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Agenda item 136

### Review of the efficiency of the administrative and financial functioning of the United Nations

## Eleventh progress report on accountability: strengthening accountability in the United Nations Secretariat\*

### Report of the Secretary-General

#### *Summary*

The Secretary-General has the honour to submit to the General Assembly the eleventh progress report on the accountability system in the United Nations Secretariat, as requested by the Assembly in its resolution [70/255](#).

The report provides an update on the efforts made to strengthen the accountability system of the United Nations Secretariat up to December 2021. Following the introduction in section I, progress made in the implementation of the accountability system of the Secretariat is provided in section II, which includes measures taken to enhance the culture of accountability in the Secretariat and to strengthen the Secretariat's accountability system under its six components. Sections III and IV contain the conclusion and recommendation to the General Assembly.

A summary of the status of implementation of General Assembly resolutions on administrative and budgetary matters adopted at the seventy-fifth session of the Assembly is outlined in annex I to the present document. Annex II contains a summary of the progress in the implementation of results-based management and annex III provides the cumulative rate of implementation of the Office of Internal Oversight Services and Board of Auditors recommendations issued since 2010 based on the most current data available.

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\* The progress reports on accountability are presented to Member States annually during the first resumed session of the General Assembly. They are intended to provide up-to-date and complete information on the actions undertaken by – and the achievements of – the Organization during the prior year, and on the way forward. The provision of the most updated and complete information to Member States requires the closing of the report at the latest possible date and the compilation of inputs from various areas throughout the Secretariat.



## **I. Introduction**

1. Since the General Assembly approved a definition of accountability in its resolution [64/259](#) and endorsed a framework proposed by the Secretary-General in 2010 for the accountability system of the United Nations ([A/64/640](#)), annual reports have been submitted to the Assembly on progress made towards strengthening the accountability system.
2. The implementation of the management reforms in the Secretariat has brought a renewed focus on accountability and, in its resolution [74/271](#), the General Assembly stressed that an effective accountability system was central to the successful management of the Organization.
3. The present report is intended to provide information on progress made in 2021 and on further improvements planned for the subsequent period.

## **II. Overview of the progress made in strengthening the accountability system in the Secretariat**

### **A. Measures taken to enhance the overall culture of accountability in the Secretariat**

4. The Secretary-General's new management paradigm placed the strengthening of accountability at the centre of two key commitments. The first was to give senior managers the full authority to deliver on their mandates, as long as they did so in a transparent, responsible and accountable manner. The second was a pledge to Member States that the Secretariat would be transparent, responsible and accountable in its stewardship of the resources of the Organization and in delivering on agreed mandates.
5. In his eighth progress report on the accountability system ([A/73/688](#) and [A/73/688/Corr.1](#)), the Secretary-General stated that management reform would be dependent on the Secretariat's ability to undertake a more structured and rigorous implementation of the accountability system than previously achieved, and that a culture shift of such significance could happen only over time.
6. Much has been achieved since then. The structural aspects of the reforms are now well consolidated, and, in addition to the improved strategies, policies, processes and management tools detailed throughout the present and prior reports, 2021 saw a renewed focus on instilling a culture of accountability for effective mandate delivery at all levels of the Secretariat:
  - (a) In 2021, the annual Leadership Dialogue focused on accountability. Initiated by the Secretary-General, the Dialogue led every team throughout the Secretariat to discuss the question: "The Accountability System in the United Nations Secretariat: How do we understand and make it work?". Some 40,000 United Nations personnel are expected to have participated and given feedback to the Ethics Office by the end of the year;
  - (b) The Business Transformation and Accountability Division of the Department of Management Strategy, Policy and Compliance released a handbook on the accountability system of the Secretariat. The handbook not only raises the awareness of staff of the existing accountability framework and mechanisms but also helps them understand their personal accountabilities, responsibilities and authorities;

(c) The “Values and Behaviours Framework”<sup>1</sup> was introduced in 2021 and forms the basis of an organizational culture that is both current and aspirational. Its nine elements, which are the result of a co-creation process involving nearly 4,500 staff, are intended to guide how relationships are built within the Organization, how staff members perform their jobs in an accountable way and how they experience the Organization on a daily basis;

(d) The Department of Operational Support has continued its efforts to enhance the performance of senior leadership. The Department provides organizational governance and resource stewardship training to heads of entities and their senior leadership team to improve their understanding of organizational governance, including ways to assure themselves and their stakeholders of their entity’s effectiveness.

### Progress made under each component of the accountability system

#### Accountability system of the United Nations Secretariat



<sup>a</sup> External oversight bodies that provide independent assurance to the General Assembly.

<sup>1</sup> See [https://i.unu.edu/media/unu.edu/page/24952/Values-and-Behaviours-Framework\\_Final.pdf](https://i.unu.edu/media/unu.edu/page/24952/Values-and-Behaviours-Framework_Final.pdf).

7. The progress made in the current reporting period and the steps envisaged to be taken going forward under each of the six components of the Secretariat's accountability system are recounted in the paragraphs below.

## **B. Component I: Charter of the United Nations**

8. The Charter of the United Nations enshrines the basic principles of the Organization and identifies its principal organs and their roles and responsibilities, and entrusts the Secretary-General with the implementation of the mandates promulgated by these organs.

9. In line with resolution [74/271](#) of the General Assembly, a brief analysis of the status of the implementation of Assembly resolutions pertaining to administrative and budgetary matters is included in annex I to the present report.

## **C. Component II: programme planning and budget documents**

### *Progress to date*

10. In response to General Assembly resolution [75/243](#) on programme planning, the Secretariat developed guidance and conducted 21 workshops related to the preparation of the programme budget that included approximately 1,500 staff across all programmes; the workshops also addressed the conclusions and recommendations of the Committee for Programme and Coordination.

11. The workshops addressed duplication and overlap in the planned results, thereby contributing to a comprehensive and distinct set of results. The programme plans for 2022 include approximately 1,400 planned results, an increase of approximately 350 compared with the preceding programme plans. The additional carry-forward results enhance the link between the preceding programme plans and the proposed future plans, with a view to ensuring consistency and continuity and allowing for enhanced oversight, transparency and accountability (in accordance with paragraphs 15 (d) and (f), respectively, of General Assembly resolution [74/251](#)).

12. The numbering of the expected results of the strategies provides greater clarity and increases the accessibility of the information. The 2022 programme plans enhance the quantification of the substantive, communication and enabling deliverables whenever practical, thus providing a sense of magnitude of the products and services planned to be delivered.

13. Furthermore, the proposed programme plans for 2022 (part II of the proposed programme budget) incorporate information related to modifications of planned activities and lessons learned associated with the coronavirus disease (COVID-19) pandemic, as well as adjustments and new activities to support Member States on issues related to COVID-19 at the programme and subprogramme levels. This is complemented by a comprehensive summary demonstrating the holistic response provided across the United Nations system.

14. The evaluation section includes planned evaluations and articulates how the programme has considered findings from recent evaluations, including adjustments to planned activities, thereby strengthening the link between lessons learned and the implementation of mandates.

15. The strategic management application suite dashboards enable programme managers to monitor and analyse plan implementation, including of deliverables, and the progress towards target performance measures and intended results. It enhances internal controls and allows for eventual course corrections and decision-making

informed by data. The United Nations Budget Results Dashboard ([results.un.org](https://results.un.org)), updated with all new results presented in the proposed programme budget for 2022, enables users to utilize its search function to enhance accessibility and transparency with regard to the results.

#### *Going forward*

16. For the next proposed programme budget, the Secretariat is following an approach similar to that of draft proposals in terms of format and presentation. Following the sixty-first session of the Committee for Programme and Coordination, the Secretariat held discussions with all regular budget entities on the outcome of the session and the lessons learned from the development of the programme plans. Further enhancements to the programme plans in response to General Assembly resolutions [74/251](#) and [75/243](#) will continue to be developed on a preliminary basis and may be subject to change, depending on the outcome of the deliberations of the General Assembly at the main part of its seventy-sixth session. In early 2022, the Secretariat intends to engage with the main groups of Member States on the format of the budget proposals.

## **D. Component III: results and performance**

### **(a) Organizational performance: strengthening the implementation of results-based management**

#### *Progress to date*

17. All efforts aimed at the implementation of results-based management in the Secretariat continue to be rooted in the United Nations programme, planning and budgeting documents, in accordance with the Secretary-General's bulletin entitled "Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation" ([ST/SGB/2018/3](#)) and resolution [55/231](#) concerning results-based budgeting. The most notable initiative has been the ongoing budget reform, as referenced in section II.C of the present report. Without prejudice to any decision that may be taken by the General Assembly with regard to the reform, within the context of the Secretariat regulatory framework, sector-specific tools to support results-based management have been developed and are being rolled out, including the Comprehensive Planning and Performance Assessment System and the United Nations Sustainable Development Cooperation Framework, which progressively inform the Secretariat's programme, planning, budgeting and reporting processes through a number of coordination mechanisms established for this purpose.

18. During the reporting period, the Secretariat continued to build the capacity of Secretariat staff in results-based management through training and guidance (see annex II, activities 5 and 6), emphasizing this management tool in some of the workshops referred to in paragraph 11 above, and holding workshops and webinars on the role of the peacekeeping support account in the budget formulation for the 2022/23 period that emphasized the need to demonstrate more impact-oriented results. Workshops and webinars were also held on the Comprehensive Planning and Performance Assessment System and the United Nations Sustainable Development Cooperation Framework. In addition, guidance on results-based management provides an overview of what this concept entails for the Secretariat and how it is implemented, and an online results-based management course has been made available through the leadership and management development training platform. The results-based management action plan activities listed in annex II are now all complete, except for an evaluation of the action plan (see annex II, activity 14).

19. The integrated planning, management and reporting solution is grounded in the principles of results-based management and provides a standardized tool for its institutionalization, and efforts continued to be made towards its mainstreaming and adaptation as required. The solution is currently being piloted in some missions to aid in the adaptation of its functionality. Results from this trial will inform the decision as to whether to increase its use for peacekeeping in future budget cycles.

20. Feedback from users is continuing to guide the improvements to the solution. For instance, managers who are accountable for programme delivery will have the ability to make evidence-based judgments on the extent of the contributions of their programme or project to various priorities of the Organization and record such information in the enterprise solution.

21. There are now 16 online courses on Umoja results-based management tools (the strategic management application suite and the integrated planning, management and reporting solution) available on the Secretariat's e-learning platform, iLearn, and as at 30 September 2021, approximately 1,512 individuals had completed at least one online course on the suite or the solution.

#### *Going forward*

22. The Secretariat will continue its efforts to strengthen results-based management by improving guidance and training, and by improving the results-based management online training course based on experience gained and feedback from staff.

23. The Secretariat will also continue its efforts towards achieving a greater alignment between the programme, planning, budgeting and reporting documents as established by the Secretariat's regulatory framework and the sector-specific tools for supporting results-based management that are being rolled out.

24. The Secretariat will lead the organization of the United Nations Strategic Planning Network<sup>2</sup> online annual workshop and speaker sessions.

25. The strategic planning, budgeting and performance management solution will continue to be enhanced to meet the Secretariat-wide range of planning and reporting requirements.

#### **(b) Organizational performance: towards an environmentally sustainable Secretariat**

##### *Progress to date*

26. The Secretariat continues to expand its efforts to achieve environmental sustainability. Total reported greenhouse gas emissions of the Secretariat have continued to decline. Achievements from the implementation of phase one of the environment strategy for peace operations (2017–2023) include site-level data gathering and analysis and improved risk management, including the elimination of significant wastewater risk in field missions.

27. Secretariat entities continued to strengthen policy and operational measures towards establishing and implementing environmental management systems. The Economic Commission for Africa (ECA) established a governance framework to support the implementation of the environmental management system. The Office of the United Nations High Commissioner for Human Rights established a new internal operational effectiveness action plan for sustainable environment management in 2021. The Economic and Social Commission for Western Asia (ESCWA) expects to obtain ISO 14001 and ISO 26000 certifications by the end of 2021. Similarly, the

<sup>2</sup> The United Nations Strategic Planning Network is a network of results-based management practitioners from across the United Nations system.

United Nations Office at Nairobi is pursuing ISO 14001 certification for its environmental management system.

28. The Economic and Social Commission for Asia and the Pacific (ESCAP) achieved significant progress in all the targeted areas, including using 100 per cent electricity sourced from renewable sources, recycling 71 per cent of its waste and making significant reductions in its energy use. Similarly, the United Nations Office at Vienna is being powered by 100 per cent renewable electricity. The United Nations Office at Nairobi began the construction of its first net-zero building, intended to produce as much energy as it consumes within a one-year period, with the support of solar photovoltaic systems. The Economic Commission for Latin America and the Caribbean (ECLAC) substantially reduced carbon emissions thanks to improvements in waste disposal and electricity reduction. Similar actions were taken by the United Nations Office at Geneva to strengthen waste management by banning single-use plastics and reducing water consumption through a new monitoring system and the replacement of equipment. ESCWA replaced the majority of its lighting fixtures with light emitting diode (LED) fixtures and presence sensors. The efforts at United Nations Headquarters in New York included the promotion of a plastic-free campus, waste-reduction efforts, the replacement of its lighting fixtures with LEDs and paperless working methods.

#### *Going forward*

29. The Department of Operational Support will continue to implement phase two of the environment strategy for peace operations (2017–2023). Secretariat entities will continue to implement environmental management systems by using advanced technologies. ECLAC will start the construction of its first net-zero building in Santiago in 2022, while ECA plans to raise environmental awareness among staff, establish waste management procedures and improve environmental monitoring. ESCAP plans to expand its environmental management system to its regional offices, and ESCWA will expand the applications of both ISO 14001 and ISO 26000.

### **(c) Organizational performance: data analytics**

#### *Progress to date*

30. In line with the Data Strategy of the Secretary-General for Action by Everyone, Everywhere, and his report entitled “Our common agenda” (A/75/982), the Secretariat is leveraging data as a strategic asset to improve organizational performance. The United Nations business intelligence project has enabled all entities to increasingly access accurate and timely data to support performance monitoring and evidence-based decision-making.

31. The concept of near “real-time” and quarterly snapshot data modelling was first introduced to enable enhanced reporting on the delegation of authority key performance indicators, as seen on the management dashboard. Other enhancements included an increase in the granularity of data sets, allowing managers to drill down and view the data behind the key performance indicators, and the roll-out of “alternate views”, which is a new feature developed to provide entities that are assigned multiple accountabilities and/or administrative responsibilities, such as service providers, with different ways to view their data.

32. To support managers in using the new tools, the Secretariat continued to conduct virtual briefings for all entities, each of which were attended by more than 100 staff members. In addition, targeted sessions carried out for each incoming head of entity added significant benefits.

*Going forward*

33. The United Nations business intelligence project will enhance the availability of real-time data and the comparison of trends. The management dashboard will continue to be expanded with additional data sets and data sources. A new e-performance reporting system will be deployed in line with the performance management system promulgated in 2021, and an application pipeline dashboard will be deployed to provide entities with the ability to monitor progress towards achieving mandated goals in areas such as equitable geographical representation and gender parity, and gain insight in those areas. The replacement of the current HR Insight portal servicing Member States will continue.

**(d) Senior managers' compacts***Progress to date*

34. The Secretariat continues to enhance the effectiveness of the senior managers' compacts as instruments of accountability. The 2020/21 compact performance assessment reports presented for the consideration of the Management Performance Board include indicator trends with added insights regarding performance. The template for the 2022 compacts is being revised to streamline the compacts, reflect the priorities of the Secretary-General and incorporate new quantitative indicators.

35. The expansion of the online Inspira-based platform to include compacts for managers at the Assistant Secretary-General level is scheduled for 2022. Other enhancements in the areas of user administration, compact workflow monitoring and the automatic generation of performance assessment documents were prioritized and are currently being tested.

36. The Management Performance Board met twice in 2021 and considered the performance of senior managers against each compact indicator. Following the meetings of the Board, the Chef de Cabinet, on behalf of the Secretary-General, sent each senior manager a letter advising them of any relevant systemic performance issues and highlighting performance measures that may require their attention.

*Going forward*

37. In January 2022, the revised compact template will be launched and the Business Transformation and Accountability Division will conduct workshops to support entities. The Division will continue to support the Management Performance Board with insights drawn from the increased use of data and trend analysis to assess the performance of senior managers.

**(e) Performance management system***Progress to date*

38. The performance management pilot launched by the Office of Human Resources in 2019 provided an opportunity to test agile performance management and reflect on staff feedback on a new approach to performance management. The pilot explored ways to increase feedback practices by: (a) encouraging ongoing conversations between first reporting officers and direct reports; and (b) implementing 360-degree feedback within teams. Overall, the results of the pilot demonstrated that there were promising trends towards potential growth and development as a result of the feedback practices. The pilot demonstrated that increased awareness and ease of receiving feedback about their performance had the potential to realize staff development opportunities.



39. The outcome of the pilot was reviewed in tandem with the Secretary-General's performance management reform agenda. Subsequently, performance management was enhanced by shifting it from a compliance-driven process to one focused on accountability for results, in order to foster a culture of ongoing dialogue between managers and staff and promote collaboration. The new approach, launched for use during the April 2021 to March 2022 cycle, in addition to streamlining the process for establishing workplans, encourages performance conversations between managers and staff and provides the opportunity for upward feedback using a multiple rating 360-degree feedback mechanism, initially applied to staff at the D-1 and D-2 levels.

40. The Organization is seeking to establish a culture of accountability and empowerment built on ongoing and meaningful performance conversations to help the Organization better deliver on its mission.

41. The Human Resources Services Division in the Office of Support Operations in the Department of Operational Support continued to provide guidance and support entities in the resolution of complex performance management queries, in particular regarding underperformance and termination for unsatisfactory performance. In its operational support function, the Division also continued to provide briefings and training to managers and rebuttal panels when Secretariat entities lacked the capacity to do so themselves.

## **E. Component IV: internal control systems**

### **1. Regulations, rules, manuals, administrative issuances and standard operating procedures**

#### *Progress to date*

42. There have been several enhancements to the United Nations Regulatory Framework Policy Portal – the public online repository of administrative policy documentation and resources that guide the administrative regulation of the United Nations Secretariat. Its content is organized according to the thematic areas of human resources, travel, health and well-being, procurement, finance and budget, information technology, property management, security and accountability. Improvements were made to the overall structure in order to enhance user experience, the look and feel of the site and search functionality. Specialized A to Z index and source views were added, as were a comprehensive archives section and integrated linkages to the internal-facing Knowledge Gateway for administrative and operational guidance. The enhancements replaced the legacy “HR Handbook”, reducing duplication and increasing effectiveness.

#### **(a) Human resources**

43. The Management Client Board continues to be an integral part of the policy simplification effort; the Board sets priorities and provides conceptual input to policies. Accordingly, resources are directed to work on those policies that have the most transformative value to the Organization.

#### **(b) Financial management**

44. Updates to Umoja user guides, quick reference sheets and frequently asked questions progressed and were made available on the Knowledge Gateway and linked to the client services catalogue to enable finance users to resolve issues more quickly. Guidance related to cash journals and accounts payable was published, and further improvements are planned. Computer-based training is being updated to allow staff easier access and decrease the overall requirement for instructor-led training courses.

45. Guidelines on the management of budgets and the administration of allotments in the context of the new delegated authority policy were issued in March 2021 to peacekeeping missions. The guidelines are intended to establish a budgetary discipline mechanism through the constant monitoring of budget utilization, especially in connection with financial year-end closing, oversight requirements, redeployment limitations and reporting requirements.

46. A group comprising subject matter experts from procurement, finance, human resources and ethics is working on the revision of the existing Secretary-General's bulletin on post-employment restrictions (ST/SGB/2006/15), to address the recommendations of the Office of Internal Oversight Services (OIOS) contained in its report on the audit of implementation of post-employment restrictions for staff involved in the procurement process (A/76/139).

*Going forward*

47. The Office of Programme Planning, Finance and Budget will continue to update the Umoja finance training and end user guidance documents and will publish them on the Knowledge Gateway. The Office intends to finalize the revision of the Secretary-General's bulletin on post-employment restrictions in 2022.

## **2. Staff engagement surveys**

*Progress to date*

48. On 1 December 2021, the Secretariat launched the third staff engagement survey to provide staff members with a venue for direct, open feedback on the Organization's management. Staff engagement leads to higher levels of performance and productivity, which in turn enhances the Organization's ability to achieve its objectives. The results of the survey will represent the perceptions of Secretariat staff, including the way in which they experience the Organization. Hearing the frank views of the staff on the state of the Organization enables the Organization's management to further calibrate the course as needed, with a view to making the Organization more effective and efficient.

*Going forward*

49. Once the survey process is completed, the Office of Human Resources will brief senior leadership on the results. Moreover, all heads of entities and their focal points will be able to access their entity-level reports through an electronic platform. Entities will be asked to develop a follow-up action plan to work on areas for improvement identified through the survey.

## **3. Implementing and supporting the new system of delegations of authority**

*Progress to date*

50. The draft revised policy on delegation of authority and the related delegation instrument is in the final stage of review, following extensive consultations held through a working group of the Management Client Board.

51. The improvement of the accountability framework for monitoring delegation of authority, based on 16 initial key performance indicators, was a priority during 2021. Following a review, out of the 16 key performance indicators, 2 were retained, some were enhanced and others were expanded, resulting in a total of 26 indicators to address risk areas such as the risk of incorrect utilization of fund commitments, the overuse of certain informal methods of solicitations and the risk of delays in the different steps of the recruitment process. The roll-out of 6 revised indicators was implemented in the fourth quarter of 2021. The remaining 18 revised indicators,

which are more technically complex to implement, are scheduled to be rolled out in 2022.

52. A prerequisite for the implementation of the expanded set of key performance indicators was the enhancement of the business data platform hosting the delegation of authority reporting, namely, the accountability indicator monitoring functionality on the management dashboard. The platform was enhanced to provide “real time” and “alternative” entity views for specific use, quarterly snapshot reports of key performance indicator data and an increased granularity of data sets.

53. In addition, the Business Transformation and Accountability Division worked with the Office of Information and Communications Technology on enhancements to the technical tools that underpin both the exercise of delegated authority by entities and its monitoring. A notable enhancement is a new feature to the delegation of authority portal that allows entities to record standing officer-in-charge arrangements for all officials who have accepted a delegation in the portal. This feature was introduced to ensure business continuity during the unexpected absence of a delegated official and to record the relevant actions taken by the officers-in-charge. The exception log was enhanced with two new dimensions: (a) the report of exceptions to administrative instructions in the area of human resources was automated to facilitate submission by entities and to eliminate potential errors while manually entering information on exceptions granted; and (b) exceptions for which the Assistant Secretary-General for Human Resources has been subdelegated authority can now be recorded in the human resources exception log, making it a single repository for all human resources-related exceptions and thus easing monitoring by the Department of Management Strategy, Policy and Compliance.

54. The 2019 accountability framework for monitoring the exercise of delegated decision-making authority was guided by the Secretary-General’s vision that the framework would follow the “plan-do-check-act” cycle and evolve. In the third year of supporting the delegation of authority framework, the Business Transformation and Accountability Division worked with stakeholders to develop an improvement plan, drawing on practical lessons learned from its experiences in monitoring, consultation with client entities and the availability of new tools. The plan includes the revised policy and expansion of existing monitoring activities discussed above, as well as the strengthening of response mechanisms in the event that delegations are not being appropriately exercised. Implementation started in the fourth quarter of 2021 and will be concluded in 2022.

#### *Going forward*

55. Some of the measures planned to be undertaken after 2021 include:

(a) Issuing the revised delegation of authority policy and revised delegation instrument;

(b) Enhancing the delegation of authority portal with a new automated subdelegation feature for streamlined subdelegation capabilities;

(c) Rolling out the rest of the expanded set of key performance indicators for monitoring the exercise of delegated authority;

(d) Strengthening response mechanisms in the event that delegations are not being appropriately exercised, which will facilitate stronger links between personal responsibility and the performance of managers.

#### **4. Guidelines for preparation of agreements with donors and implementing partners**

##### *Progress to date*

56. The Office of Programme Planning, Finance and Budget is enriching the guidelines on the engagement of implementing partners, to be issued in the first quarter of 2022. The guidelines will include key principles and standardized processes already embedded in the Umoja grantor management module. This module is used to transact with partners through the life cycle of project implementation. In December 2021, the Office finalized the update of a corporate template agreement with external partners that will be included as part of the guidelines. Further improvements in the management of implementing partners were made in August 2021, when the Secretariat joined the United Nations Partner Portal. The Partner Portal is an online platform that enables the due diligence screening of potential partners in a centralized, standardized and harmonized manner, eliminating duplication of effort for partners as well as for participating United Nations agencies. The Partner Portal ensures that partners go through a standardized vetting process, including the verification of their legal status and governance structure, and periodically performs automated screening against the Security Council sanctions list.

##### *Going forward*

57. The Office of Programme Planning, Finance and Budget will issue the enriched guidelines in the first quarter of 2022 and will continue to update the guidelines based on lessons learned and user feedback.

#### **5. Enterprise risk management system**

##### *Progress to date*

58. Following the approval in 2020 of the Secretariat-wide risk register by the Management Committee, the implementation of enterprise risk management continued to proceed at both Secretariat-wide and individual entity levels.

59. Eight Secretariat working groups, comprising subject matter experts from across the various functional areas of the Secretariat, were regularly convened to define the risk treatment and response plans for the most critical Organization-wide risks. The Management Committee endorsed the risk treatment and response plans in April 2021 and requested the Business Transformation and Accountability Division to continue to monitor their implementation, including the application of remedial measures within agreed timelines. The Management Committee was most recently briefed on the status of implementation in November 2021.

60. An entity-level enterprise risk management implementation plan was approved by the Management Committee in April 2021 to facilitate a structured and periodic evaluation of risks and control processes for entity-specific risk registers, and to align identified entity-level risks with the Secretariat-wide risk register. As a starting point, 57 entities were selected, based on their function, size, mandates, location and potential risk exposure, to facilitate a structured evaluation of risks and control processes and promote a risk-aware culture across the Organization. While 25 per cent of these entities completed their risk assessments by the end of 2020, as of mid-December 2021 a total of 27 entities (47 per cent of the total) had developed or updated their risk assessments.

61. An enterprise risk management application embedded in Umoja was launched in October 2021 in seven entities and, starting in January 2022, will be available to all entities that have developed or are in the process of developing their risk register.

62. Three workshops on enterprise risk management were conducted during the period, covering different types of Secretariat activities. As of mid-December 2021, 284 managers and staff members in the Secretariat had participated in the sessions held in 2021. A total of 2,069 staff members completed the online training programme on the fundamentals of enterprise risk management, and 57 completed the new online training course on advanced enterprise risk management, which was launched in 2021 to continue to develop a risk-aware culture at all levels of the Organization.

*Going forward*

63. The steps envisaged for 2022 include the following:

(a) The evolving Secretariat-wide risk profile will be monitored, and updates will be reported to the Management Committee;

(b) At the entity level, it is expected that 29 (50 per cent) of the selected Secretariat entities will have completed their risk assessments by the end of 2021, and 75 per cent by the end of 2022;

(c) The enterprise risk management application will be made available to all entities in January 2022 and will continue to be enhanced as part of the continuous improvement of Umoja.

## **6. Anti-fraud and anti-corruption framework of the United Nations**

*Progress to date*

64. A fraud and corruption risk assessment, conducted in 2019 as part of the overall Secretariat-wide risk assessment, highlighted the following six critical risks related to fraud and corruption: organizational culture; information and communications technology governance and cybersecurity; implementing partners; the Umoja system control environment; the theft of fuel, rations and inventory; and procurement fraud.

65. All issues related to the detailed examination of these fraud and corruption risks were discussed in the scope of the activities of the relevant enterprise risk management working groups. Proposed risk mitigation action plans were approved by the Management Committee.

66. A handbook on fraud and corruption awareness and an anti-fraud and anti-corruption strategy were developed to increase staff members' knowledge about how fraud and corruption could manifest in different processes and functions of the Secretariat, and to contribute to the consistent and transparent application of the United Nations policy of zero tolerance for fraud and corruption in the Organization. The final drafts of those documents are being reviewed for publication in early 2022.

67. The handbook also includes a wide range of examples of irregularities and red flags, along with specific case studies, to help staff members understand how the Organization is addressing fraud and to encourage personnel at all levels to participate actively in protecting the Organization's resources and reputation.

*Going forward*

68. The steps envisaged for 2022 include the following:

(a) The Secretariat will continue to monitor and regularly report to the Management Committee on the risk treatment and response plans for fraud and corruption risks;

(b) Outreach activities will be organized to raise awareness of the handbook on fraud and corruption awareness and of the anti-fraud and anti-corruption strategy.

## 7. Statement on internal control

### *Progress to date*

69. The first statement on internal control was signed by the Secretary-General in May 2021 and published on [reform.un.org](https://reform.un.org) in the six official languages of the United Nations. The conclusions and recommendations included in the statement were drawn from the responses provided by the heads of entities of the Secretariat to the self-assessment questionnaire on 2020 operations and key performance indicators, as well as from the recommendations of internal and external oversight bodies. While no significant control issues were found, opportunities for improvement were identified in six areas: the implementation of property management processes, relating to a lengthy property disposal process and a large quantity of unused property; the development and maintenance of risk registers approved by the risk management committee and/or head of entity; adherence to the policy of advance purchase of tickets; the implementation of human resources processes relating to talent acquisition and learning and skills development; the implementation of 10 principles on personal data protection and privacy; and the monitoring, evaluation and oversight of implementing partners. Entities developed and initiated the implementation of remediation plans to address the six weaknesses.

70. Based on best practices and lessons learned from the 2020 exercise, the 2021 risk control matrices were revised and completed by the entities during the second half of 2021. The self-assessment questionnaire was also revised and is planned to be circulated to heads of entities during the first quarter of 2022.

### *Going forward*

71. The strengthening and streamlining of the internal control framework of the Secretariat is an ongoing effort. The process leading up to the issuance of the statement on internal control for operations carried out in 2021 will mirror the process, methodology and timeline that led to the issuance of the statement on internal control for 2020.

## 8. Conduct and discipline

### *Progress to date*

72. Ensuring that appropriate actions are taken to prevent and address possible misconduct by Secretariat personnel remains an integral element of the compacts between the senior leadership of Secretariat entities and the Secretary-General. In fulfilling this objective, Secretariat entities are supported by conduct and discipline focal points or dedicated personnel, the latter of whom serve in larger field missions.

73. Prevention remains essential to ensuring that Secretariat personnel do not breach the United Nations standards of conduct. Prevention starts with the vetting of Secretariat personnel with regard to records of possible misconduct while in prior service. All personnel in field missions continue to be vetted. All personnel selected for positions across the Secretariat are screened through the ClearCheck database for possible history of misconduct related to sexual exploitation and abuse or sexual harassment while in service with any of the United Nations system's participating entities.

74. Training on the United Nations standards of conduct – which is mandatory for all staff members – continues to be provided to deploying peacekeepers. The “United to respect” training programme, designed to strengthen the implementation of the policy on the prohibition of discrimination and harassment, including sexual harassment and abuse of authority for all staff, has been fully rolled out to all Secretariat entities.

75. The other essential component to prevention is ensuring risk management with regard to possible misconduct by Secretariat personnel. To that end, the risk management toolkit, initially developed to address sexual exploitation and abuse, continues to be used by Secretariat entities to address all forms of misconduct, and support is provided on its effective use.

76. When, despite the Secretariat's efforts at prevention, possible misconduct is reported, such reports must be recorded, and appropriate actions, which also must be tracked and recorded, taken in response. Conduct and discipline focal points across the Secretariat now have access to an expanded case management tracking system, built on the Misconduct Tracking System previously used in field missions, to record and track allegations reported in their respective entities, from the point when a complaint of possible misconduct is received to the point where all required actions have been taken in response. A secure database to support work with regard to the implementation of Security Council resolution 2272 (2016) on sexual exploitation and abuse was also launched.

77. Accountability entails ensuring that victims of sexual exploitation and abuse by Secretariat personnel are assisted and supported as envisaged under General Assembly resolution 62/214, and are treated in accordance with the victim-centred approach adopted by the Secretary-General. To that effect, the victim assistance tracking system is used by field missions to maintain a record of victims of sexual exploitation and abuse and the assistance and support offered or provided to them.

78. With regard to the accountability of uniformed personnel deployed in field missions, partnership and cooperation with Member States remain essential. To that effect, and within the scope of the Action for Peacekeeping Plus initiative, a survey of good practices adopted by Member States in addressing the conduct of peacekeeping personnel was conducted, and examples of such good practices were discussed during a high-level meeting held in June 2021.

79. During the period from 1 July 2020 to 30 June 2021, a total of 113 cases were considered for disciplinary measures and, during the same period, 130 cases were received, as shown in tables 1 and 2 below.

Table 1  
**Disposition of cases completed between 1 July 2020 and 30 June 2021**

<i>Disposition</i>	<i>Number</i>
Dismissal	4
Separation from service, with notice or compensation in lieu of notice and with or without termination indemnity	24
Other disciplinary measures	14
Administrative measures	18
Closed with no measure	1
Not pursued as a disciplinary matter	15
Separation of the staff member prior to or after referral of the case to the Office of Human Resources prior to the completion of a disciplinary process	25
Other	7
<b>Total</b>	<b>108<sup>a</sup></b>

<sup>a</sup> This number reflects the closure of 113 cases. Two cases were closed by one disciplinary sanction imposed on two staff members, and five cases were closed by a separate action taken in relation to two staff members (three cases pertained to one staff member and two to the other).

Table 2  
**Cases received between 1 July 2020 and 30 June 2021, by type of misconduct**

<i>Type of misconduct</i>	<i>Number</i>
Abuse of authority/harassment/discrimination	20
Assault (verbal and physical)	7
Failure to honour private obligations	1
Inappropriate or disruptive behaviour	17
Misrepresentation and false certification	51
Misuse of information and communications technology resources/computer-related misconduct	2
Misuse of United Nations property or assets	3
Procurement irregularities	8
Sexual exploitation and abuse	10
Theft and misappropriation	2
Unauthorized outside activities and conflict of interest	8
Others	1
<b>Total</b>	<b>130</b>

### *Going forward*

80. The Office of Human Resources will continue to:

(a) Maintain oversight of the implementation of the standards of conduct applicable to all United Nations personnel across the Secretariat;

(b) Identify additional needs for training and awareness-raising towards the prevention of possible misconduct;

(c) Implement technical enhancements under development to enable automated vetting of personnel selected for positions in other Secretariat entities;

(d) Facilitate case management of allegations involving uniformed personnel in field missions, including the development of an additional module for the case management tracking system to enable Member States to access information and documents related to allegations involving their respective personnel;

(e) Engage with Member States to share good practices in addressing the conduct and discipline of peacekeepers.

## **9. Strengthening evaluation**

### *Progress to date*

81. The Secretariat-wide evaluation policy was published in August 2021 as an administrative instruction on evaluation ([ST/AI/2021/3](#)). Jointly prepared by OIOS and the Department of Management Strategy, Policy and Compliance, following extensive stakeholder consultation, the administrative instruction elaborates on the use of evaluation in the Secretariat as set out in article VII of the Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation ([ST/SGB/2018/3](#)). The administrative instruction and accompanying guidelines provide much-needed essential information relating to evaluations, including on topics such as governance arrangements, accountabilities and performance standards for Secretariat entities as



well as on the support available from OIOS and the Department of Management Strategy, Policy and Compliance.

82. In response to General Assembly resolution [74/271](#), OIOS and the Department of Management Strategy, Policy and Compliance have taken concrete action to enhance in-house capacity to conduct evaluations by:

(a) Conducting four group workshops, followed by separate consultations with individual entities, to advise Secretariat entities on implementing the new administrative instruction;

(b) Advising entities on how to incorporate specific references to lessons learned from evaluations into the programme planning documents;

(c) Maintaining a roster of evaluation consultants that is shared each month to support entities as needed. The roster currently contains 450 consultants, an increase of 200 compared with the prior period;

(d) Building an evaluation community of practice to foster peer-to-peer learning;

(e) Establishing the Evaluation Management Committee, a subcommittee of the Management Committee that provides advice and assurance to the Secretary-General on progress made in implementing the administrative instruction on evaluation;

(f) Launching an evaluation knowledge management platform containing evaluation resources, guidelines, tools, prior reports and an online help desk.

#### *Going forward*

83. The Secretariat will continue to mainstream evaluation over the coming period by:

(a) Continuing to provide advice and support to individual Secretariat entities;

(b) Offering an evaluation management training course, delivered in partnership with the United Nations System Staff College, from 2022 onward;

(c) Holding meetings of the Evaluation Management Committee twice a year and providing the Management Committee with the first annual review of progress in implementing the administrative instruction.

## **F. Component V: ethical standards and integrity**

### *Progress to date*

84. The Ethics Office continues to play an important role by administering its part of the protection against retaliation policy for reporting misconduct and for cooperating with duly authorized audits or investigations (see [ST/SGB/2017/2/Rev.1](#)). The actions taken by the Ethics Office in accordance with the protection against retaliation policy during the period from 1 January to 31 December 2020 are detailed in the relevant report of the Secretary-General (see [A/76/76](#)).

85. The Ethics Office continued to contribute to the strengthening of the organizational culture of ethics through outreach, training and educational activities. The Office collaborated with other offices in fulfilling its mandate of identifying and addressing ethics-related concerns. It held or was invited to participate in seven virtual town halls (some of which had more than 1,000 participants) and other large meetings. It shared annual broadcasts and iSeek articles on political activities, the financial disclosure programme and gifts received during the holiday period.

86. The mandatory online course on ethics and integrity at the United Nations – upgraded in collaboration with the United Nations Children’s Fund – was completed by 5,636 participants in 2020, bringing the cumulative total to 31,976. The mandatory e-learning course on preventing fraud and corruption at the United Nations had been completed by a cumulative total of 36,023 participants by the end of 2020. In addition, an accessibility update was also implemented for that course.

87. As indicated in paragraph 6 (a) above, to promote an Organization-wide understanding of accountability, the Ethics Office and the Business Transformation and Accountability Division developed the 2021 Leadership Dialogue on the topic of accountability in the United Nations Secretariat, which focused on how the General Assembly defines accountability for the Secretariat and what that means for staff members; the actions and items for which staff are accountable; the six components of the accountability system; why it is helpful to develop an understanding of each of the six components of the accountability system; and how each staff member should relate to the accountability system of the Secretariat.

*Going forward*

88. The Ethics Office will continue to:

- (a) Contribute to the strengthening of the organizational culture of ethics by enhancing outreach, training and educational activities based on lessons learned;
- (b) Enhance current online training programmes and seek to collaborate with other United Nations agencies;
- (c) Assist the Secretary-General in promoting the reporting of possible misconduct and wrongdoing by continuing to perform its assigned role under the protection against retaliation policy.

## **G. Component VI: oversight functions**

89. The Administration continues to work closely with the oversight bodies to use the lessons learned from their reports and implement their recommendations. An update of the status of implementation of the recommendations issued since 2010 is summarized in annex III to the present report.

*Progress to date*

### **(a) Office of Internal Oversight Services**

90. The following trends were noted in the implementation of recommendations issued by OIOS:

(a) During the period from January 2010 to June 2021, of a total of 12,075 recommendations, 11,139 recommendations (92.2 per cent) had been either implemented or closed and 936 (8.8 per cent) of recommendations remained under implementation; in comparison, during the period from January 2010 to June 2020, of a total of 11,179 recommendations, 10,003 recommendations (89.5 per cent) had been either implemented or closed and 1,176 (10.5 per cent) of recommendations remained under implementation;

(b) Of a total of 1,202 critical recommendations, 1,188 recommendations (99 per cent) had been either implemented, reclassified or closed and 14 (1 per cent) of the critical recommendations remained under implementation; in comparison, during the period from January 2010 to June 2020, of a total of 1,195 critical recommendations, 1,159 recommendations (97 per cent) had been either implemented

or closed and 36 (3 per cent) of the critical recommendations remained under implementation.

**(b) Board of Auditors**

91. In respect of recommendations issued by the Board of Auditors relating to volumes I and II of the financial reports and audited financial statements of the United Nations, the following trends were noted for the period from 2010 to 2020:

(a) Of a total of 1,397 recommendation, 1,019 recommendations (73 per cent) had been either implemented, closed or overtaken by events;

(b) A total of 378 recommendations (27 per cent) remained under implementation.

**(c) Joint Inspection Unit**

92. In respect of recommendations issued by the Joint Inspection Unit, the following aggregate status, as at 8 November 2021, can be reported for the period from 2011 to 2020: the rate of accepted recommendations by the Secretariat was 62.2 per cent, while the rate of implementation of accepted recommendations was 85.5 per cent. There was a small decrease in relation to the aggregate status of recommendations of the Joint Inspection Unit: during the period from 2010 to 2019, the rate of accepted recommendations by the Secretariat was 66.8 per cent, while the rate of implementation of accepted recommendations was 85.9 per cent.

93. Those rates may not, however, reflect the actual status of acceptance and implementation by the Secretariat of the recommendations of the Joint Inspection Unit, as some recommendations, although addressed either to the General Assembly or to the Secretary-General as Chair of the United Nations System Chief Executives Board for Coordination, are counted by the Joint Inspection Unit as recommendations addressed to the Secretariat.

*Using the findings and recommendations of oversight bodies*

94. As noted in the tenth progress report on accountability ([A/75/686](#)), the Administration has conducted an analysis of the recommendations contained in the Board of Auditors reports on the United Nations (volume I) and United Nations peacekeeping operations (volume II) over a 10-year period.

95. To address long-standing recommendations, the Board of Auditors and the Administration conducted a joint review of older extant recommendations. This case-by-case assessment of the continuing appropriateness of prior-period recommendations resulted in the Board closing a significant number of recommendations.

96. For instance, in annex I to chapter II of its report on the United Nations for the year ended 31 December 2020 ([A/76/5 \(Vol. I\)](#)), the Board of Auditors provided a summary of the status of implementation, as of December 2020, of its 279 extant recommendations relating to nine prior financial periods up to 31 December 2019, where 96 recommendations (34 per cent) had been assessed as fully implemented and an additional 31 (11 per cent) had been assessed as having been overtaken by events, leading to the closure of 45 per cent of extant recommendations.

97. The Administration has continued to work closely with OIOS, which is finalizing an independent evaluation of the accountability system. The evaluation will advise on the extent to which the accountability system is relevant, efficient and effective in ensuring that the Secretariat: (a) fully implements all mandates approved by the intergovernmental bodies and subsidiary organs; and (b) produces high-quality

results in a timely and efficient manner. The results will be shared with the relevant Secretariat entities in the first quarter of 2022.

*Going forward*

98. In addition to providing the usual support to the oversight bodies and to Secretariat entities, the Business Transformation and Accountability Division will incorporate into the management dashboard information on the status of implementation of the recommendations of oversight bodies to facilitate its monitoring.

99. The Administration will continue to consult with all relevant parties to provide the Board of Auditors with evidence that prior-period recommendations have been either implemented or overtaken by events.

100. The Administration will consider the lessons from the independent evaluation of OIOS to identify opportunities to further strengthen the accountability system going forward.

### **III. Conclusion**

101. In 2021, the world was faced with global challenges that required a robust and holistic response from the United Nations, which included a pivot to new ways of working. An important enabler of this response was the embedding of the improvements introduced by the new management paradigm into the Organization's structure, policies, processes, procedures and culture. While the progress made towards building a more accountable and efficient United Nations was significant, the Secretariat is cognizant that more remains to be done and is committed to continuing this important work.

### **IV. Recommendation**

**102. The General Assembly is requested to take note of the progress made and the plans to continue to strengthen the Secretariat's accountability system and culture of accountability, as described in the present report.**

## Annex I

## Summary of the status of implementation of resolutions on administrative and budgetary matters<sup>1</sup> adopted by the General Assembly at its seventy-fifth session

<i>Agenda item</i>	<i>Resolution</i>	<i>Reports submitted or other action taken by the Secretariat pursuant to resolution</i>	<i>Summary of content of the report or any other action taken, reflecting compliance with the resolution</i>
138. Financial reports and audited financial statements, and reports of the Board of Auditors	<a href="#">75/242</a> A: Financial reports and audited financial statements, and reports of the Board of Auditors	<a href="#">A/76/307</a> and <a href="#">A/76/307/Add.1</a>	In the reports, the Secretary-General provided the Administration's comments and information on the status of implementation, the department responsible, the estimated completion date and the priority of each outstanding recommendation contained in the reports of the Board of Auditors on the United Nations and its funds and programmes
138. Financial reports and audited financial statements, and reports of the Board of Auditors	<a href="#">75/242</a> B: Financial reports and audited financial statements, and reports of the Board of Auditors	To be submitted during the second resumed part of the seventy-sixth session of the General Assembly	Not applicable
141. Proposed programme budget for 2021	<a href="#">75/252</a> : Questions relating to the proposed programme budget for 2021	Proposed programme budget for 2022	In the proposed programme budget, information is presented in line with the requests of the General Assembly, including information on the management of the liquidity situation, indicative estimates for major construction projects and the financial and human resources implications of the use of extrabudgetary resources
141. Proposed programme budget for 2021	<a href="#">75/253</a> A: Special subjects relating to the proposed programme budget for 2021:  Request for a subvention to the United Nations Institute for Disarmament Research resulting from the recommendations of the Board of Trustees of the Institute on the work programme of the Institute for 2021	<a href="#">A/76/6 (Sect. 4)</a>	In the report, a subvention in the amount of \$645,600 to the United Nations Institute for Disarmament Research is proposed under section 4, Disarmament

<sup>1</sup> Questions deferred for future consideration are not included.

Agenda item	Resolution	Reports submitted or other action taken by the Secretariat pursuant to resolution	Summary of content of the report or any other action taken, reflecting compliance with the resolution
141. Proposed programme budget for 2021	75/253 A: Special subjects relating to the proposed programme budget for 2021: Revised estimates resulting from resolutions and decisions adopted by the Economic and Social Council at its 2020 session	No report was required to be submitted	The report of the Secretary-General submitted in 2020 (A/75/333) covered the requirements resulting from resolutions and decisions adopted by the Economic and Social Council at its 2020 session
141. Proposed programme budget for 2021	75/253 A: Special subjects relating to the proposed programme budget for 2021: Revised estimates resulting from resolutions and decisions adopted by the Economic and Social Council at its 2021 session	A/76/303	In the report, the Secretary-General provided information on the budgetary impact arising from resolutions and decisions adopted by the Economic and Social Council at its 2021 session. In this context, he provided information related to Council resolutions 2021/18, entitled “Ad Hoc Advisory Group on Haiti”, and 2021/31, entitled “Follow-up to the Regional Agreement on Access to Information, Public Participation and Justice in Environmental Matters in Latin America and the Caribbean”. The related requirements for 2022 under resolution 2021/18, amounting to \$47,900, would be accommodated within the overall resources that would be made available for section 9, Economic and social affairs, of the proposed programme budget for 2022. The additional costs relating to resolution 2021/31, amounting to \$500,400, would require an additional appropriation of \$454,300 under section 21, Economic and social development in Latin America and the Caribbean, and \$46,100 under section 36, Staff assessment, over and above the level of the proposed programme budget for 2022

<i>Agenda item</i>	<i>Resolution</i>	<i>Reports submitted or other action taken by the Secretariat pursuant to resolution</i>	<i>Summary of content of the report or any other action taken, reflecting compliance with the resolution</i>
141. Proposed programme budget for 2021	<a href="#">75/253</a> A: Special subjects relating to the proposed programme budget for 2021: Revised estimates resulting from resolutions and decisions adopted by the General Assembly at its seventy-fourth session	<a href="#">A/75/556</a>	In the report, the Secretary-General requested approval of the amount of \$1,590,700 for the budgetary impact arising from resolutions and decisions adopted by the General Assembly at its seventy-fourth session for 2021. The budgetary impact arose from the adoption by the Assembly of decisions 74/550 B and 74/567
141. Proposed programme budget for 2021	<a href="#">75/253</a> A: Special subjects relating to the proposed programme budget for 2021: Enterprise resource planning project, Umoja	<a href="#">A/76/386</a>	In the report, the Secretary-General provided a summary of achievements of the Umoja project and the Enterprise Resource Planning Solution Division, as well as information on the resources requested and the plans for the Division for 2022
141. Proposed programme budget for 2021	<a href="#">75/253</a> A: Special subjects relating to the proposed programme budget for 2021: Administrative and financial implications of the decisions and recommendations contained in the report of the International Civil Service Commission for 2020	No action requested by the General Assembly	Not applicable
141. Proposed programme budget for 2021	<a href="#">75/253</a> A: Special subjects relating to the proposed programme budget for 2021: Revised estimates resulting from resolutions and decisions adopted by the Human Rights Council at its forty-third, forty-fourth and forty-fifth sessions and revised estimates resulting from decision OS/14/101, adopted at the organizational session for the fifteenth cycle of the Human Rights Council	<a href="#">A/76/524</a>	In the report, the Secretary-General provided information on the budgetary impact arising from resolutions and decisions adopted by the Human Rights Council in 2021, during its forty-sixth, forty-seventh and forty-eighth regular sessions and its thirtieth, thirty-first and thirty-second special sessions. He also requested approval of an additional amount of \$29,859,400 for 2022

Agenda item	Resolution	Reports submitted or other action taken by the Secretariat pursuant to resolution	Summary of content of the report or any other action taken, reflecting compliance with the resolution
141. Proposed programme budget for 2021	75/253 A: Special subjects relating to the proposed programme budget for 2021: Revised estimates relating to the proposed programme budget for 2021 under section 27, Humanitarian assistance, and section 36, Staff assessment, for the United Nations Monitoring Mechanism for the Syrian Arab Republic	No action requested by the General Assembly	Not applicable
141. Proposed programme budget for 2021	75/253 A: Special subjects relating to the proposed programme budget for 2021: Strategic heritage plan of the United Nations Office at Geneva	A/76/350	In the report, the Secretary-General provided details on the financial status of the project as at 31 July 2021 and an update on the activities undertaken since the seventh annual progress report (A/75/355). He provided the further information requested by the General Assembly in its resolution 75/253 A and previous related resolutions and provided updated information on the considerable project progress made during the reporting period, the ongoing impact of the coronavirus disease (COVID-19) pandemic and mitigation strategies, cost and schedule estimates, possible schemes of assessment, donations and alternative funding mechanisms. The report covered the period from 1 September 2020 to 31 August 2021
141. Proposed programme budget for 2021	75/253 A: Special subjects relating to the proposed programme budget for 2021: Progress in the renovation of Africa Hall at the Economic Commission for Africa in Addis Ababa	A/76/308	In the report, the Secretary-General provided an update on the project since the issuance of his previous progress report (A/75/319), including on design development, procurement activities, project governance, risk management, progress in construction and the status of voluntary contributions. He also provided an updated project schedule and a revised cost plan



<i>Agenda item</i>	<i>Resolution</i>	<i>Reports submitted or other action taken by the Secretariat pursuant to resolution</i>	<i>Summary of content of the report or any other action taken, reflecting compliance with the resolution</i>
141. Proposed programme budget for 2021	<a href="#">75/253</a> A: Special subjects relating to the proposed programme budget for 2021: Progress on the renovation of the North Building at the Economic Commission for Latin America and the Caribbean in Santiago	<a href="#">A/76/323</a>	In the report, the Secretary-General provided an update on the project since the issuance of his previous progress report ( <a href="#">A/75/347</a> ), including information on services performed by the lead consulting firm on the final design of the project, which allows for the inclusion of persons with disabilities, on risk management and mitigation measures, on sustainability and energy efficiency updates and on procurement activities related to the construction contract tendering process for the construction phase of the “net zero” building
141. Proposed programme budget for 2021	<a href="#">75/253</a> A: Special subjects relating to the proposed programme budget for 2021: Seismic mitigation retrofit and life-cycle replacements project at the Economic and Social Commission for Asia and the Pacific premises in Bangkok	<a href="#">A/76/313</a>	In the report, the Secretary-General provided an update on progress made on the project since his previous report ( <a href="#">A/75/235</a> ) and outlined the activities undertaken, including key procurement activities, change management and business readiness, the construction of on-site swing space facilities and the moving of occupants prior to the start of construction
141. Proposed programme budget for 2021	<a href="#">75/253</a> A: Special subjects relating to the proposed programme budget for 2021: Progress on the implementation of a flexible workplace at United Nations Headquarters	Scheduled for the first part of the resumed seventy-sixth session of the General Assembly	
141. Proposed programme budget for 2021	<a href="#">75/253</a> A: Special subjects relating to the proposed programme budget for 2021: Progress on the replacement of office blocks A to J at the United Nations Office at Nairobi	<a href="#">A/76/330</a>	In the report, the Secretary-General provided information on progress made since the issuance of his previous report ( <a href="#">A/75/331</a> ) and as requested by the General Assembly in its resolution <a href="#">75/253</a> . He updated information on the project’s full scope, maximum overall cost and implementation strategy, as well as information related to the improved utilization of existing office space through the

Agenda item	Resolution	Reports submitted or other action taken by the Secretariat pursuant to resolution	Summary of content of the report or any other action taken, reflecting compliance with the resolution
			implementation of flexible workplace strategies on the basis of lessons learned thus far from the pilot project of office block V, which was scheduled for completion in September 2021
141. Proposed programme budget for 2021	75/253 A: Special subjects relating to the proposed programme budget for 2021: Global service delivery model for the United Nations Secretariat	No action requested by the General Assembly	Not applicable
141. Proposed programme budget for 2021	75/253 A: Special subjects relating to the proposed programme budget for 2021: Request for a subvention to the Residual Special Court for Sierra Leone	A/76/329	In the report, the Secretary-General addressed the use of a commitment authority authorized by the General Assembly to enter into commitments in an amount not to exceed \$2,537,000 to supplement the voluntary financial resources of the Residual Special Court for Sierra Leone for the period from 1 January to 31 December 2021. The report also contained a request for a subvention in the amount of \$2,919,300 to enable the Court to continue to carry out its mandate in 2022
141. Proposed programme budget for 2021	75/253 A: Special subjects relating to the proposed programme budget for 2021: International Trade Centre	A/76/6 (Sect. 13)	Not applicable
141. Proposed programme budget for 2021	75/253 A: Special subjects relating to the proposed programme budget for 2021: Estimates in respect of special political missions, good offices and other political initiatives authorized by the General Assembly and/or the Security Council	A/76/6 (Sect. 3)/Add.1, A/76/6 (Sect. 3)/Add.2, A/76/6 (Sect. 3)/Add.3, A/76/6 (Sect. 3)/Add.4, A/76/6 (Sect. 3)/Add.5, A/76/6 (Sect. 3)/Add.6 and A/76/6 (Sect. 3)/Add.7	Addendum 1: in the report, the Secretary-General requested the General Assembly to approve the overall proposed resource requirements for 2022 in the amount of \$730,666,300 for 38 special political missions authorized by the Assembly and/or the Security Council
			Addendum 2: in the report, the Secretary-General requested the Assembly to approve the overall proposed resource requirements for 2022 in the amount of \$50,739,800 for 10 special political missions grouped under

<i>Agenda item</i>	<i>Resolution</i>	<i>Reports submitted or other action taken by the Secretariat pursuant to resolution</i>	<i>Summary of content of the report or any other action taken, reflecting compliance with the resolution</i>
			<p>the thematic cluster of special and personal envoys, advisers and representatives of the Secretary-General</p> <p>Addendum 3: in the report, the Secretary-General requested the Assembly to approve the overall proposed resource requirements for 2022 in the amount of \$61,926,500 for 15 special political missions grouped under the thematic cluster of sanctions monitoring teams, groups and panels, and other entities and mechanisms</p> <p>Addendum 4: in the report, the Secretary-General requested the Assembly to approve the overall proposed resource requirements for 2022 in the amount of \$382,938,900 for 11 special political missions grouped under the thematic cluster of regional offices, offices in support of political processes and other missions</p> <p>Addendum 5: in the report, the Secretary-General requested the Assembly to approve the overall proposed resource requirements for 2022 in the amount of \$135,139,200 for the United Nations Assistance Mission in Afghanistan</p> <p>Addendum 6: in the report, the Secretary-General requested the Assembly to approve the overall proposed resource requirements for 2022 in the amount of \$98,179,700 for the United Nations Assistance Mission for Iraq</p> <p>Addendum 7: in the report, the Secretary-General requested the Assembly to approve an amount of \$19,670,300 for the United Nations Verification Mission in Colombia and the United Nations Integrated Transition</p>

Agenda item	Resolution	Reports submitted or other action taken by the Secretariat pursuant to resolution	Summary of content of the report or any other action taken, reflecting compliance with the resolution
141. Proposed programme budget for 2021	75/253 A: Special subjects relating to the proposed programme budget for 2021: Revised estimates relating to the proposed programme budget for 2021 under section 11, United Nations support for the New Partnership for Africa's Development, and section 36, Staff assessment, for the Office of the Special Adviser on Africa	A/76/6 (Sect. 11)	Assistance Mission in the Sudan following the expansion and prioritization of mandates by the Council in its resolutions 2574 (2021) and 2579 (2021), respectively, for 2022  In the report, the Secretary-General presents as part of the proposed programme budget for 2022 a revised proposal with programmatic narratives and the structure of the Office of the Special Adviser on Africa, including resource requirements
141. Proposed programme budget for 2021	75/253 A: Special subjects relating to the proposed programme budget for 2021: Request for a subvention to the Extraordinary Chambers in the Courts of Cambodia	A/76/331	In the report, the Secretary-General addressed the use of a commitment authority authorized by the General Assembly to enter into commitments in an amount not to exceed \$7 million to supplement the voluntary financial resources of the international component of the Extraordinary Chambers for the period from 1 January to 31 December 2021. The report also contained a request for a subvention in the amount of \$7.5 million for the international component of the Extraordinary Chambers for 2022
141. Proposed programme budget for 2021	75/253 A: Special subjects relating to the proposed programme budget for 2021: Gross jointly financed budget of the Joint Inspection Unit	No action requested by the General Assembly	Not applicable
141. Proposed programme budget for 2021	75/253 A: Special subjects relating to the proposed programme budget for 2021: Gross jointly financed budget of the International Civil Service Commission	No action requested by the General Assembly	Not applicable

<i>Agenda item</i>	<i>Resolution</i>	<i>Reports submitted or other action taken by the Secretariat pursuant to resolution</i>	<i>Summary of content of the report or any other action taken, reflecting compliance with the resolution</i>
141. Proposed programme budget for 2021	<a href="#">75/253</a> A: Special subjects relating to the proposed programme budget for 2021: Gross jointly financed budget of the United Nations System Chief Executives Board for Coordination	No action requested by the General Assembly	Not applicable
141. Proposed programme budget for 2021	<a href="#">75/253</a> A: Special subjects relating to the proposed programme budget for 2021: Gross jointly financed budget of the Department of Safety and Security	No action requested by the General Assembly	Not applicable
141. Proposed programme budget for 2021	<a href="#">75/253</a> A: Special subjects relating to the proposed programme budget for 2021: Effects of changes in rates of exchange and inflation	<a href="#">A/76/593</a>	Not applicable
141. Proposed programme budget for 2021	<a href="#">75/253</a> A: Special subjects relating to the proposed programme budget for 2021: Contingency fund	<a href="#">A/C.5/76/22</a>	Not applicable
141. Proposed programme budget for 2021	<a href="#">75/253</a> B: Special subjects relating to the programme budget for 2021: Revised estimates resulting from resolutions and decisions adopted by the Human Rights Council	<a href="#">A/76/6 (Sect. 2)</a>	In the report, information is presented in line with the requests of the General Assembly, indicating that the proposed level of resources provides for the full, efficient and effective implementation of mandates, including the provision of interpretation. A breakdown of financial resources incurred in 2020 is also presented, as well those proposed for 2022 for the subprogramme responsible for the provision of interpretation. Other costs related to resolution <a href="#">75/253</a> B will be provided for as necessary and reported on in aggregate, as required under the current financial framework, including in the context of the next performance report

Agenda item	Resolution	Reports submitted or other action taken by the Secretariat pursuant to resolution	Summary of content of the report or any other action taken, reflecting compliance with the resolution
141. Proposed programme budget for 2021	75/253 B: Special subjects relating to the programme budget for 2021: Conditions of service and compensation for officials other than Secretariat officials	<a href="#">A/76/340</a>	In the report, the Secretary-General provided an update on the review of the conditions of service and compensation of the full-time members of the International Civil Service Commission and of the Chair of the Advisory Committee on Administrative and Budgetary Questions. No change to the compensation level or other conditions of service were proposed. The General Assembly was invited to take note of the report
141. Proposed programme budget for 2021	75/253 B: Special subjects relating to the programme budget for 2021: Addressing the deteriorating conditions and limited capacity of the conference services facilities at the United Nations Office at Nairobi	<a href="#">A/76/400</a> and <a href="#">A/76/400/Corr.1</a>	In the report, the Secretary-General provided an update on work undertaken since April 2021, following the issuance of his previous report ( <a href="#">A/75/716</a> ). The United Nations Office at Nairobi hired a consultancy firm, which successfully concluded a comprehensive review of the cost estimates for the two scalable options for renovation and expansion of the conference facilities, options A and B, presented in the previous report and prepared a proposed project implementation strategy. Options A and B partially and fully, respectively, met the additional capacity requirements of the conference facilities at the Office. Option B, which includes the renovation of the existing conference facilities, the construction of a new plenary hall and the construction of a multifunctional annex, was recommended for implementation
141. Proposed programme budget for 2021	75/253 B: Special subjects relating to the programme budget for 2021: Request for a subvention to the Special Tribunal for Lebanon	<a href="#">A/76/522</a>	In the report, the Secretary-General provided information on the financial situation and the use of the subvention for 2021 and sought the approval of the General Assembly for an appropriation for a subvention for the Tribunal in the amount of \$8.3 million for 2022

<i>Agenda item</i>	<i>Resolution</i>	<i>Reports submitted or other action taken by the Secretariat pursuant to resolution</i>	<i>Summary of content of the report or any other action taken, reflecting compliance with the resolution</i>
141. Proposed programme budget for 2021	<a href="#">75/253 B</a> : Special subjects relating to the programme budget for 2021: Standards of accommodation for air travel	Scheduled for the seventy-seventh session of the General Assembly	Not applicable
141. Proposed programme budget for 2021	<a href="#">75/253 C</a> : Special subjects relating to the programme budget for 2021: Revised estimates resulting from resolutions and decisions adopted by the General Assembly at its seventy-fifth session	No action requested by the General Assembly	Not applicable
141. Proposed programme budget for 2021	<a href="#">75/253 C</a> : Special subjects relating to the programme budget for 2021: Progress on the implementation of a flexible workplace at United Nations Headquarters	Requested for the seventy-eighth session of the General Assembly	Not applicable
141. Proposed programme budget for 2021	<a href="#">75/254 A to C</a> : Programme budget for 2021	<a href="#">A/76/6 (Introduction)</a>	Not applicable
141. Proposed programme budget for 2021	<a href="#">75/255</a> : Unforeseen and extraordinary expenses for 2021	Not applicable	Not applicable
141. Proposed programme budget for 2021	<a href="#">75/256</a> : Working Capital Fund for 2021	Not applicable	Not applicable
142. Programme planning	<a href="#">75/243</a> : Programme planning	<a href="#">A/75/6/Add.1</a>	The report contains the programme plans for each of the 28 programmes under the regular budget, as approved by the General Assembly in resolution <a href="#">75/243</a>
144. Pattern of conferences	<a href="#">75/244</a> : Pattern of conferences	<a href="#">A/76/80</a>	In the report, the Secretary-General responded to relevant General Assembly mandates and provided information on the pattern of conferences in New York, Geneva, Vienna and Nairobi in 2020. He noted the immediate response of the Department for General Assembly and Conference Management to the challenges posed by the

Agenda item	Resolution	Reports submitted or other action taken by the Secretariat pursuant to resolution	Summary of content of the report or any other action taken, reflecting compliance with the resolution
145. Scale of assessments for the apportionment of the expenses of the United Nations	75/2: Scale of assessments for the apportionment of the expenses of the United Nations: requests under Article 19 of the Charter	A/76/383	<p>outbreak of the COVID-19 pandemic. This included transitioning to a business continuity mode, in particular fully remote operations that enabled the seamless continuation of the work of all conference operations. While the translation services were able to switch to remote operations immediately thanks to the information and communications technology tools that they already had, the interpretation services engaged in the testing and procurement of remote simultaneous interpretation platforms. Once procured and implemented, the new platforms enabled meetings management teams to start to programme and plan virtual and hybrid meetings. The smooth transition was made possible by the Department's long-standing commitment to innovation and its policy of investing in and developing state-of-the-art, web-based technology. Consequently, the Secretariat's key performance indicators for conference management declined only slightly in 2020</p> <p>Not applicable</p>
146. Human resources management	75/292: Seconded active-duty military and police personnel	<p>Report scheduled for the seventy-eighth session of the General Assembly. In addition, an informal briefing on the status of and the initial findings relating to the implementation of bilateral agreements and progress in the preparation of the analysis and</p>	Not applicable



<i>Agenda item</i>	<i>Resolution</i>	<i>Reports submitted or other action taken by the Secretariat pursuant to resolution</i>	<i>Summary of content of the report or any other action taken, reflecting compliance with the resolution</i>
		assessment of options and combinations of options to be outlined in the report of the Secretary-General is requested for the first part of the resumed seventy-seventh session of the Assembly	
147. Joint Inspection Unit	<a href="#">75/270</a> : Joint Inspection Unit	No action required to be taken by the Secretariat	Not applicable
148. United Nations common system	<a href="#">75/245</a> B: United Nations common system	An informal briefing was requested for the main part of the seventy-sixth session of the General Assembly. A report is requested for the seventy-seventh session of the Assembly	An informal briefing on the status of progress in the preparation of the report on the jurisdictional set-up of the United Nations common system was provided to the Fifth Committee on 3 December 2021
151. Report on the activities of the Office of Internal Oversight Services	<a href="#">75/247</a> : Report on the activities of the Office of Internal Oversight Services	<a href="#">A/76/281 (Part I)</a> , <a href="#">A/76/281 (Part I)/Add.1</a> and <a href="#">A/75/301 (Part II)</a>	In the report, the Office of Internal Oversight Services provided information on its activities during the reporting period from 1 July 2020 to 30 June 2021 (Part I) and during the reporting period from 1 January to 31 December 2020 (Part II)
152. Administration of justice at the United Nations	<a href="#">75/248</a> : Administration of justice at the United Nations	<a href="#">A/76/99</a>	In the report, the Secretary-General provided information on the functioning of the system of administration of justice for 2020 and offered observations with respect thereto. The report also included a consolidated response to requests made by the General Assembly in its resolution <a href="#">75/248</a>
153. Financing of the International Residual Mechanism for Criminal Tribunals	<a href="#">75/249</a> : Financing of International Residual Mechanism for Criminal Tribunals	<a href="#">A/76/411</a>	In the report, the Secretary-General proposed an amount of \$93,970,300, before recosting, to be appropriated for the International Residual Mechanism for Criminal Tribunals for 2022

<i>Agenda item</i>	<i>Resolution</i>	<i>Reports submitted or other action taken by the Secretariat pursuant to resolution</i>	<i>Summary of content of the report or any other action taken, reflecting compliance with the resolution</i>
154. Administrative and budgetary aspects of the financing of the United Nations peacekeeping operations	<a href="#">75/293</a> : Support account for peacekeeping operations	To be submitted at the second part of the resumed seventy-sixth session	Not applicable
154. Administrative and budgetary aspects of the financing of the United Nations peacekeeping operations	<a href="#">75/294</a> : Financing of the Regional Service Centre in Entebbe, Uganda	To be submitted at the second part of the resumed seventy-sixth session	Not applicable
154. Administrative and budgetary aspects of the financing of the United Nations peacekeeping operations	<a href="#">75/295</a> : Financing of the United Nations Logistics Base at Brindisi, Italy	To be submitted at the second part of the resumed seventy-sixth session	Not applicable
154. Administrative and budgetary aspects of the financing of the United Nations peacekeeping operations	<a href="#">75/296</a> : Closed peacekeeping missions	To be submitted at the second part of the resumed seventy-sixth session	Not applicable
155. Financing of the United Nations Interim Security Force for Abyei	<a href="#">75/297</a> : Financing of the United Nations Interim Security Force for Abyei	To be submitted at the second part of the resumed seventy-sixth session	Not applicable
156. Financing of the United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic	<a href="#">75/298</a> : Financing of the United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic	To be submitted at the second part of the resumed seventy-sixth session	Not applicable
158. Financing of the United Nations Peacekeeping Force in Cyprus	<a href="#">75/299</a> : Financing of the United Nations Peacekeeping Force in Cyprus	To be submitted at the second part of the resumed seventy-sixth session	Not applicable
159. Financing of the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo	<a href="#">75/300</a> : Financing of the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo	To be submitted at the second part of the resumed seventy-sixth session	Not applicable

<i>Agenda item</i>	<i>Resolution</i>	<i>Reports submitted or other action taken by the Secretariat pursuant to resolution</i>	<i>Summary of content of the report or any other action taken, reflecting compliance with the resolution</i>
163. Financing of the United Nations Interim Administration Mission in Kosovo	<a href="#">75/301</a> : Financing of the United Nations Interim Administration Mission in Kosovo	To be submitted at the second part of the resumed seventy-sixth session	Not applicable
165. Financing of the United Nations Multidimensional Integrated Stabilization Mission in Mali	<a href="#">75/302</a> : Financing of the United Nations Multidimensional Integrated Stabilization Mission in Mali	To be submitted at the second part of the resumed seventy-sixth session	Not applicable
166 (a). Financing of the United Nations Peacekeeping Forces in the Middle East: United Nations Disengagement Observer Force	<a href="#">75/303</a> : Financing of the United Nations Disengagement Observer Force	To be submitted at the second part of the resumed seventy-sixth session	Not applicable
166 (b). Financing of the United Nations Peacekeeping Forces in the Middle East: United Nations Interim Force in Lebanon	<a href="#">75/250 A</a> : Financing of the United Nations Interim Force in Lebanon	To be submitted at the second part of the resumed seventy-sixth session	Not applicable
167. Financing of the United Nations Mission in South Sudan	<a href="#">75/304</a> : Financing of the United Nations Mission in South Sudan	To be submitted at the second part of the resumed seventy-sixth session	Not applicable
168. Financing of the United Nations Mission for the Referendum in Western Sahara	<a href="#">75/305</a> : Financing of the United Nations Mission for the Referendum in Western Sahara	To be submitted at the second part of the resumed seventy-sixth session	Not applicable
169. Financing of the African Union-United Nations Hybrid Operation in Darfur	<a href="#">74/261 A to C</a> : Financing of the African Union-United Nations Hybrid Operation in Darfur	To be submitted at the second part of the resumed seventy-sixth session	Not applicable
170. Financing of the activities arising from Security Council resolution <a href="#">1863 (2009)</a>	<a href="#">75/306</a> : Financing of the activities arising from Security Council resolution <a href="#">1863 (2009)</a>	To be submitted at the second part of the resumed seventy-sixth session	Not applicable

## Annex II

**Summary of the progress in the implementation of the action plan  
for the implementation of results-based management in the  
United Nations Secretariat, 2018–2021**

<i>Item</i>	<i>Activity</i>	<i>Implementation date</i>	<i>Status</i>
1	The Secretary-General will send a communication to senior managers stressing their obligation to participate in and support all results-based management initiatives to be implemented in their respective departments, offices and missions	Mid-2018	Completed ( <a href="#">A/73/688</a> and <a href="#">A/73/688/Corr.1</a> )
2	The Secretary-General will lead a high-level advocacy and outreach campaign to emphasize to senior managers and staff the need for the Organization to enhance its focus on the achievement of clearly defined results, including through iSeek stories, posters and pamphlets	2018–2021	<p>Progress during the reporting period</p> <p>Various iSeek articles were published on the importance of organizational results.</p> <p>The United Nations results portal (<a href="https://results.un.org">results.un.org</a>) continued to publish results. Search functions were enhanced to improve the accessibility and transparency of presented results</p> <p>The Comprehensive Planning and Performance Assessment System website is continuously updated with relevant information, and one iSeek article has been published</p> <p>The Development Coordination Office has revised its country results reporting guidelines to further strengthen the quality of results reporting, with a focus on the impact of United Nations support to beneficiaries. The reports are now more succinct and have compelling data and graphics on United Nations results</p>
3	The Secretary-General will incorporate in the senior managers' compacts a performance indicator assessing every senior manager's contribution to the implementation of results-based management	From 2019 onward	Completed ( <a href="#">A/73/688</a> and <a href="#">A/73/688/Corr.1</a> )
4	Following the decision of the General Assembly, the Secretariat has launched a comprehensive change management process through which, during 2018, capacity will be established in all departments, offices and special political missions to prepare their respective results-based	2018–2019	Completed ( <a href="#">A/73/688</a> and <a href="#">A/73/688/Corr.1</a> )

Item	Activity	Implementation date	Status
	programme plans and programme performance information. By integrating programme performance information into the budget reports, the Secretariat will enhance evidence-based planning and accountability for its work		
5	The Department of Management Strategy, Policy and Compliance will design and implement tailor-made workshops and coaching sessions for senior managers and staff at all levels on the implementation of results-based management and on their respective roles and responsibilities in the implementation of results-based management	2019–2021	<p data-bbox="1036 443 1446 462"><i>Progress during the reporting period</i></p> <p data-bbox="1036 489 1446 768">In November and December 2021, working sessions were offered to entities to support them in drafting programme plans for 2023, specifically targeting improvements to the new results introduced and associated performance measures and implementation of the direction provided by the General Assembly</p> <p data-bbox="1036 795 1446 909">Two online results-based management workshops for the peacekeeping support account were held</p> <p data-bbox="1036 936 1446 1152">The annual workshop on the Comprehensive Planning and Performance Assessment System took place in September 2021. More than 250 staff, working in peacekeeping operations as well as at Headquarters, attended</p> <p data-bbox="1036 1180 1446 1358">In addition, training sessions on the Comprehensive Planning and Performance Assessment System are organized bimonthly, remotely and in person, at a number of peacekeeping missions</p> <p data-bbox="1036 1386 1446 1564">The Development Coordination Office organized global webinars with all resident coordinator offices on United Nations country results reporting, underscoring the importance of results</p> <p data-bbox="1036 1591 1446 1707">In addition, Secretariat results-based practitioners attended United Nations Strategic Planning Network online sessions to share experiences</p>

<i>Item</i>	<i>Activity</i>	<i>Implementation date</i>	<i>Status</i>
6	The Department of Management Strategy, Policy and Compliance will develop a results-based management manual, including related policies and practical guidance for using a results-based management approach in all related areas of work	2019–2021	<i>Progress during the reporting period</i> Results-based management guidance was issued for the programme budget and the peacekeeping operations budgets as part of the United Nations Controller's budget instructions
7	The Department of Management Strategy, Policy and Compliance will develop an online mandatory training programme on results-based management, emphasizing all stages of the process, which will be made available to staff at all levels (including senior management)	2019–2021	<i>Progress during the reporting period</i> Online training on results-based management was made available through the Blue Line course on leadership and management development entitled "Managing for results". In addition, Blue Line included courses associated with the results-based management cycle, including strategic planning, monitoring and evaluation  There are now 16 online courses on Umoja results-based management tools (strategic management application suite and integrated planning, management and reporting solution) on its learning platform (iLearn) as well as a user manual that described the end-to-end process of the programme/project management cycle
8	The successful implementation of Umoja Extension 2 will be the enabler of results-based management by providing managers a link among objectives, results, outputs and resources	2019–2020	Completed ( <a href="#">A/75/686</a> )
9	Senior managers and staff members at all levels will be required to use the results frameworks included in the planning documents of the Organization as the starting point when they prepare their annual workplans (compacts for senior managers and annual performance assessments for staff at large), and they will be trained and supported for the implementation of those actions	March 2019	Completed ( <a href="#">A/74/658</a> )
10	The Secretary-General will use the results of programme implementation as one of the components of the assessment of the performance of senior managers	2019–2021	<i>Progress during the reporting period</i> The 2021 compacts of senior managers include a commitment "to achieving the programme objectives and to delivering the expected results contained in all relevant budget documents, as mandated by

<i>Item</i>	<i>Activity</i>	<i>Implementation date</i>	<i>Status</i>
			Member States, and to reporting these results to the intergovernmental bodies through the mandated reporting mechanisms”. In addition, for 2021, senior managers identified their priorities in relation to programme objectives for the year. Senior managers will be assessed according to the results reported through the relevant reporting tools
11	The Executive Office of the Secretary-General and the Department of Management Strategy, Policy and Compliance will select priority topics in the different areas of the Organization to be the subject of in-depth self-evaluation	2019	Completed ( <a href="#">A/74/658</a> ). Specific evaluation exercises were included in annual programme plans
12	Senior managers, supported by the Department of Management and the future Department of Management Strategy, Policy and Compliance and its Office of Finance and Budget, will facilitate consideration of the results of evaluations and lessons learned when preparing budgets and in their day-to-day management practices	2019	Completed ( <a href="#">A/74/658</a> ). Annual programme plans include information on evaluations. Lessons learned are taken into account while formulating programme plans
13	Senior managers and staff will reflect results from programme performance information in online dashboards, which will be updated throughout the budget cycle	2019–2020	Completed ( <a href="#">A/75/686</a> )
14	An independent evaluation of the results of this action plan will be undertaken at the end of 2021 to assess the implementation of results-based management and to design further actions for its future evolution	Under implementation	<i>Progress during the reporting period</i> The Office of Internal Oversight Services is finalizing an independent evaluation of the accountability system of the Secretariat, including the implementation of results-based management, the findings and recommendations of which are expected to be shared with the Department of Management Strategy, Policy and Compliance in the coming weeks. The results will inform the way forward in the implementation of results-based management

## Annex III

### Cumulative rate of implementation of the recommendations of oversight bodies issued since 2010

#### Office of Internal Oversight Services

Type	Number of recommendations issued since 2010	Implemented					Total	Overtaken by events/closed	In progress
		2010–2017	2018	2020 <sup>a</sup>	2021 <sup>a</sup>				
All	<b>12 075</b>	7 276	953	1 052	1 136	<b>10 417</b>	722	936	
	Cumulative implementation rate (percentage)	88	87	89	92				
Critical	<b>1 202</b>	1 087	17	20	15	<b>1 139</b>	49	14	
	Cumulative implementation rate (percentage)	98	97	98	99				

<sup>a</sup> Through the period ended 30 June.

#### Board of Auditors

Financial statements	Number of recommendations issued since 2010	Implemented										Total	Overtaken by events/closed	In progress
		2010/11	2012/13	2014	2015	2016	2017	2018	2019	2020				
Volume I	<b>662</b>	42	37	5	6	17	31	13	49	96	<b>296</b>	77	289	
	Cumulative implementation rate (percentage)	64	86	74	68	63	64	54	58	66				
Volume II	<b>735</b>	179	95	76	45	39	34	57	24	42	<b>591</b>	55	89	
	Cumulative implementation rate (percentage)	95	98	96	93	96	94	93	90	91				