

Responses to Requests

of the Fifth Committee

14 November 2006

Supplement 2

Submitted by OHRM
Incorporating DPKO replies

1. Provide information on training budget utilization for the past 3 years. [Bangladesh]

As of 31 March 2006, date of the closing of accounts, 2004-2005 total training commitments amounted to \$17,968,842 representing a utilization rate of 98.15% of the final appropriation for the biennium 2004-2005. Training resources for 2006 are fully utilized. In order to avoid cancellation of staff development and career support activities scheduled for the last two months of the year both at Headquarters and in Offices Away from Headquarters, an advance amount of \$686,000 from the training resources available for 2007 will have to be used.

2. Do all staff have to take at least one training activity each year? [Egypt]

Each staff member is expected to complete one learning activity in the course of any given reporting cycle of the performance appraisal report (1 April to 31 March). This may include participation in staff development and career support programmes provided in-house, on-the-job training, involvement in mentoring or coaching (for managers), enrollment in distance learning or e-learning programmes, or participation in outside training courses.

3. Who will provide training certification? [Australia]

As indicated in paragraphs 199 and 220 of the report of the Secretary-General "Investing in People", mandatory training programmes are in key areas such as ethics, budget and finance and human resources. Some certification will be done in-house, in coordination with the substantive offices for each area, e.g. OPPBA, Ethics Office, etc.

The selection of outside certifying bodies, if necessary, will be done in consultation with substantive offices, other UN organizations, as well as international professional organizations. For instance, OHRM will examine UNDP's experiences with certification using e-Cornell for human resources and, in consultation with OPPBA, the Association of Chartered and Certified Accountants (ACCA) for accountants.

4. Provide information on evaluation of training programmes [Singapore]

In accordance with the organisation's Training and Learning Policy, evaluation is an integral part of all developmental activities to ensure that programmes continue to meet priority organisational needs in an effective and efficient manner.

External evaluations

In addition to ongoing internal assessment mechanisms and internal evaluations such as OIOS audits, external evaluations are conducted periodically. The most recent external evaluation of staff development programmes in 2004 showed, overall, a high level of satisfaction with the quality and relevance of centrally managed programmes as well as an increased awareness among staff and managers of the key role that developmental activities play in career development and job

satisfaction. The evaluation confirmed that programmes are aligned and integrated with the larger changes in human resources management and with the overall reform process. However, the report concluded that taking development programmes to the next level of impact would require investment in capacity (people, process and technology) and that, without an infusion of capacity, the Organization risked losing the momentum gained in the reform efforts.

Evaluation by participants

Participants' evaluation serves as an important tool to further enhancing individual and organizational learning. Post-course participant feedback instruments are used in every programme including self-assessments, questionnaires, surveys, evaluation sheets or focus groups. Another useful impact assessment is from participants who, unsolicited, send commentary by email or letter upon completion of learning activities. Feedback from all sources is systematically reviewed, and the information gathered is used for the ongoing strengthening and refocusing of programmes and approaches and the development of new programme areas.

A unified, on-line evaluation form to capture the most essential quantitative and qualitative data has been developed and is currently being piloted. This will allow more meaningful comparison across programmes. It will also permit analysis of trends, identification of gaps and will facilitate more streamlined and systematic reporting. To better capture impact assessment over a longer-term, a follow-up mechanism is being introduced to all learning programmes.

Evaluation of the facilitators

The performance of trainers is monitored through participant evaluation and observation of sessions. Apart from qualitative free-form evaluation, most evaluation forms capture numerical ratings of individual trainers, which are regularly monitored and assessed. For new trainers and for pilot programmes, assessment also includes focus groups to elicit direct and candid feedback on both programme content and delivery and, where appropriate, from subject matter experts.

5. What is the profile of an effective manager and an effective department? Is there a linkage to training? [Pakistan]

OHRM works in partnership with programme managers to support change management processes throughout the Organization, and has adopted organizational development approaches and tools in its work.

"Organizational development" (OD) is a term used to describe a holistic effort to strengthen the effectiveness of an organizational entity such as a department or a regional commission. The OD process usually involves diagnosis, identification of gaps between current reality and desired reality, planning and interventions to close the gaps—together with the usual monitoring, evaluating and learning processes. Needs may be identified through focus groups, surveys and retreats in the Departments, as well as through other mechanisms such as the Ombudsman, the e-PAS and the appeals system. OD activities may include policy development or modification to assist the Organization in attracting, developing, motivating and retaining staff.

Specific OD interventions may involve assistance with areas such as strategic planning, programming, team-building, organizational design, coaching of senior management teams and of individual managers, mapping and streamlining of processes, and client orientation.

In promoting organizational development efforts, OHRM follows an integrated approach focusing on people, purposes and processes, taking into account the changing environment in which the Organization operates. Specific organizational development efforts include:

- Department-based organizational development initiatives customized to meet specific needs of each department on the basis of a series of comprehensive departmental and individual assessment processes including a staff survey involving all staff in the Department, and a 360 degree feedback instrument for managers, as well as a senior management retreat to develop an OD Plan of Action.
- Departmental interventions to implement the plan, including team-building programmes, strategic planning processes, process reviews, change management workshops, client service training, team or individual coaching, follow-up senior management retreats, etc. These are not one-off events, but rather a series of inter-related and complementary activities spread over weeks and months.
- Centrally managed learning programmes aimed at building core and managerial competencies and promoting a shared organizational culture and values, as well as meeting specific departmental and individual developmental needs.
- Learning and development programmes for individual staff and/or teams at all levels, with a special focus on General Service Development, Junior Professionals and middle and senior level managers. Programmes for managers are now mandatory (following the Secretary-General's approval of a SMCC recommendation).
- Programmes to assist staff in balancing professional and personal lives, such as the introduction of flexible working arrangements.

In 2004-2005, additional OD tools were developed including the Profile of an Effective Department and the Profile of an Effective Manager. These were tested in focus groups and feedback was also sought from Heads of Departments and Offices before introducing them in 2005. Based on feedback from department heads and senior managers in the context of senior management retreats, and the resultant OD Plan of Action, additional resources are still needed for personal coaching, managing change, and process and policy re-engineering. The brochures on the Profile of an Effective Department and the Profile of an Effective Manager are enclosed.

6. Explain the current contractual arrangements and the features of the UN staff contract. [Netherlands]

Current situation

Initially, all staff served under one set of Staff Rules, now known as the 100 series. Over the years, separate regimes have evolved to address special situations. The 200 series was introduced for specialist personnel working on technical assistance projects. The 300 series was initially used for staff expected to serve only for a short period, such as conference services and was subsequently expanded to cover staff working in the field for a limited duration. Conditions of service and benefits are broadly similar under the 100 and the 200 series, but differ significantly under the 300 series.

Each series provides for several different types of appointment, as shown below:




100 series	200 series	300 series
Probationary (normally for two years, leading to permanent appointment)	Short-term status (for project personnel with an appointment of less than one year)	Short-term (for a period not exceeding six consecutive months)
Fixed-term (for a specified period usually between six months and two years which may be renewed or extended as necessary)	Intermediate status (for project personnel with appointment or continuous service of one to five years)	Limited duration (for activities not expected to exceed three years)
Indefinite (currently used by UNHCR and, rarely, by the Secretariat in special situations)	Long-term status (for project personnel with appointment or continuous service of five years or more)	
Permanent (for persons who have completed a probationary period, Since 1995, there has been a freeze on the granting of permanent appointments, except for candidates recruited through a competitive examination at the professional level)		

One UN staff contract would streamline the array of the contractual arrangements currently in place and simplify the now cumbersome and time-consuming administrative processing. It would enhance transparency and promote greater equity in the benefits extended to staff.

Under the United Nations staff contract, the duration of appointment would be determined in accordance with the operational needs of the Organization. The following three types of appointments would be used for all Secretariat functions, departments, duty stations and field missions:

- (a) A temporary appointment, which would cover up to a maximum period of one year (or up to two years to meet surge needs in the field), for staff appointed to meet seasonal or peak workloads and specific short-term requirements;
- (b) A fixed-term appointment, which could be renewed or extended to cover a maximum period of five years;
- (c) A continuing appointment, which would be open-ended.

Introduction of one UN staff contract

Current contractual arrangements	to be replaced by	One UN staff contract
100 series fixed-term (less than 1 year of service) 200 series short-term status 300 series short-term 300 series limited duration		Temporary (less than one year of service, or two years in the field)
100 series fixed-term (less than 5 years of service) 100 series probationary 200 series intermediate status 300 series limited duration		Fixed-term (up to five years of service)
100 series fixed-term (more than 5 years of service) 100 series permanent 100 series indefinite 200 series long-term status		Continuing (more than 5 years of service)

Main features of UN staff contract

One UN staff contract	Temporary	Fixed-term	Continuing
Duration	Less than one year, or up to two years to meet surge needs in the field	Up to five years	More than five years
Probationary period	Yes	One year	Not applicable
Pension scheme	After 6 months	Yes	Yes
Health insurance	After 3 months	Yes	Yes
Mobility requirements	No	Yes	Yes
Possibility to acquire continuing appointment	No, unless selected for a post through a competitive process and granted a fixed-term contract	Yes	Not applicable
Limitation to projects/mission	Yes	Where required	Where required
Separation¹	Upon completion of appointment for a maximum of one year, or up to two years in the field or in the interest of good administration of the Organization	Upon expiration of the contract, which may be terminated for reasons specified in the letter of appointment	In the interest of good administration of the Organization

¹ In all instances, an appointment can be terminated if the necessities of the service require abolition of the post or reduction of the staff, if the services of the individual concerned prove unsatisfactory or if he or she is, for reasons of health, incapacitated for further service;

Compensation [main elements]

One UN staff contract	Temporary	Fixed-term	Continuing
Base salary	Yes	Yes	Yes
Annual increments	No	Yes	Yes
Post adjustment	When appropriate	Yes	Yes
Dependency allowance	Yes	Yes	Yes
Mobility allowance	No	Yes	Yes
Hardship allowance	Yes	Yes	Yes
Education grant	After 6 months	Yes	Yes
Home leave	No	Yes	Yes
Assignment grant	DSA portion only	Yes	Yes
Repatriation grant	No	Yes	Yes

7. Provide information on turnover for PKO and the Secretariat for the past three years [Saudi Arabia]

Secretariat	2004	2005	2006
Directors	11.0%	11.1%	12.3%
Professional category	4.7%	5.1%	8.1%
GS and related	5.5%	4.7%	6.8%
Total	5.4%	5.1%	7.4%

Peacekeeping	2004	2005	2006
Professional category	N/A	29%	30%

8. Provide a breakdown of PKO staff on appointments of one year or less by appointment type.

As of 30 June 2006, 87 percent of staff in UN peace operations served on contracts of one year or less, as indicated in the table below:

Appointment Type	No. of Staff
Fixed-Term:	
One year or less	2,015
More than one year	463
Indefinite	8
Intermediate	1
Limited Duration	2,686
Long-term	1
Permanent	247
Probationary	1
Total	5422

Please note that this includes staff on assignment from Headquarters and other duty stations.

9. Provide a number of local and international staff in PKO. Provide a breakdown of international staff in PKO by category. [Japan]

Series	International						National	Grand Total
	Professional staff assignees	Professional staff appointees	GS and related assignees	Field Service appointees	Field Service Officers	Sub Total	National staff appointees	
100	236	716	432	1,047	303	2,734	4,091	6,825
200	2					2	0	2
300		1,323		1,363		2,686	6,296	8,982
Total	238	2,039	432	2,410	303	5,422	10,387	15,809

10. Provide information on stages of appeal. [Singapore]

The question was raised in the context of the termination of continuing appointments in the interest of the good administration of the Organization, which is addressed in paragraph 249 of document A/61/255. That paragraph relates to the procedure which would be followed **before** a decision to terminate the appointment has been taken, and provides for several important protections to ensure that the recommendation is:

- fully explained and documented by the head of department or office. This would require that the specific grounds justifying the recommendation are explained and supported by sufficient evidence, thus precluding vague recommendations which could not be properly reviewed;
- shared with the staff member concerned, together with the supporting documentation, to give the staff member the opportunity to correct any errors, and present his or her arguments, and to make sure that the case is fairly and fully presented;
- reviewed by the ASG/OHRM (not the head of department or office concerned), to provide an additional level of review and ensure that the record provides the necessary justifications before the decision is taken.

After the decision to terminate the appointment has been taken, it would - like any other administrative decision - be subject to the formal appeal process provided under Article XI of the Staff Regulations and Chapter 11 of the Staff Rules, including the provision for requesting a suspension of action in the Joint Appeals Board. The Joint Appeals Board would review the case and make a recommendation to the Secretary-General, who would make the decision. That decision could then be subject to appeal to the United Nations Administrative Tribunal.

**11. Provide the list of overrepresented countries for 1994 and 2006.
[USA]**

1994	2006
Algeria	Argentina
Argentina	Australia
Chile	Austria
Egypt	Belgium
Ethiopia	Bulgaria
Guyana	Cameroon
India	Canada
Jamaica	Chile
Lebanon	Egypt
Mexico	Ethiopia
Netherland	India
Peru	Italy
Philippines	Kenya
Russian Federation	New Zealand
Senegal	Nigeria
Thailand	Philippines
Trinidad and Tobago	Russian Federation
Tunisia	Sweden
United Republic of Tanzania	Uganda
Zaire	Ukraine
	Venezuela
Total: 20	Total: 21

**12. What was the compulsion or necessity to continue to recruit from already overrepresented countries? How did this situation happen where some countries have nationals three times higher than their upper limits?
[Bangladesh]**

The selection decision is taken by the Head of Department/Office, who is required to certify at the time of selection that the decision is based on the requirement of the Administrative Instruction ST/AI/2002/4, that "The candidates best suited for the functions are selected for vacancies in strict compliance with the requirements of the new system, having taken into account the Organization's human resources objectives and targets as reflected in the departmental human resources action plan, especially with regard to geography and gender, and after giving the fullest regard to candidates already in the service of the Organization". The Secretary-General intends to reinforce this policy by requiring Heads of Department to justify to and obtain approval from OHRM in cases where it is proposed to select an external candidate from an overrepresented Member State for a professional level post subject to geographical distribution.

A country becomes overrepresented when the number of staff who are its nationals exceeds the upper limit of its desirable range. This may happen due to several factors:

- (a) The appointment or separation of staff;
- (b) Adjustments of the desirable range because of an increase or decrease in the number of posts subject to geographical distribution;
- (c) Changes in the number of Member States;
- (d) Changes in the scale of assessments;
- (e) Changes in the population of Member States; and
- (f) Changes in the status of individual staff members (such as departure on secondment or special leave without pay, return from secondment or special leave or change in nationality).

In the case of one particular country whose nationals are three times higher in number than the upper limit of the desirable range, it should be noted that the scale of assessment of that country decreased drastically in 1991, from 9.99 per cent with the range of 137-185 to 1.1 per cent, which caused a corresponding decrease in its desirable range to 22-32 leading to overrepresentation. The number of nationals from the country at that time was 161. The number of staff with geographical appointments from that country currently stands at 97.

13. Provide information on any specific instance and measures taken so far with regard to the failure of programme managers to meet those targets? [Bangladesh]

The newly established Management Performance Board for the first time reviewed in July 2006 the progress of departments/offices in meeting their HRAP targets. This review was based on the mid-cycle performance (after one year). The Deputy Secretary-General in his capacity as Chairperson of the Management Performance Board, informed all heads of department/office that the Board will review the final results of each department and office and advise the Secretary-General on actions that may be required to ensure greater management accountability, and reminded that human resources management authority is delegated to heads of department/office in the interest of the Organization and can be withdrawn if this interest is no longer served. The Management Performance Board may consider such measures once the results for the whole cycle (two years) become available.

14. If you take a buyout package, can you come back as a consultant? [Jordan; Pakistan]

Staff separated in accordance with the provisions of the buyout programme would be precluded from employment with the United Nations, its subsidiary organs and programmes for a period of three years following separation, both as a staff members or a consultant/individual contractor.