generate momentum. We must do everything possible to advance negotiations. Third, issues of development and poverty. Two weeks from now, during the General Debate, some will say we have "turned the corner" in the global economic crisis. If so, it is up to us to ensure that is true for all people and all nations. Meanwhile, we must continue to do what we have always done ... deal with issues of peace and security, cope with humanitarian disasters, safeguard human rights and push our development agenda. Despite multiple crises, on so many sides, our job remains unchanged. To put people first ... to protect the vulnerable, the poor, those left behind ... the people who see us and the United Nations as their champion.

Ladies and gentlemen, friends and colleagues,

By the end of this year's General Assembly, our Secretariat building will be empty. Our United Nations will be completely renovated. My great hope ... and our common ambition here today ... is to make this outward renovation the symbol of our inward renewal.

Over the past two and a half years, we have introduced many changes that you considered important. We created DFS. Member states are happy. How would we cope, today, with the growing problems of over-stretch if we had not pushed that reform? We have initiated similar reforms in our management of human resources. We have a new Ethics Office and a new system of internal justice. We also restructured the Office of Disarmament Affairs, with the aim of revitalizing progress on disarmament and nonproliferation issues. I also believe we are acting with greater coherence and cooperation as "One UN."

In this, too, I thank you for your support and hard work.

The challenge now is to stay on track ... to continue our efforts to make the UN more modern and effective. We have an immensely talented workforce. We owe it to our staff ... and to the world ... to get the best from them. That is a major goal of our reforms to create a younger, more nimble UN. A UN that draws fully on the skills of our people for the benefit of humankind.

The recent poll from the Pew research institute shows sharp rises in the UN's favorable ratings across the global spectrum. This shows we are getting many things right. But we can do better, and we will. As I say, the important thing is to stay on track, keep focused on the big picture, and deliver on the big challenges.

That is what this retreat is about. During our three thematic sessions, we will discuss accountability — not only our responsibilities to Member States, but also the responsibilities of Member States ... the responsibility to fully deliver on mandates and resources so that we, in turn, can do our job.

We will discuss communication. In this, we must improve, and I ask all of you for your help. Three facts are self-evident. One ... the people of the world cannot know all the good we do if we do not tell them. At last year's retreat, we generated a Top Ten list of UN stories ... how we feed 90 million people daily ... keep the peace ... fight for the rights of women and children. Let us ask ourselves: how well have we done in telling the world of these successes ourselves, personally. Each and every one of us? We need to tell our story. We need to put our very human face on the United Nations.

Two ... Member States cannot have full confidence in us if they do not fully understand what we are doing and why. We face up-hill battles for budgets and contributions, and we need to fully engage with our Member States. Three ... we cannot work together as one if we do not communicate better internally.

To be effective agents of change, we need buy-in from our staff. And this too is true: if Member States, and the world, see us all working effectively together as one organization, they will give us the latitude to try new things and support us on the challenges ahead.

Lastly, we will discuss how to do more with less. In an era of diminishing resources, when the demands on the UN keep growing, smarter management and more efficient operation is not an option. It is a necessity.

Ladies and gentlemen,

When it comes to communication, internal and external, we need a full-court press ... a full-court press with our staff, with Member States and with the media. One story, one voice — all of us ... each of us ... working together.

I look forward to your candid views. The coming year will require all we have to give. If the responsibility is large, so is the opportunity. What an extraordinary time to be part of this great

enterprise that is the United Nations. In so many ways, the future is in our hands in your hands. Our driving vision must be the collective force of your vision. Only then can we be more than the sum of our parts. In the course of our conversation, together and individually, I will ask each and all of you to join me in presenting the face of our United Nations. I've urged you to speak frankly, and I mean it. And I ask you to join together in speaking out, explaining our work and visibly leading this mighty organization to the place in the sun it deserves.

Thank you.

ANNEX 2

Concluding Synthesis by the Deputy Secretary-General

In its third year, this retreat is an essential exercise for taking stock, sharing ideas and proposing recommendations for how we can continue to fulfill our mandate and meet the needs of the people we serve. A very productive and engaging discussion considered three main topics: (i) strengthening accountability; (ii) improving communications; and (iii) becoming more effective and efficient (what we have called “doing more with less”).

Breaking down the true barriers to accountability

We had a constructive discussion on accountability. There was general agreement that the policy suggestions contained in the background paper laid a useful basis for proceeding in this area. Participants wished to supplement those recommendations by making the following points:

First, although there are multiple lines and mechanisms of accountability within and across the UN system, the Organization is primarily accountable to (i) the Member States and (ii) the beneficiaries of our programmes. In this respect, there was emphasis on a participatory approach to accountability by including the views of our beneficiaries in assessing how the UN is performing in meeting their needs. Participants did, however, warn against the stifling and risk-averse effects of multiple and duplicating accountability mechanisms.

Second, there was an agreement on the need to establish a UN system-wide inventory on the roles, responsibilities, and authorities of all of its staff. In addition, a comprehensive system for performance evaluation, reward, and sanction is required keeping in mind that positive recognition is as effective as sanctions are in animating a system of accountability.

Third, it was also agreed that the UN must have reliable funding for the mandates that the Member States entrust to it. Accountability is closely tied to capacity to do what we are charged to perform. Along similar lines, we need to empower managers so that they have the decision-making capacity to fulfill the duties entrusted to them.

Fourth, participants felt that there needs to be a harmonization of accounting rules and reporting procedures which are often duplicative and can hamper productivity and substantive delivery.

Fifth, while the accountability dialogue seeks to ensure that we have measurable deliverables, some participants shared the view that we should look at the *impact* of results and not at results for their own sake.

Sixth, we need to create a forum of sharing lessons on best practices regarding accountability. Some participants also suggested that, where appropriate, an external audit or peer review could enhance a culture of accountability in the UN system.

Seventh, there is a need to have an open dialogue with Member States. Its precise form needs to be further defined.

Finally, participants endorsed the view that the UN continues to have an important role to play in reminding Member States and the wider international community that they should be accountable for

the many time-bound commitments they have made, such as on the Millennium Development Goals and the anti-malarial bed-net programs.

Improving communications

Communications and how to improve it was considered a very timely issue. While widely endorsing the policy suggestions found in the background paper, participants expressed the view that the UN needs to further develop a comprehensive communication strategy. This strategy should be two-pronged- one for internal staff and the other for the Member States and the wider public. Among other strategic considerations, such a strategy should take into account regional diversities and emerging realities.

First, with regard to internal communications, participants stated that information exchange within the UN system should be strengthened, more systematic and less confined within silos.

Second on external communications, many participants called for speaking more boldly and with clearer messages. Taking advantage of the diversity of talents available in senior managers, the UN should identify those who can play a more public role in representing the Organization with pride. Senior managers can supplement the Secretary-General in this area, by stepping forward as knowledgeable and credible advocates for the UN, explaining its work and reaching out to particular sectors and communities. They should do so also by addressing civil society, which is an important player in shaping global public opinion.

Third, in serving as spokespersons, we need to convey simple and candid messages that bolster the recognized brand that the UN possesses in the international community, especially highlighting captivating stories from the ground. It was noted that being outspoken, bold and candid contributes to earning respect and credibility from both the Member States and the global public.

Fourth, regarding the topic of communicating on reform: participants noted that while it is important to communicate the progress made in the area of reform for the Member States, we need to differentiate our message for the public, who may perceive repeated talk of reform as an indicator of weakness, rather than as successful adaptation to a changing environment. Here, we need to speak of substantive delivery.

Fifth, it has been pointed out that both in internal and external communications, it is essential that we harness the efficiencies afforded by available or new information and communication technologies. Indeed, effective communications require effective information management.

Doing More with Less

Participants presented candid views on what we need to do to perform better in an increasingly competitive, resource-scarce world. This was considered a critical topic since, as some participants stated, we are already being asked to do more with the same. Participants shared the view that agencies had an obligation to ensure that our beneficiaries receive the most with the little that does exist. Again, participants broadly agreed with the recommendations described in the policy paper. Going further, they discussed how:

First, the UN must nurture a culture of belt tightening, setting out incentives for frugality within the system, together with results-based budgeting.

Second, in terms of cost-saving, participants stressed the value of knowledge management in order to understand what works and what does not. Some cost saving examples cited were: reducing Headquarters presence and the number of regional representatives, aggregating the supply chain,

sharing services, outsourcing secondary work, closing unsustainable or redundant programmes. In this regard, it was suggested that a dialogue on best practices in cost-saving be initiated.

Third, participants called for greater engagement with Member States on their demands and expectations, as these can be conflicting and/or inconsistent. This dialogue would act as a means to share information on UN efficiency gains with Member States.

Finally, rather than rigid rules, flexibility is required to engage differently in different contexts. Participants expressed the need to be empowered to make changes, and to shun risk in this regard.

In conclusion, participants expressed, on occasion with passion and conviction, their desire to take forward the recommendations found in the detailed background papers and in this statement. They committed themselves to ensuring that we make concrete progress on these issues, progress on which we can build further when we meet again next year. In so doing, collectively, we can and will continue to build a stronger and more effective Organization.

ANNEX 3

The Secretary-General Retreat 2009

Monday, 7 September

NEW YORK & GENEVA

PROGRAMME

Chair for New York: **Deputy Secretary-General**

Chair for Geneva: **Mr. Sergei Ordzhonikidze**

NEW YORK TIME		GENEVA TIME
08.30 - 08.50	Secretary-General Ban Ki-moon: Welcome & Introduction Chair: Deputy-Secretary General	14:30 – 14:50
08:50 – 09:00	<i>Introduction by Organisers</i>	14:50 – 15:00
09:00 – 10:30	<i>Thematic Session 1: Accountability Mechanisms</i> Chair for Session 1: Ms. Josette Sheeran	15:00 – 16:30
10:30 – 10:45	Coffee Break	16:30 – 16:45
10:45 – 13:00	<i>Thematic Session 2: Improving Communications</i> Chair for Session 2: Ms. Susana Malcorra	16:45 – 19:00
13:00 – 14:00	Lunch (New York) / Dinner (Geneva)	19:00 – 20:00
14:00 – 15:30	<i>Thematic Session 3: Doing More with Less</i> Chair for Session 3: Mr. Lynn Pascoe	20:00 – 21:30
15:30 – 16:00	Wrap-up Session & Closing Chair: Deputy-Secretary General	21:30 - 22:00

ANNEX 4

LIST OF PARTICIPANTS IN NEW YORK

(alphabetical order except Deputy Secretary-General)

		Last name	First name	Title	Organization
1.	Ms	Migiro	Asha-Rose	Deputy Secretary-General	EOSG
2.	Mr	Abdi	Omar	Deputy Executive Director	UNICEF
3.	Mr	Adlerstein	Michael	Assistant Secretary-General for Capital Master Plan	DM
4.	Mr	Akasaka	Kiyotaka	Under-Secretary-General for Communications and Public Information	DPI
5.	Ms	Alsoswa	Amat Al Alim	Assistant Administrator & Regional Director for Arab States	UNDP
6.	Mr	Arnault	Jean	Special Adviser to the Group of Friends of Democratic Pakistan	DPA
7.	Mr	Banbury	Anthony	Assistant Secretary-General for Field Support	DFS
8.	Ms	Bárcena	Alicia	Executive Secretary, Economic Commission for Latin America & the Caribbean	ECLAC
9.	Mr	Barkat	John	Ombudsman	EOSG
10.	Mr	Baumann	Franz	Assistant Secretary-General for General Assembly and Conference Management	DGACM
11.	Mr	Benson	Robert	Director, Ethics Office	<u>EOSG</u>
12.	Ms	Bjork-Klevby	Inga	Deputy Executive Director	UN-Habitat
13.	Ms	Bragg	Catherine	Assistant Secretary-General for Humanitarian Affairs and Deputy Emergency Relief Coordinator	OCHA
14.	Ms	Cheng-Hopkins	Judy	Assistant Secretary-General for Peacebuilding Support	PBSO
15.	Mr	Chhibber	Ajay	Assistant Administrator & Regional Director for Asia and the Pacific	UNDP
16.	Mr	Choi	Soon-Hong	Chief Information Technology Officer	OICT
17.	Ms	Clark	Helen	Administrator	UNDP
18.	Ms	Coomaraswamy	Radhika	Special Representative of the SG for Children and Armed Conflict	OSRSG/CAAC
19.	Mr	Deng	Francis	Special Adviser on the Prevention of Genocide	DPA
20.	Mr	Diarra	Cheick Sidi	Special Adviser on Africa and High Representative for the Least Developed Countries, Landlocked Developing Countries and Small Island Developing States	OSAA/ OHRLLS

		Last name	First name	Title	Organization
21.	Mr	Duarte	Sergio de Queiroz	High Representative for Disarmament Affairs	ODA
22.	Mr	Fernández-Taranco	Oscar	Assistant Secretary-General for Political Affairs	DPA
23.	Mr	Gettu	Tegegnework	Assistant Administrator & Regional Director, Bureau of Africa	UNDP
24.	Ms	Grynspan	Rebeca	Assistant Administrator & Regional Director for Latin America and the Caribbean	UNDP
25.	Ms	Heyzer	Noeleen	Executive Secretary, Economic and Social Commission for Asia and the Pacific	ESCAP
26.	Mr	Holmes	John	Under-Secretary-General for Humanitarian Affairs and Emergency Relief Coordinator	OCHA
27.	Mr	Jenks	Bruce	Assistant Administrator and Director of Bureau for Resources & Strategic Partnerships	UNDP
28.	Ms	Johnson	Hilde F.	Deputy Executive Director	UNICEF
29.	Ms	Kane	Angela	Under-Secretary-General for Management	DM
30.	Mr	Kim	Won-soo	Deputy Chef de Cabinet and Special Advisor to the SG	EOSG
31.	Mr	Kjorven	Olav	Assistant Administrator & Director, Bureau of Development Policy	UNDP
32.	Mr	Le Roy	Alain	Under-Secretary-General for Peace-keeping Operations	DPKO
33.	Mr	Lopes	Carlos	Executive Director of UNITAR & Director UNSSC	UNITAR/ UNSSC
34.	Ms	Malcorra	Susana	Under-Secretary-General for Field Support	DFS
35.	Ms	Mane	Purnima	Deputy Executive Director	UNFPA
36.	Mr	Mattson	Jan	Executive Director	UNOPS
37.	Ms	Mayanja	Rachel	Special Adviser on Gender Issues and Advancement of Women	DESA
38.	Mr	Mulet	Edmond	Assistant Secretary-General for Peacekeeping Operations	DPKO
39.	Mr	Nambiar	Vijay K.	Chef de Cabinet	EOSG
40.	Ms	Obaid	Thoraya	Executive Director	UNFPA
41.	Mr.	Obiakor	Chikadibia	Assistant Secretary-General for Military Affairs	DPKO
42.	Ms	O'Brien	Patricia	Under-Secretary-General for Legal Affairs & UN Legal Counsel	OLA
43.	Mr	Orr	Robert	Assistant Secretary-General for Policy Coordination and Strategic Planning	EOSG
44.	Mr	Pascoe	B. Lynn	Under-Secretary-General for Political Affairs	DPA

		Last name	First name	Title	Organization
45.	Ms	Pillay	Navanethem	High Commissioner for Human Rights	OHCHR
46.	Ms	Pollard	Catherine	Assistant Secretary-General for Human Resources Management	DM
47.	Mr	Ryan	Jordan	Assistant Administrator & Director, Bureau for Crisis Prevention and Recovery	UNDP
48.	Mr	Sach	Warren	Assistant Secretary-General for Central Support Services	DM
49.	Mr	Sachs	Jeffrey	Special Adviser to the SG on the MDGs	UNDP
50.	Ms	Santos Pais	Marta	Special Representative of the Secretary-General on Violence Against Children	UNICEF
51.	Mr	Sha	Zukang	Under Secretary-General for Economic and Social Affairs	DESA
52.	Mr	Shaaban	Muhammad	Under-Secretary-General for General Assembly and Conference Management	DGACM
53.	Ms	Simonen	Mari	Deputy Executive Director	UNFPA
54.	Mr	Starr	Gregory B.	Under-Secretary-General for Safety and Security	DSS
55.	Mr	Stelzer	Thomas	Assistant Secretary-General for Policy Coordination and Inter-Agency Affairs	DESA
56.	Mr	Taksøe-Jensen	Peter	Assistant Secretary-General for Legal Affairs	OLA
57.	Mr	Titov	Dmitry	Assistant Secretary-General for Rule of Law and Security Institutions	DPKO
58.	Ms	Udovicki	Kori	Assistant Administrator & Regional Director for Europe and the Commonwealth of Independent States	UNDP
59.	Ms	Veneman	Ann	Executive Director	UNICEF
60.	Mr	Yamazaki	Jun	Assistant Secretary-General Office for Programme Planning, Budgets and Accounts, Controller	DM
61.	Ms	Yuge	Akiko	Assistant Administrator and Director of Bureau of Management	UNDP

LIST OF PARTICIPANTS IN GENEVA

(alphabetical order)

		Last name	First name	Title	Organization
1.	Ms	AbuZayd	Karen Koning	Commissioner-General of the UN Relief and Works Agency for Palestine Refugees in the Near East	UNRWA
2.	Mr	AlDafa	Bader	Executive Secretary, Economic and Social Commission for Western Asia	ESCWA
3.	Ms	Beagle	Jan	Deputy Executive Director	UNAIDS
4.	Ms	Casar	Gina	Deputy Executive Director and Chief Financial Officer	WFP
5.	Mr	Costa	Antonio Maria	Director-General of the UN Office in Vienna and Executive Director of the UN Office on Drugs and Crime	UNOV/ UNODC
6.	Mr	De Lay	Paul Ruddy	Deputy Executive Director	UNAIDS
7.	Mr	Draganov	Petko	Deputy Secretary-General of the UN Conference on Trade and Development	UNCTAD
8.	Ms	Feller	Erika	Assistant High Commissioner for Refugees (Protection)	UNHCR
9.	Mr	Guterres	António	High Commissioner for Refugees	UNHCR
10.	Mr	Janneh	Abdoulie	Executive Secretary, Economic Commission for Africa	ECA
11.	Ms	Kang	Kyung-wha	Deputy High Commissioner for Human Rights	OHCHR
12.	Mr	Kubis	Jan	Executive Secretary, Economic Commission for Europe	ECE
13.	Ms	Lim	Janet	Assistant High Commissioner for Refugees (Operations)	UNHCR
14.	Mr	Ordzhonikidze	Sergei	Director-General, UN Office at Geneva	UNOG
15.	Mr	Panitchpakdi	Supachai	Secretary-General	UNCTAD
16.	Ms	Sheeran	Josette	Executive Director	WFP
17.	Mr	Sundaram	Jomo Kwame	Assistant Secretary-General on Economic Development	DESA
18.	Ms	Wahlstrom	Margareta	Assistant Secretary-General for Disaster Risk Reduction	ISDR

ANNEX 5



THE UN SECRETARY-GENERAL RETREAT 2009 New York, 7 September 2009

Breaking down the barriers to true accountability

(Revised Paper, 4 September 2009)

Introduction

1. The credibility of the UN depends on greater accountability and oversight in the implementation of its activities. In 2007, Member States requested immediate actions in the areas of: (1) accountability framework; (2) enterprise risk management (ERM) and internal control framework; and (3) results-based management (RBM). As the first area of accountability is the most challenging, Thematic Session I focused on this topic.

2. International organizations have established or are in the process of establishing clear accountability “systems” or “architectures”. Some UN agencies, funds and programmes are more advanced than others in this area. UNFPA, UNDP and UNHCR, for instance, have developed a set of policies, tools and guidance which are part of an accountability architecture or system. Others are either in the process of, or well advanced, in setting up mechanisms and structures (i.e., WFP). The Bretton Woods institutions also, by the nature of their operations, took an early lead on this subject.

3. Among the different components of the UN system, the UN Secretariat is advancing in terms of accountability. The Secretary-General is currently elaborating a new proposal on accountability to be submitted at the 64th Session of the General Assembly that will contain: a clearer definition of accountability; accountability principles in the UN Secretariat; and the five “components” of accountability.² Under the lead of the Department of Management, a working group composed of various departments and chaired by the Under-Secretary-General for Management, is developing the report.

4. This paper is intended to provide a background on the challenges the UN system faces in developing a comprehensive and efficient accountability system. Several policy suggestions are also outlined for consideration by retreat participants.

² Defined as: (1) The “covenant” with Member States: The Strategic Framework and the Programme Budget; (2) Delivering Results & Performance (Institutional and Personal Performance and the systems of rewards and sanctions); (3) Internal Systems and Controls (Organizational systems that ensure the functioning of the United Nations; rules, regulations and guidelines that establish how actions are to be undertaken in the organization; and arrangements that guarantee the fairness in the functioning of these systems, (i.e. the Administration of Justice); (4) Integrity and Ethical Standards (the UN Ethics Office; and the set of principles, regulations and rules that guide our behavior as international civil servants); and (5) Oversight functions and roles (Independent Audit Advisory Committee (IAAC), Board of Auditors (BOA), Office of Internal Oversight Services (OIOS), and the Joint Inspection Unit (JIU). Please refer to the background paper which was prepared by the Department of Management.

Defining accountability

5. The first challenge we face in the development of an accountability system is how we define accountability. While this paper will not dwell on defining accountability, it is important at this stage to take stock of the current debate, as well as raise the issues regarding to whom and for what the UN system is accountable.

6. One much perceived stumbling bloc to defining accountability is a conceptual one. Indeed, accountability is an elusive concept on which views and opinions diverge. Multiple approaches are rooted in differing perspectives found across various academic disciplines.

7. Some argue that trying to identify a single, static definition of accountability is a waste of time and misses the point. The accountability framework has been compared to a “spiral, moving constantly upwards, helping to bring about more relevant policies and mandates and better programme performance.”³ As such, it should be considered a “living and breathing” notion, shaped by trials and tribulations, one that will be created and recreated everyday through visionary leadership and concrete signals that reinforce a spirit of accountability and transparency throughout the Organization.

8. Fortunately, the lack of a specific definition has not impeded action on accountability. Certain aspects of definition have constituted a sufficient basis for moving forward on implementing accountability and accountability mechanisms including within the UN Secretariat. However, it is clear that more work needs to be done to create an environment in which accountability becomes an integral part of daily UN operations; the formulation, application and enforcement of the principle of accountability must proceed with renewed vigor and concrete strategies.

Accountability for what and to whom?

9. Whatever definition we may elaborate, any system of accountability should address the following questions: accountability for what and accountability to whom.

10. From a senior manager's point of view, there are two responsibilities that come within the ambit of accountability: first, the responsibility for programme delivery; and, second, the responsibility for effective management of the resources given to the senior manager for attaining a programme's specific mandate. The term accountability clearly entails responsibility, and as such, it may, in particular circumstances, result in liability if the responsibility is not fulfilled. In the UN, in particular, the term accountability has oftentimes a negative connotation, as it focuses more on the possible negative result of liability, rather than on appropriate exercise of senior management's responsibilities.

11. It is important to ensure that the concept of accountability supports decision-making for programme implementation and, as appropriate, even risk-taking towards that end. At the same time, it is important to ensure that decision-making adheres to

³ Policy Brief, No. 8 (2007), United Nations University, p.6

the Organization's regulatory framework (Staff Regulations and Rules, administrative issuances, etc.).

12. Another critical issue is to whom the UN system is accountable. Several agencies have a mandate-based, non discretionary set of responsibilities which must bring results to defined groups. This is particularly true in the case of accountability to beneficiaries that some UN agencies serve. UNHCR, for example, has formulated accountability as "a commitment to deliver results for refugees and other persons of concern within a framework of transparency, agreed feasibility, delegated authority and available resources". This definition clearly places beneficiaries at the heart of accountability and provides a basis to measure institutional, managerial and individual staff accountability. For other agencies, the main stakeholders are the Member States.

13. **Policy suggestion:** Although Member States have pointed to the lack of clarity in the definition of accountability as a fundamental weakness of the Secretary-General's accountability mechanisms, we must not dwell on definitions. At the very least, definitions should be clear and non-technical, and incorporate the key elements of institutional, managerial and personal accountability, namely performance, transparency, compliance, trust and integrity, with mechanisms for greater oversight.

Institutional accountability

14. It is important at this point to make a distinction between institutional accountability and managerial and personal accountability. Institutional accountability refers to the responsibility towards one's stakeholders, which in our case, is essentially accountability to Member States and, ultimately, to the "Peoples of the UN" affected by UN decisions, actions or inactions.

15. A major fault line between developed and developing countries on the issue of accountability is the lack of trust stemming from the perception, and indeed often reality, in which one group of States enjoys privileged access to the Secretariat and to the UN system as a whole. It is not surprising therefore that some Member States are reticent to engage in a discussion which would grant greater flexibility to the Secretariat, when such a move might further diminish their influence.

16. The Secretariat can play a key role in building trust vis-à-vis its stakeholders. Like other bureaucracies, it enjoys a lead role in agenda setting, and often the final word on how mandates get implemented. It can also play a more deliberate role, albeit subtle, in bridging the divide and mistrust that prevails around UN reform initiatives. Accountability is a "two-way street": just as we are accountable to our stakeholders, Member States have to ensure that there are adequate resources and a conducive environment for the Organization to achieve its results.

17. **Policy suggestion:** The Secretariat must take an active role in enhancing trust between Member States, management and staff at the UN. Part of this effort involves greater transparency on results achieved and resources spent (through the use of performance indicators for measuring results), and an open dialogue with Member States that would increase the levels of trust and the credibility around accountability.

18. A dialogue would provide an opportunity for the Secretariat and the UN system to demonstrate to Member States their motivations and how these motivations are articulated in terms of priorities. Moreover, such a dialogue would ensure equal access to all parties. This would discourage some Member States from continuing to use accountability for tactical purposes. A dialogue would also lead towards forging a sense of ownership, of “buy-in” for all Member States.

Managerial and personal accountability

19. Another challenge pertains to how accountability is being inculcated into the management culture of the Secretariat. Managerial accountability concerns holding those with delegated authority accountable for the agreed actions taken in accordance with respective responsibilities, as well as for the performance and the manner in which related programmes are managed. The oil-for-food programme debacle is considered a more notorious example of problematic managerial accountability in the UN in recent years.

20. At the core of managerial accountability is individual responsibility. Accountability can only be strengthened when individuals have a clear understanding of their authorities and responsibilities (the duties), how they relate to the Organization’s goals (the jurisdiction) and the manner in which they will be evaluated, rewarded or sanctioned (the liability).

21. In this context, Member States have emphasized the need for concrete proposals to sanction under- or non-performance while rewarding outstanding performance. As with most legal frameworks, an accountability system will be judged by how it can handle abuse, enforce compliance as well as sanction under-performance and non-compliance. Currently, for instance, irresponsible behaviour requires more systematic sanctioning. Establishing a practical sanctioning mechanism is of particular importance in an accountability system.

22. The real managerial challenge, however, is for senior managers to lead an accountable professional life, and to inspire others to do the same, and in so doing, to nurture an ethical and accountable culture from top to bottom.

23. The long-term importance and value of fostering a culture of ethics and accountability is indispensable to accountability mechanisms. If we adopt an integrity-based (or values-based) approach, we will achieve choice-driven adherence to ethical standards, and thus promote responsibility and accountability, as opposed to a sanctions-based approach where minimum compliance is more likely in order to avoid punishment. As a result, staff will value their service and understand that working for the UN is a privilege and not a right. A workable accountability framework is a necessary condition to overcome a culture of entitlement, and pave the way for a culture of commitment, urgency and motivation.

24. **Policy suggestions:** (a) Roles, responsibilities and authorities for staff at all levels of the UN system must be clearly spelled out, in addition to the manner in which staff will be evaluated, rewarded or sanctioned. (b) Senior managers have a responsibility not only to address staff under-performance and sanction failure, but also to reward outstanding performance.

Empowering managers and the importance of resources

25. In order to increase managerial accountability, we need to enhance the authority of managers and hence their capacities. Managers are not properly empowered and this creates risk-aversion, inaction and a tendency to focus on the “means” rather than the “ends”. A proper and efficient system of accountability would empower managers with the authority and resources necessary to carry out the mandates given to them by the Member States and would also teach them how to manage risks.

26. Discharge of any mandate requires time and human and financial resources. While adequate resources do not guarantee success, their absence makes failure probable. Managers’ training resources, span of control and institutional support must be appropriate. Especially in times of resource constraints, the authority of managers must be enhanced.

27. Indeed, a proper balance has to be found between empowering managers and regulatory framework. While framework and oversight are crucial to create efficient mechanisms of accountability, too many layers could become a managerial distraction. The UN system is often accused to be over-regulated and over-administered. Efforts have to be made to create a genuine culture of accountability rather than a culture of compliance only.

28. The resource equation also needs to be addressed to have a proper accountability framework. Failure to link decisions with fiscal consequences creates the illusion that both the resources and deliverables are elastic. For instance, unfunded mandates may be one of the main threats to accountability and performance in the UN System, not only from the political side, but also on the management side.

29. **Policy suggestions:** (a) Review the delegation of authority framework to enhance senior managers’ capacity and hence their responsibilities. (b) Systematically measure cost-effectiveness before decisions are approved, and thus reconcile accountability with responsibility.

A more effective internal communication

30. Finally, it is important to diffuse excessive expectations by emphasizing that accountability is something that is constantly evolving. Effective communication of the steady progress made by all departments should be delivered through, for example, a more accessible website. A dedicated website to UN accountability that provides visitors with an overall picture of accountability mechanisms in place at the UN, encompassing the Independent Audit Advisory Committee (IAAC), the Office of Internal Oversight Services (OIOS), the UN Evaluation Group, etc. is due. Currently, Member States, let alone the public at large, are receiving a disjointed picture of accountability in the UN system, with many people unaware of various internal accountability initiatives taking place.

Summary of policy suggestions

1. Although Member States have pointed to the lack of clarity in the definition of accountability as a fundamental weakness regarding the Secretary-General's accountability mechanisms, we must not dwell on definitions. At the very least, definitions should be clear and non-technical, and incorporate the key elements of institutional, managerial and personal accountability, namely performance, transparency, compliance, trust and integrity, with mechanisms for greater oversight.
2. The Secretariat must take an active role in enhancing trust between Member States, management and staff at the UN. Part of these efforts involves greater transparency on results achieved and resources spent (through the use of performance indicators for measuring results), and a more open dialogue with Member States that would increase the levels of trust and the credibility around accountability.
3. (a) Roles, responsibilities and authorities for staff at all levels of the UN system must be clearly spelled out, in addition to the manner in which staff will be evaluated, rewarded or sanctioned. (b) Senior managers have a responsibility not only to address under-performance of staff and sanction failure but also to reward outstanding performance.
4. (a) Review the delegation of authority framework to enhance senior managers' capacity and hence their responsibilities. (b) Systematically measure cost-effectiveness before each decision is approved, and thus reconcile accountability with responsibility.

ANNEX 6



THE UN SECRETARY-GENERAL RETREAT 2009 New York, 7 September 2009

Improving Communications

(Revised Paper, 4 September 2009)

Introduction

1. Communication and avenues for dialogue and exchange are essential for an Organization's survival, success, credibility and effectiveness. In a highly complex and political organization such as the UN, open and clear communications among various stakeholders, including staff, Member States and the public at large, is critical to achieving its mandates, goals and targets, while motivating employees and harnessing their full potential. Taking on many forms, skillful communication broadens the impact of new policies, allows governance reforms to take root, and attracts and fosters strong partnerships. However, multiple challenges exist in communicating what we do in the UN. Indeed, we at the UN are: "...often faced (with) the question: 'what do you really do'? In the world flooded with information, effectively communicating and being heard, no matter how valuable the message, is becoming more and more difficult".⁴

2. A precursor to communicating with Member States on reform is ensuring a common understanding within the UN system of the Organization's strategic priorities for reform. Thematic Session II focused on how to effectively communicate priorities and the vision for reform based on a common understanding of these, and in a consistent and united way to Member States in order to ensure their understanding and their engagement as a key partner in the reform process. The foundation for communications with Member States should be based on the recognition that each partner has a perspective and a contribution to make, and that each depends on the other for success. Communicating a shared vision and mutual accountability is the basis for unity and effective collective action and contributes to building a successful multilateral organization.

3. There are two central and complementary elements to enhancing communications: (i) internal communications- how the UN communicates among itself; and (ii) external communications- how the UN speaks to external stakeholders, namely Member States, the media, civil society and the public at large,⁵ with one voice, in particular on its progress towards UN reform within the framework of the broader

⁴ See www.undp.org/comtoolkit

⁵ "The public" is used generically here but in fact could be broken down into a diverse set of constituencies including: security sectors, opinion makers and influence shapers, civil society, advocacy communities and non-governmental organizations.

mandates of the Organization. The audiences are each very different, with different interests, perceptions and agendas. Accordingly, crafting an effective communication strategy requires: (i) an understanding of what needs to be communicated, as well as the needs, expectations and communication tools available to respective audiences, (ii) ensuring that messages are substantive, concise, concrete, strategic and address the concerns of respective constituencies, and (iii) creating an evaluative mechanism so that the strategy can be refined and adjusted as necessary.

4. An important starting point is to develop a clear understanding of what we mean by UN reform and what we seek to achieve through the reform. The UN is in a continuous state of reform: it has adapted to new geopolitical situations and demands since its foundation. As such, the UN has served as an agent of change in the areas of peace and security, development and human rights. For many Member States, UN reform refers to the need to modernize or “revitalize” inter-governmental bodies and processes, from the Security Council and the General Assembly to international financial institutions. For the public at large, however, UN reform is largely about the Organization being accountable: it is about effective and efficient administrative and financial management. We must guard against actions that can tarnish the reputation and trust placed in the “UN brand.”

5. The basic rationale for communicating with Member States on reform is that reforms succeed when stakeholders understand and support them. The UN Secretariat, like many organizations, often tends to use communications as a means to inform Member States about a reform initiative, once it has been developed and agreed to internally. A more strategic use of communications would be as an instrument of reform to: (i) increase understanding of areas where change is required; (ii) create a vision for change; (iii) build early ownership and consensus among stakeholders to achieve that change; (iv) facilitate transparency and accountability; and (v) accurately judge the results of the initiative. This would contribute to a significant reduction in political and financial risk, and a much greater acceptance of reform initiatives by Member States and other key stakeholders. The use of communications as a tool for reform can be accomplished through, *inter alia*, systematic consultations with Member States, discussions with special committees and other relevant bodies prior to launching new initiatives, and a full debriefing of results afterwards. As reform is only a tool to achieve a goal; communications about change have more impact and appeal when they are connected to the larger goal.

6. There are a number of recognized reform/change management process steps for successfully developing and implementing reform initiatives that could be further aligned with our communications with Member States. These steps include: i) creating a sense of urgency; ii) building a guiding team/coalition; iii) developing a vision and strategy; iv) communicating the vision for buy-in; v) empowering action by different stakeholders; vi) generating quick-wins; vii) consolidating gains made and producing more change until the vision is achieved; and viii) institutionalizing change.⁶

The internal dimension: Strength from within

⁶ Kotter, John P., Leading Change, Boston Massachusetts, Harvard Business School Press, 1996

7. Internal communication is primarily addressed to the staff of the Organization and may not be as systematically pursued as external communications.⁷ However, as senior managers, we must integrate the goals and key messages of our strategic communications plans into our daily encounters with staff and focus on communicating with purpose, through clearer communications techniques, particularly on the Secretary-General's agenda and targeted messages. It is also important to respond to staff concerns in a timely, comprehensive and results-oriented manner. We need a culture change, one that creates openness and dialogue, as well as space for new ideas. Improved communication and feedback between staff and managers needs to be stressed, and become an expectation at all levels of the Organization. This should be buttressed by a concrete strategy, improved, diversified communication methods and the understanding that UN staff are part of the same team. Internal communications should build awareness, ownership and commitment, and become the "glue" for team cohesion and improved collaboration across the Organization.

8. To begin, the leadership of the Organization should inspire and set both a compelling and an interactive tone. Words alone do not constitute communication; senior management must engage in actions that support the Secretary-General's message. Without leadership and cohesion from senior managers- both in giving a uniform message and in acting consistently- staff will not buy-in to the message. Only through linking effective communication and corresponding behavior, can we reaffirm the importance of leadership. In particular, oral communication requires senior managers' well-coordinated, informative, open and timely responses to crisis and/or controversy. Such internal communications will support the Organization's focus on accountability, as openness and accessibility will reinforce overall confidence in leadership. In line with what should drive external communications considerations, internal communications should underpin the message that "we deliver on what we promise" at all levels of management. Establishment of informational and two-way communications channels, such as micro-blogging sites for senior leadership will also play an important role in providing vehicles for staff to indicate their concerns, and for leadership to show concrete actions in response. As we succeed in our internal communications, the staff themselves will become the best advocates for the Organization.

9. **Policy suggestions:** (a) The Secretary-General should create more opportunities for informal encounters with staff; communicate regularly to them through iSeek, email broadcasts and other means; visit and listen to staff concerns on trips away from HQ and through virtual meetings; engage Regional Commission staff and UN Country Teams in mission planning to demonstrate One UN; and serve as the top advocate for UN staff who serve the mission of the Organization.

(b) Senior managers should use regular and innovative internal communications vehicles (formal meetings, interdepartmental events and discussion fora, informal interactions, digital communications platforms and techniques, knowledge management systems and surveys) with a view to: building mutual trust with staff, creating a channel for dialogue and two-way communications, as well as consistently

⁷ Since January 2009, OHRM/DM and FPD have engaged in a coordinated and targeted internal communications campaign on iSeek, through Townhalls, and a dedicated questions-answers link to promote human resources management reform. This has been well received by staff.

and rapidly informing and engaging staff at different levels of the Organization in a proactive manner concerning ongoing issues and projects, department-wide priorities and the Secretary-General's key priorities. Such proposals should include how to better convey the Secretary-General's agenda and messages to staff.

(c) Senior managers should present concrete suggestions to strengthen staff-management relations, and continue to engage with staff to support already good relationships through both formal and informal mechanisms, emphasizing that UN staff constitute one team. Staff should be consulted on reform initiatives and other issues affecting them in advance. Senior managers must also be prepared to respond to staff concerns and suggestions, even if they are not shared by leadership.

(d) Policies need to be developed to support a cultural change that encourages the exchange and sharing of information and ideas. Senior managers should ensure that this expanded emphasis on communications activities is embraced by managers at all levels.

(e) The revised performance appraisal system should contain specific improvements to enhance internal communications in all units, stressing the importance of making effective and regular feedback and communications a part of the organizational culture. This message should be reinforced regularly through the management training initiatives.

The external dimension: Different communication strategies for different audiences

10. The UN must articulate its vision with coordinated messages through strategically designed external communications campaigns, and this should begin by identifying key constituents. There are three primary audiences for the UN's external communications: i) Member States, ii) the media and iii) the public at large. It is important to customize communications strategies for each of these audiences, taking into account the fact that their expectations and modes of interaction with the Organization differ from each other.

11. While we establish relations with multiple channels of Member States to ensure a wider base of contacts, our external communications campaign must focus on encouraging Member States to work constructively together on reforming the Organization, while taking into account their national priorities. It must be remembered that UN reform evolves in a specific political context: the problem in implementing deep and meaningful change is not due to a lack of *political support for reform*, but rather a deep fault line of competing interests running across developed and developing countries, and within blocs, which can further fracture relations amongst Member States depending on the issue at hand. Since a major roadblock to reform may be intergovernmental gridlock, one potentially useful approach would be promoting intergovernmental dialogue and collaboration through communications that equally inform and give agency to all Member States.

12. The UN system is a complex system of funds, agencies and programmes, each with different mandates and focus. In order to maintain organizational cohesion and a sense of solidarity, it is imperative for the Secretariat to have effective channels of communications with these various entities, so that the UN system as a whole can share a clear understanding of the overall direction and priorities of the Organization. This would ensure that the UN system speak with one voice, thus providing the public

and Member States with consistent, accurate and timely information. In this regard, regular meetings of the UN Communications Group (UNCG) and the work of its thematic task forces provide a good starting point for forging mutual understanding and a coherent voice across the system.

13. Our external communications strategies must also recognize the need to find creative means of shaping public opinion. More needs to be done to educate the media and the global public about the roles and functioning of the UN. Local, regional, and global media networks need to be actively engaged and encouraged to debate key issues of relevance to the UN, including reform. Special efforts should be made to engage media outlets of different languages to ensure that the “UN message” reaches a diverse and large number of people across the globe. The UN currently has 3051 NGOs with consultative status with ECOSOC. These organizations cover the whole spectrum of issues the world is grappling with, acting as advocacy groups for various issues and challenges at national, regional or international levels. This network of NGOs can be strategically engaged.

14. **Policy suggestions:** (a) In an effort to secure more effective engagement with our partners on UN reform, senior managers should call on relevant communication experts and focal points within the UN to develop a comprehensive strategy that: outlines clear objectives; targets key audiences; identifies recommended delivery systems for engagement; takes into account lessons from respective UN entities’ reform processes; establishes a feedback mechanism for adjustment; and addresses the interests of Member States. Once in place, this strategy should be shared with and implemented by senior management. Constant internal assessment would help ensure the UN is tackling fundamental issues.

(b) Such a strategy could include campaigns tied to public events (like a “race for the cure” or our on-going “Seal the deal” campaign on climate change) aimed at mobilizing the public around the need to strengthen the UN so that it can better fulfil its mission.

(c) The way information and content is generated has also changed. Increasingly, information is created by ordinary users (user-generated content and citizen journalists) rather than professional communications specialists. This shifting reality needs to be reflected in the strategy for the public along with identifying the most appropriate communication technologies to reach diverse audiences such that they can have an effective engagement with their UN.

Trust building

15. Building trust must be linked to our strategic campaigns. Outside outlets should not be the primary source of information for Member States or the staff. Our stakeholders must be well informed by senior managers on the real challenges we face, as well as the values that drive us.

16. Formulating clear Secretariat policy proposals and initiatives based on consultations with diverse stakeholders are crucial. All policy proposals should be accompanied by clear and timely messaging. *What are we trying to say and to whom?* If we want other people to hear and comprehend us, we need to have a clear, concrete and concise answer to this question first. We should ensure that all Member States have access to the same level of information. The Secretariat must regularly

consult and brief Member States on joint initiatives and proposals. Furthermore, we must ensure that our language is accessible to the public; technical jargon and “UN-ese” pose barriers to effective communication and should be avoided.

17. Policy suggestions: (a) Effective communication on UN priorities requires consultation and advance planning and coordination. Senior managers must know what the message is and then senior management must speak with one voice on reform. Building on the existing- and establishing possible new- mechanisms to facilitate rapid transmission of key messages should be examined as part of our overall communication strategy.

(b) The Secretariat should work towards ensuring that Member States receive the same information, including through regular consultations and briefings at all levels, so that stakeholders share a true feeling of ownership in the reform agenda.

(c) An information portal documenting the reform process, along with the views of various Member States could be established compiling information in diverse places (e.g. the General Assembly page, the UN Reform page, on deleGATE (the intranet for Member States), and on NGO websites that track UN reform). This could include space for Member States and accredited NGOs to post their statements and remarks on a particular reform issue, so that the public would have a comprehensive view of the ongoing discussions within the UN. Another possibility is to make this information available on existing webpages such as un.org and UNDG.org.

(d) Knowledge perception surveys used by some stakeholders help determine the most effective ways to communicate with various groups, including across gender, age, geography, language and access to technology lines. This can contribute to building trust.

“The UN brand” and reform

18. Branding is a powerful and effective tool for strategic communications, particularly for the public at large. The UN is in fact “many UNs”, but the Secretariat has a primary role in conveying a global message on why the UN is an indispensable organization in tackling today’s complex global challenges.

19. There needs to be a coherent and concrete strategy for branding the UN as an integral part of the globalizing world that works for the disadvantaged and serves the common good. Initiatives and events that focus on raising public awareness and support for such core UN issues as peacebuilding and environmental protection should fit in this broader narrative. Since the reputation of a brand is closely entwined to its actions and the credibility of the “product”, gaps between promise and performance in any area need to be addressed. Since substantial change needs to be achieved with Member States’ active participation and contribution, a new narrative is required, which emphasizes the need for leadership by Member States to equip the Organization for today’s world. This is “your UN.”

20. Just as in the case of internal communications, we must work to ensure an open, positive and proactive tone in the Secretariat’s communications with the Member States and the people they serve. This tone must be set by top management. Part of this interaction should include carefully chronicling “reform success” and communicating to the public that the UN is making progress in adapting itself to the challenges of the 21st Century. In chronicling this success, it is important to situate

these achievements in the overall reform agenda so that the public develops a coherent picture of the change in progress. We should also acknowledge areas in which progress is lacking and suggest possible solutions.

21. Policy suggestions: (a) The UNCG should play a strategic role in the coordination of system-wide public information and communication activities, based on, among others, the conclusions of the heads of communication offices of the UN system meeting, on the importance of coordinated communications on priority issues such as climate change and global health (June 2009).

(b) Senior managers should consult and support their communications advisers and use new media when appropriate for communicating to different constituencies.

(c) Senior managers should share information and speak to the media on a more regular basis, in line with the *Media Guidelines for United Nations Officials*. DPI, in consultation with the Director of Communications and the Spokesperson, can assist in advanced planning and arranging on-the-record and background briefings with senior officials and select media and public decision-makers. More discussions on guidelines and complementarity of roles will be useful for cohesive communication.

(d) Following what was recommended at the last year's retreat, each department should contribute by the end of 2009, a communication success story vis-à-vis the public or Member States. Coordinated by DPI, this exercise would promote information-sharing on examples of truly innovative communications/outreach initiatives, such as the UN-inspired external "Hopenhagen" climate change campaign, the Secretary-General's WMD-WeMustDisarm campaign and the UN "courage for peace" advocacy campaign with Messenger of Peace George Clooney.

(e) The recently established Office of Information and Communications Technology (OICT) should play an important role in assisting improved internal and external communications through technical upgrades, digitalization and other innovative methods.

(f) Open exchanges should be initiated with both Member States and the public through a carefully designed advocacy strategy that caters to various audiences. There needs to be recognition that key messages will not be communicated by a single presentation or report. Inherent in informal communication needs to be the understanding that Member States are not homogeneous and have differing interests and priorities; such a communication strategy should therefore take this into consideration when sequencing communication.

Overview of policy suggestions

1. (a) The Secretary-General should create more opportunities for informal encounters with staff, and (b) senior managers should use regular and innovative internal communications vehicles to build mutual trust with staff. (c) Senior managers should present concrete suggestions to strengthen staff-management relations, and continue to engage with staff to reinforce already good relationships through both formal and informal mechanisms. Staff should be consulted on reform initiatives. (d) Policies must support cultural change that pro-actively encourages the exchange and sharing of information and ideas. (e) The revised performance appraisal system should contain specific improvements to enhance internal communications in all units (refer to para 9).

2. (a) Senior managers should call on relevant communication experts and focal points within the UN to develop a comprehensive communications strategy. Once in place, this strategy would be shared with and implemented by senior management. (b) Such a strategy could include campaigns tied to public events aimed at mobilizing the public around the need to strengthen the UN. (c) The way content is generated has changed, and this fact needs to be reflected in the UN's communication strategy, by among others, identifying the most appropriate communication technologies to reach diverse audiences (refer to para 14).
3. (a) Effective communication on UN priorities requires consultation and advance planning and coordination. Building on the existing- and establishing possible new- mechanisms to facilitate rapid transmission of key messages should be examined as part of our overall communication strategy. (b) The Secretariat should work towards ensuring that Member States receive the same information, including through regular consultations and briefings at all levels. (c) A comprehensive information portal documenting the reform process, along with the views of various Member States could be established compiling information in diverse places. (d) Knowledge perception surveys can determine the most effective ways to communicate with various groups, and can support trust building efforts (refer to para. 17).
4. (a) The UNCG should play a strategic role in the coordination of system-wide public information and communication activities. (b) Senior managers should share information and speak to the media on a more regular basis. (c) Each department should contribute by the end of 2009, a communication success story. (d) The OICT should play an important role in assisting better internal and external communications through technical upgrades, digitalization and other innovative methods. (e) Open exchanges should be initiated vis-à-vis both Member States and the public, through a carefully designed advocacy strategy (refer to para. 21).

ANNEX 7



THE UN SECRETARY-GENERAL RETREAT 2009 New York, 7 September 2009

Doing more with less: becoming more efficient

(Revised Paper, 4 September 2009)

Introduction

1. In an increasingly competitive, resource-scarce world, the UN is challenged to become more efficient and effective. Prioritization is a fundamental part of its budgetary process. In proposing and approving budgets, senior managers and Member States respectively face, on a routine basis, the challenge of allocating limited resources among a growing and formidable set of mandates. Ongoing discussions on strengthening the budgetary process seek to ensure more flexibility in the allocation of limited resources in order to address these evolving challenges.

2. Against this backdrop, and given the heightened urgency resulting from the global financial crisis, Thematic Session III explored creative and innovative ways of “doing more with less”, of increasing efficiency and achieving results. Drawing from best practices inside and outside the UN system, the Session delved into how the UN can: (i) perform in a more efficient manner; (ii) constructively engage Member States in achieving system-wide efficiency; and (iii) convince relevant stakeholders that by doing more with less, the UN leadership should be afforded greater leeway to get things done.

Becoming more effective

3. Effectiveness rather than efficiency remains a critical challenge for the UN. The former requires strategic focus while the latter implies cost-cutting initiatives. Achieving effectiveness – i.e. doing the right thing – often requires cost increase in the form of investments in human resources and infrastructure.

4. The UN can only achieve effectiveness if it is committed to Results Based Management (RBM) and accountability for results. This requires the Organization to prioritize, articulate results and report against them, and monitor and evaluate performance. Furthermore, while RBM assumes a level of flexibility in how managers deploy and utilize human and financial resources, systems must be in place to support RBM implementation. For instance, investment in human resource management (HRM) and the alignment of HRM with current Information Communication Technology (ICT) and financial reporting systems, are required. Indeed, aiming towards the full application of RBM could become the basis for a new

conversation on UN reform requiring both Secretariat and Member States to rethink how the UN operates.

5. Reporting requirements need to shift from reporting on inputs and outputs to reporting on collective results. In moving towards reporting on results, senior managers need to acknowledge that in most cases a biennium is usually too short a period to implement meaningful changes. A longer planning framework is required, with reasonable timeframes for delivering on results and attributing credit for results.

6. **Policy suggestions:** (a) Organisational priorities and benchmarks to measure progress against planned results need to be set and clearly communicated to Member States. It is also important to monitor and evaluate the progress toward their achievement;

(b) A mapping of what it will take to truly deliver on RBM, along with current barriers to its implementation and ways to address them should be undertaken;

(c) The engagement of Member States is necessary for fully applying RBM and ensuring the requisite shift in culture;

(d) Human resources management, information and communications technology, and financial reporting mechanisms should be aligned to better enable the UN to plan, deliver and report on results.

Achieving efficiency

7. There is a tension between the UN's aspiration to achieve efficiency levels comparable to the most efficient public institutions in the world, and the political realities of an intergovernmental organization, headed by 192 individually-willed Member States.

8. Efficiency requires cost effectiveness, which can best be defined and measured by three equally important E's: i) Economy- doing things cheaply; ii) Efficiency- doing things right; and iii) Effectiveness- doing the right things. The challenge for senior managers is to identify where a particular course of action or work process falls short on any one of these areas- where best to cut the 'fat'. This implies having the courage to drop programmes that are no longer sustainable or cost effective, and to resist the tendency to continuously broaden mandates. Member States should be supportive of this approach.

9. Despite many political and bureaucratic challenges, the UN should strive for the highest levels of efficiency and productivity throughout all of its operations. Drawing on the Enterprise Resource Planning (ERP) and other technology-based initiatives, senior managers must optimally revamp existing business processes. From procurement and asset storage to staff travel and deployment, more cutting-edge rules of operation and practices should be introduced to save on time and cost. By making innovation a part of its daily operations, the UN should represent a "gold standard" in efficiency.

10. Many examples of innovations in this regard exist from the funds, agencies and programmes, such as: (i) increased use of video conferencing, electronic media and signatures, free and open source software for knowledge sharing and training; (ii) increased use of energy efficient and green resources and initiatives, with alternative

energy benchmarks and targets; (iii) establishment of partnerships with national and international organisations to combine resources, draw on innovative expertise or local experiences, maximize existing networks, facilitate information dissemination, and avoid duplication and excessive travel costs; (iv) dissemination of the “service-centre approach” adopted by certain entities (including UNHCR, Department of Field Support, and UN Development Programme), which has made efficiency gains by reducing mission footprints, establishing centres of competence, supporting regional development, and providing support to clients; (v) regionalisation of services which has enabled economies of scale through the sharing of existing resources, such as integrated information and communication technology and transport services (Department of Field Support and UNHCR); and (vi) benchmarking and monitoring administrative versus operational costs (UNHCR) to ensure efficiency of field operations.

11. Policy suggestions: Implementing efficiency gains is complicated by the complexity and diversity of the UN system, its business processes as well as the slow progress on the latter’s simplification and harmonization. Through the following suggested measures, the UN “household” needs to be reformed for more efficiency and cost-effectiveness:

- (a) Include cost-saving measures in the Secretary-General’s compacts with senior managers.
- (b) Liaise with the Chief Information Technology Office to explore creative ways to achieve efficiency gains. For example, reliable online communication tools (such as *skype*,⁸ which is already used widely within some departments, funds and agencies) should be utilized to reduce long-distance phone bills. It may also be helpful to encourage less reliance on the use of paper-based formal communication. Electronic signature and email could substantially reduce the use of paper.⁹
- (c) Draw on lessons within and outside the UN in order to establish effective incentive systems for cost-saving by different entities and departments within the UN system.
- (d) Identify other creative cost-saving opportunities by tapping into the idea pools of UN staff. Senior managers can jump start this process by soliciting “cost-saving ideas” from all parts of the Organization before the end of 2009. Units or individuals who present the best ideas can be rewarded through the granting of UN21 Awards, for instance.
- (e) Accountability measures should be accompanied with management training for senior managers, E-Pas incentives and accountability reviews linked to efficiency. Investment in RBM, communication and management skills is also necessary to improve accountability and UN effectiveness.
- (f) Benchmarks should be established to measure efficiency gains. This should include a means of effective benchmarking and monitoring of comparable common services and key processes across agencies.
- (g) Existing recommendations should be reviewed with a view to improving current business processes, and determine a course of action in this regard.

Communicating efficiency gains

⁸ After having taken security considerations into account

⁹ This would require organization-wide policies on e-signature and archiving of emails

12. Although there is much room to improve in terms of efficiency, it is important to convey that the UN is not a “bloated bureaucracy” as it is often claimed to be, but an organization that works to “achieve much with little”. As such, existing examples of efficiencies already achieved and future targets of efficiency gains within the UN must be actively communicated to Member States through open engagement and dialogue. Ways of effectively communicating efficiency is crucial. It is also important to have defined approaches to estimating efficiency gains. In addition to potentially strengthening our bargaining power (see below), senior managers will be bolstering the Organization’s unfolding messages on accountability and RBM, and forging a culture of mutual trust both within the Organization and between the Organization and Member States.

13. **Policy suggestions:** (a) Senior managers should explore ways to communicate existing and future examples of “efficiency models” to Member States through campaigns, branding exercises, etc. in the context of the on-going communication efforts. An effective strategy should include joint projects to implement across the UN system, thereby eliminating duplication and minimizing costs. It is also essential to articulate that sometimes, bringing about efficiencies does not necessarily result in reducing overall cost but in more timely action and better client service.

(b) Additionally, we should enlist the help of Member States in finding “efficiency” solutions. There should be a systematic channel of dialogue between Member States and the Secretariat on ways to boost performance and enhance efficiency in the Organization. For example, the World Bank administers a “Secondment Program” to recruit qualified professionals from outside the organization with national experience and fresh insights. In order to foster innovative knowledge throughout the UN system, experienced professionals from the outside public sector could be brought in to provide training or briefings for UN staff. Such practice would have an added benefit of making Member States more invested in the UN reform process.

Role of Member States

14. The UN’s current governance structures must support further reform efforts, and facilitate the linking of funds to priorities and accountability measures. There is a need to change the corporate culture from both the Organization (management) as well as by Member States (governance) including how the latter responds collectively through the General Assembly.

15. Member States play a critical role in contributing to the UN’s efficiency and could help by providing the resources necessary to fulfil the tasks that they mandate the UN to undertake.

16. The application of RBM across the board will require buy-in from Member States and in a fundamental redesign of the governance, oversight, accountability and reporting frameworks in the UN.

17. Micro-management by Member States has not improved the UN’s performance- it has in fact undermined the ability of the Organization and Member States to interact on the basis of results, and above all, from working together (governance and management) on delivering visible and meaningful results. Regaining the trust and

confidence of Member States and increasing accountability will require transparency and communication of results.

Increasing budget focus

18. Budget is a concrete expression of the vision of the organisation– what drives it and what defines its priorities. Strategic budget planning is key to ensuring an efficient corporate culture and avoiding duplication and competitiveness.

19. Decisions on the UN spending should be guided by considerations of which investments would bring the greatest returns. Decisions on where to spend available resources should be driven by the following considerations: (i) What are the activities and investments that the UN needs to carry out most urgently? (ii) What will give Member States the most significant development returns? (iii) Which investments are under-performing and should be discontinued? (iv) What accountability measures are most effective?

20. At the recent and on-going discussions of the budgetary process, Member States have made it clear that they will continue to demand greater clarity, responsiveness and transparency by the UN administration, in the form of enhanced accountability, more focus on results-based outcomes, and strengthened oversight, etc. Indeed, the UN system should be sharply attuned to factors affecting Member States' decision-making processes, particularly during the current economic climate.

21. Discussions on the budgetary process are at a very important juncture. Efforts to secure a more efficient and transparent budgetary process could lead to more focused and higher level of discussions on budget priorities and a potential increase in the discretionary authority of the Secretary-General to manage his human and financial resources. Indeed, true gains of efficiency should result in ensuring a greater level of autonomy for us to get things done across various fields of work. A series of recent informal discussions with Member States has made much progress in improving the budgetary process. Three concrete proposals are on the table: (i) reduction of the budget fascicles to streamline the discussions of the biennial budget proposals; (ii) introduction of measures to end micro-management and create mutual trust; and (iii) making separate funding arrangements for Special Political Missions.

22. **Policy suggestions:** (a) Senior managers should explore ways to use the creation, promotion and dissemination of efficiency gains as a means to strengthen the UN's image vis-à-vis Member States. Among others, senior managers should draw from specific examples of success and best practices from UN funds, agencies and programmes in this area.

(b) In the field of public administration, "managerial discretion" is cited as one of the key building blocks for enhanced performance and responsibility. Efforts should be made to explore how the Secretary-General can exercise more flexibility and discretion in carrying out his official duties while at the same time strengthening accountability and oversight mechanisms.

Additional consideration

Financing the reform

23. One of the key concerns among some Member States is the lack of consensus and concrete proposals on how to finance various reform initiatives, such as the Composite Entity for gender equality and women empowerment. While many promising reform efforts are underway, it remains unclear how their implementation process would be evaluated and, for long-term reform, what their cost effectiveness is.

24. **Policy suggestion:** Senior managers should investigate what can be learned from the experiences of other organizations as they financed their own reforms with a view to maximizing efficiency. A periodic forum for discussion and exchange of best practices could be established and coordinated by the Management Committee.

Overview of policy suggestions

1. (a) Organisational priorities and benchmarks to measure progress against planned results need to be set and clearly communicated to Member States. It is also important to monitor and evaluate the progress toward their achievement; (b) A mapping of what it will take to truly deliver on RBM, as well as current barriers to its implementation and ways to address them should be undertaken; (c) The engagement of Member States is necessary for fully applying RBM and ensuring the requisite shift in culture; (d) HRM, ICT and financial reporting mechanisms should be aligned to better enable the UN to plan, deliver and report on results (refer to para. 6).
2. Implementing efficiency gains is complicated by the complexity and diversity of the UN system, its business processes, and the latter's slow progress on simplification and harmonization. Through specific measures, the UN "household" needs to be reformed for more efficiency and cost-effectiveness (refer to para. 11).
3. (a) Senior managers should explore ways to communicate existing and future examples of "efficiency models" to Member States. (b) Additionally, we should enlist the help of Member States in finding "efficiency" solutions. (refer to para. 13)
4. (a) Senior managers should explore ways to use the creation, promotion and dissemination of efficiency gains as a means to strengthen the UN's image vis-à-vis Member States. (b) Particularly in the field of public administration, "managerial discretion" is cited as one of the key building blocks for enhanced performance and responsibility. Efforts should be made to explore how the Secretary-General can exercise more flexibility and discretion in carrying out his official duties while at the same time strengthening accountability and oversight (refer to para. 22).
5. (a) Senior managers should investigate what can be learned from the experiences of other organizations as they financed their own reforms with a view to maximizing efficiency. A periodic forum for discussion and exchange of best practices could be established and coordinated by the Management Committee (refer to para. 24).

INTERNAL & EXTERNAL CONTRIBUTORS TO THE SECRETARY-GENERAL'S RETREAT

SURNAME	NAME	SUBJECT	YEAR	Note
UN REFORMS				
Beagle	Jan	Learning	2007	
Coomaraswamy	Radhika	Spoilers	2007	
de Mistura	Staffan	Learning	2007	
Eliasson	Jan	Advancing Reform	2007	
Gambari	Ibrahim	Spoilers	2007	
Guhenno	Jean-Marie	Advancing Reform	2007	
Holmes	John	Spoilers	2007	
Kane	Angela	Modern workforce	2008	
Lopes	Carlos	Learning	2007	
Pascoe	Lynn	Advancing Reform	2007	
Steiner	Achim	Modern workforce	2008	
Won-soo	Kim	Modern workforce	2008	
PEACE & SECURITY				
Bragg	Catherine	Operational Effectiveness	2008	
de Mistura	Staffan	Iraq	2008	
Egeland	Jan	Integrated UN Role	2007	
Holl Lute	Jane	Challenges of P&S	2008	
Le Roy	Alain	Challenges of P&S	2008	
Malcorra	Susanna	Operational Effectiveness	2008	
O'Brien	Patricia	R2P	2008	
Pascoe	Lynn	Challenges of P&S	2008	
Prendergast	Kieran	Integrated UN Role	2007	
Robinson	Mary	Integrated UN Role	2007	
Veness	David	Operational Effectiveness	2008	
COMMUNICATIONS				
Akasaka	Kiyo	UN Image	2008	
Bragg	Catherine	Improving Communications	2009	
Bushkin	Kathy	Int + Ext Communications	2007	
Heyzer	Noeleen	UN Image	2008	
Holmes	John	Improving Communications	2009	stirrer
Johnson	Hilde	Improving Communications	2009	stirrer
Khoury	Rami	Int + Ext Communications	2007	
Luck	Edward	UN Image	2008	
Malcorra	Susana	Improving Communications	2009	
Meyer	Mike	Int + Ext Communications	2007	
Ockrent	Christine	Int + Ext Communications	2007	
Sullivan	Jere	Int + Ext Communications	2007	
INTERNAL MANAGEMENT				
Banbury	Anthony	Effectiveness	2009	stirrer
Baumann	Franz	Accountability	2009	stirrer
Benson	Robert	Risk Management	2007	
Coomaraswamy	Radhika	Effectiveness	2009	
Merkovsky	John	Risk Management	2007	
Michel	Nicolas	Risk Management	2007	
O'Brien	Patricia	Accountability	2009	stirrer
Pascoe	Lynn	Effectiveness	2009	
Pollard	Catherine	Accountability	2009	
Sheeran	Josette	Accountability	2009	
Soon-hong	Choi	Risk Management	2007	
PARTNERSHIPS				
Ruggie	John		2007	
Veneman	Ann		2007	
HUMAN RIGHTS				
Coomaraswamy	Radhika		2008	
Deng	Francis		2008	
Pillay	Navy		2008	
DEVELOPMENT				
Dervis	Kemal		2008	
Holmes	John	Dev + food crisis	2008	
Janneh	Abdouille	Dev + food crisis	2008	
Veneman	Ann	Dev + food crisis	2008	
Zukang	Sha	Dev + food crisis	2008	
GUEST SPEAKERS				
Christillin	Evelina	Team Building	2007	
Johnson Sirleaf	H.E. Ellen	Key-note Address	2007	
Malcorra	Robert		2008	

