

## EXTERNAL RELATIONS

### (a) Relations with the United Nations and the specialized agencies

#### Joint Inspection Unit

#### Note by the Secretary-General

##### SUMMARY

*Executive summary:* This document provides information and comments on JIU reports received since C/ES.29.11(b)

*Strategic direction,  
if applicable:* 7

*Output:* 7.2

*Action to be taken:* Paragraph 28

*Related documents:* C/ES.29/11(b) and C 120/6(f)/1

## INTRODUCTION

1 Since the provision of the document on JIU (Joint Inspection Unit of the United Nations System) reports to the twenty-ninth extraordinary session of the Council in 2017, the Secretary-General has received six reports and one note from JIU, as shown below:

- .1 Review of Management and Administration in the Universal Postal Union (UPU) (JIU/REP/2017/4).
- .2 Outcome of the review of the follow-up to the Joint Inspection Unit reports and recommendations by the United Nations system organizations (JIU/REP/2017/5).
- .3 Results-Based Management in the United Nations development system: Analysis of progress and policy effectiveness (JIU/REP/2017/6).
- .4 Review of donor reporting requirements across the United Nations system (JIU/REP/2017/7).

- .5 The United Nations system – Private sector partnership arrangements in the context of the 2030 Agenda for Sustainable Development (JIU/REP/2017/8).
- .6 Review of mechanisms and policies addressing conflict of interest in the United Nations system (JIU/REP/2017/9).
- .7 Results-Based Management in the United Nations system: High-impact model for results-based management – Benchmarking framework, stages of development and outcomes (JIU/NOTE/2017/1).

2 The reports and note contained recommendations and information addressed to 28 United Nations system organizations including funds and programmes. Full texts of the reports and note are available on the JIU website at: <https://www.unjiu.org/content/reports-notes>.

3 Of those, two are provided to IMO as information only: the UPU management review (JIU/REP/2017/4), because this was focused on a single organization;<sup>1</sup> and the results-based management analysis (JIU/REP/2017/6), as the review was focused on field operations, whilst the RBM model (JIU/NOTE/2017/1) is more generally applicable. The other reports contained recommendations that are applicable and relevant to the role and functions of the Organization. The Secretary-General has given due consideration to those, as detailed in the subsequent paragraphs. Original full texts of the recommendations in the reports and note are attached in the annex to this document.

#### **OUTCOME OF THE REVIEW OF THE FOLLOW-UP TO THE JOINT INSPECTION UNIT REPORTS AND RECOMMENDATIONS BY THE UNITED NATIONS SYSTEM ORGANIZATIONS (JIU/REP/2017/5)**

4 The objectives of the review were to: measure the acceptance and implementation of JIU recommendations; address recommendations outstanding for five years or more; and to identify shortcomings and delays in the follow-up process.

5 The report contained seven recommendations but JIU indicated that five of them are applicable to IMO, which are summarized below:

- .1 enhance the consideration of JIU reports/recommendations by their respective legislative bodies, in line with best/good practices identified (R.1);
- .2 propose to their legislative bodies a concrete course of action to be taken with respect to the recommendations of JIU (R.2);
- .3 present annual follow-up reports on the implementation of prior years' accepted JIU recommendations until their full implementation (R.4);
- .4 introduce appropriate verification and monitoring procedures on the implementation of prior years' accepted JIU recommendations (R.5); and
- .5 include the consideration of these recommendations on the programme of work of the Chief Executives Board for Coordination (CEB) and its applicable mechanisms with a timeline for taking a decision (R.6).

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<sup>1</sup> For the case of IMO, the review was undertaken in 2007 and it is expected to be due again in the immediate future.

6 The Secretary-General, while noting from the report that IMO ranked 16th among all the 28 participating organizations of JIU in terms of the maturity level of the follow-up process development, is of the view that the value of JIU reports/recommendations is subject to effective follow-up, which requires active and serious consideration by the Council and the Secretariat, and expeditious implementation of the approved recommendations, with full reporting on the measures taken and an analysis of the resulting impact.

7 In this regard, the Secretary-General welcomes the recommendations and will undertake or propose actions in respect of R.1 (enhance the consideration of JIU reports/recommendations by the Council), R.2 (propose a concrete course of action to the Council) and R.5 (verification and monitoring of implementation) which are addressed to the Secretary-General, as follows:

- .1 For future sessions of the Council, JIU matters should be considered either under the agenda item on "Strategy, planning and reform" or as a new separate agenda item, as most of the JIU recommendations are associated with the accordant reform of the organizational processes and operations and institutional changes.
- .2 A review of the internal process related to IMO engagement in JIU matters will be conducted to further improve procedures to address its recommendations.
- .3 An internal database will be created to efficiently monitor and control the status and process associated with all these procedures.
- .4 For greater transparency and accountability, a report will be prepared that lists all the recommendations addressed to the Council/Assembly and the Secretary-General, the status of their acceptance and implementation, and comments thereon.
- .5 Proposals will be prepared and submitted to the Council for its consideration and decision, as appropriate, with respect to the recommendations addressed to the Council/Assembly.
- .6 The status of those actions will be reported to C 121, and subsequent sessions of the Council as appropriate.

8 With regard to R.6 (CEB consideration), the Secretary-General will participate in the discussion when the CEB considers these matters and any comments and decisions of the CEB will be reported to the Council in an appropriate manner.

9 The Council may wish to note that R.4 (annual follow-up reports) is addressed to the Council (legislative bodies of the respective organizations) to request by the end of 2018 that the Secretary-General present his reports on the implementation of prior years' accepted JIU recommendations until their full implementation. If the Council concurs with the recommendation, the Secretary-General will prepare and present annual implementation reports to the second Council session of the year in 2019.

**REVIEW OF DONOR REPORTING REQUIREMENTS ACROSS THE UNITED NATIONS SYSTEM (JIU/REP/2017/7)**

10 The review of donor reporting requirements was to address the requirements of donors, who have increasingly called on organizations to strengthen their capacity and performance whilst providing greater transparency and accountability. Donors have been requesting measurements for financial and non-financial performance including financial and programmatic reporting, in addition to regular assessments of organizations.

11 On the basis of the review findings, JIU presented seven recommendations, all of which are indicated by JIU to be applicable to IMO, of which two (R.1 and R.7) are addressed to the Council (governing body) and the rest to the Secretary-General. The recommendations can be summarized as follows:

- .1 encourage the Secretary-General to develop a common position and pursue a high-level strategic dialogue with donors, in order to address the challenges posed by the current funding models and practices and the impact of strict earmarking of voluntary contributions and reporting to donors (R.1);
- .2 ensure that partnership agreements spell out the needs and requirements of the donors and the mutual commitments, with respect to the details of reporting on the funds used (R.2);
- .3 encourage better access to, and dissemination and exchange of, information concerning donor reporting among the Member States and ensure the organization maintains a corporate repository for all contribution agreements and donor reports (R.3);
- .4 regularly update guidance on donor reporting and put in place measures for the staff development and training needed to improve reporting to donors (R.4);
- .5 work systematically with donors to include in donor agreements the costs associated with preparing donor reports (R.5);
- .6 develop and adopt a common report template accommodating the information needs and requirements of donors (R.6); and
- .7 request the Secretary-General to adequately support the internal oversight offices and ensure the relevant oversight reports help minimize reporting to individual donors on the use of their contributions (R.7).

12 The Secretary-General finds that the report and recommendations therein are useful to review and assess the specific situation of IMO, to ensure that the Organization provides timely and high-quality donor reporting, thereby safeguarding the Organization's reputation, donor confidence and future funding prospects.

13 In this respect, the Council may wish to note that the Secretary-General has already taken steps by analysing the current situation of donor and extrabudgetary funds of the Organization, as presented in document C 120/6(f)/1 (Fund management and fund structure). The initiative aims to enhance and streamline the Organization's approach to funds management for the longer-term benefit of its stakeholders, with two specific targets: increasing the proportion of resources contributed using a "pooled funds" modality; and reducing the overall number of funds, accounts and agreements. These are commensurate with the issues identified in the JIU report (JIU/REP/2017/7), suggesting the closing of inactive

projects and the reviewing of all projects, particularly small ones, to consolidate the overall projects and trust fund portfolio, which will help to reduce the number of donor reports. In addition, paragraph 8 of document C 120/6(f)/1 sets out a way forward to achieve these targets: encourage donation through a pooled funding modality; close down dormant funds; and refine project closure and fund governance structures.

14 In the course of undertaking these exercises, the Secretary-General is also going to review and address the issues related to R.2 (reflection of donors' needs in the partnership agreements), R.3 (better access to reports and agreements), R.4 (regular updating of donor reporting guidance and accordant training), R.5 (reflection of reporting costs in donor agreements) and R.6 (development of a standard report template). The outcome will be reported, as appropriate, with any updates on the work on funds' management and structure, as indicated in document C 120/6(f)/1.

15 R.1 (high-level strategic dialogue with donors) and R.7 (support for internal oversight offices), which are addressed to the Council, encourage or request the Secretary-General to take action on the matters contained therein. Regarding R.1, if the Council agrees with it, the Secretary-General will take part in the development of a common position, through CEB meetings, on the funding models, earmarking and reporting, taking into account the relevant statements set out in Assembly resolutions A.1127(30) on *Guiding principles of IMO's integrated technical cooperation programme in support of the 2030 agenda for sustainable development* and A.1128(30) on *Financing and partnership arrangements for an effective and sustainable Integrated Technical Cooperation Programme*. For R.7, the Council may wish to note that the Secretary-General established an "Evaluation and change initiative programme" to strengthen the Organization's oversight function, with a target of being fully operational in the second half of 2018 when additional human resources and expertise will be available.

#### **THE UNITED NATIONS SYSTEM – PRIVATE SECTOR PARTNERSHIPS ARRANGEMENTS IN THE CONTEXT OF THE 2030 AGENDA FOR SUSTAINABLE DEVELOPMENT (JIU/REP/2017/8)**

16 The purpose of the review was to find ways of improving the existing arrangements for cooperation between United Nations system organizations with the private sector reflecting the context of the 2030 Agenda for Sustainable Development.

17 The report contains 12 recommendations, 4 of which are applicable to IMO. The recommendations can be summarized as follows:

- .1 coordinate and streamline a unique, system-wide package of information about the opportunities for partnerships offered to the private sector by the Sustainable Development Goals (R.3);
- .2 enhance the role and responsibilities of the Private Sector Focal Points Network with regard to sharing knowledge, promoting good practices and finding innovative solutions to problems related to partnerships with the private sector (R.5);
- .3 create a common database on the profiles and performance of the businesses that are involved, or potentially interested, in partnerships with the United Nations, based on voluntarily submissions by participating organizations (R.6); and
- .4 identify, agree and apply common standard procedures and safeguards for an efficient and flexible due diligence process for the initiation and implementation of partnerships with the private sector (R.7).

18 Those four recommendations are all addressed to the Secretary-General. However, as clearly stated in the report, the focus was made more on system-wide coordination and efficiency. In this respect, the undertaking of R.3 (a unique, system-wide package of information), R.5 (enhanced role for the private sector focal points network), R.6 (a system-wide database) and R.7 (common standard procedures and safeguards) cannot be accomplished by IMO alone without seeking harmonized efforts and coordination at the United Nations system level.

19 The use of partnerships with the private sector as a means of implementing the Organization's objectives has been increasingly recognized by Member States. At the system-wide level, the multiple commitments undertaken through the adoption of the 2030 Agenda for Sustainable Development include the Global Partnership – Goal 17 as an essential instrument for capturing expertise and knowledge and mobilizing financial as well as in-kind resources from multiple sources, including the private sector. A good example IMO currently has of private sector partnerships in the context of the 2030 Agenda is the Global Industry Alliance (GIA). In this regard, the Council may wish to note that the Assembly, by means of resolution A.1128(30) on *Financing and partnership arrangements for an effective sustainable integrated technical cooperation programme*, invited the industry to actively support the activities through various funding models. The Secretary-General will update the Council on the progress, if any, made at the system-wide level on those recommendations, and the developments made under resolution A.1128(30) on private sector partnerships.

#### **REVIEW OF MECHANISMS AND POLICIES ADDRESSING CONFLICT OF INTEREST IN THE UNITED NATIONS SYSTEM (JIU/REP/2017/9)**

20 The purpose of this review was to: assess and measure the organizations' regulatory framework for addressing conflicts of interest; assess the mechanisms and practices currently in place that address existing and potential conflicts of interest; propose solutions appropriate to the United Nations system organizations; examine internal and inter-agency synergies; and identify and disseminate best/good practices in addressing conflicts of interest at all stages – prevention, mitigation, resolution and/or sanction.

21 The report contains six recommendations, all of which are indicated to be applicable to IMO. Of those, four (R.1, R.2, R.4 and R.5) are addressed to the Secretary-General, while the rest (R.3 and R.6) are addressed to the Council. The recommendations can be summarized as follows:

- .1 map the most common occurrences and register the risks of situations exposing their respective organizations to organizational conflicts of interest (R.1);
- .2 introduce a mandatory conflict of interest disclosure form that should be signed by all staff members and other types of personnel joining an organization, whether in a short- or long-term capacity (R.2);
- .3 request the Secretary-General to prepare a detailed report on existing financial disclosure programmes and propose any changes to the rationale and scope of those programmes that are needed to increase their effectiveness (R.3);
- .4 take the necessary steps to introduce adequate legal clauses in contractual agreements with their staff and non-staff binding them to the period of restriction set for their function that prohibits them from engaging in clearly defined post-employment activities for the duration of that period of time (R.4);

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- .5 ensure that all staff members, irrespective of their level and grade, successfully complete the initial and periodic mandatory ethics training courses and obtain the respective certification (R.5); and
  - .6 regularly monitor conflict of interest issues, including updates to relevant policies, administrative instruments and mechanisms (R.6).

22 In view of the detrimental effect on the reputation and assets of the Organization that might be caused by conflicts of interest if not addressed appropriately, the Secretary-General fully agrees with the recommendations addressed to him and will undertake action as follows:

- .1 In respect of mapping the cases of conflict of interest (R.1), the Internal Oversight and Ethics Office (IOEO) of the Secretariat will compile the conflict of interest cases in the Organization to find most the common or possible occurrences and, if found to be with high risks, accordingly register those situations to properly monitor and address the Organizational conflicts of interest. As the implementation timeline JIU set out for this recommendation is by the end of 2019, the Secretary-General intends to report on this to the thirtieth extraordinary session of the Council next year.
- .2 Regarding disclosure of conflicts of interest (R.2), a mandatory conflict of interest disclosure form will be developed by the IOEO by the end of 2018 for use by the Human Resources Services (HRS). It should be completed and signed by current staff members, by all incoming staff members, along with their declaration of office, and other types of personnel joining the Organization, including consultants and temporary assistants. The form aims to identify and mitigate actual or perceived conflicts of interest and impose the obligation to update the status as necessary.
- .3 For post-employment restrictions (R.4), the Secretariat's Legal Affairs Office will propose appropriate legal clauses to be introduced in the IMO Staff Regulations and Staff Rules and any contractual agreements, prohibiting staff and other employees from engaging in clearly defined post-employment activities for a certain period of time, as necessary. The Secretary-General aims to complete this by the JIU's timeline for implementation of December 2019, subject to progress to be made on this matter at the Legal Network of the United Nations organizations, as the clauses need to be coherently and consistently developed at the common system level.
- .4 With regard to training (R.5), the Council may wish to note that the Secretary-General introduced a mandatory ethics training course in 2017, to be completed by all staff members, irrespective of their level and grade. The certification of ethics training completion is reflected in the staff performance appraisal. The course is also applicable to non-staff personnel. The IOEO will assess the implementation of the training in 2018 to enhance its effectiveness and uptake.

23 If the Council accepts R.3 (report on financial disclosure programme) and R.6 (monitoring), which are addressed to it, the Secretary-General intends to carry out the following, for the Council to consider the outcome at its future sessions, as appropriate:

- .1 Review and assess the existing financial disclosure programme to propose to the Council, based on the findings, any changes to the rationale and scope of that programme that may be needed to increase its effectiveness; and

- .2 Regularly monitor and report to the Council any serious conflict of interest issues, including required updates to relevant policies, administrative instruments and mechanisms, the following of which are currently in operation:
  - .1 Staff Regulations and Staff Rules (updated in February 2018);
  - .2 IMO Policy on outside activities for staff members (effective from July 2016);
  - .3 Code of ethics of IMO personnel (effective from April 2016);
  - .4 IMO policy for the protection against retaliation for reporting misconduct and for cooperating with duly authorized audits and investigations (effective from December 2015); and
  - .5 Policy on reporting, accepting and retaining of honours, decorations, favours, gifts or remuneration from government and non-government sources (effective from June 2014).

**RESULTS-BASED MANAGEMENT IN THE UNITED NATIONS SYSTEM: HIGH-IMPACT MODEL FOR RESULTS-BASED MANAGEMENT – Benchmarking framework, stages of development and outcomes (JIU/NOTE/2017/1)**

24 The purpose of the review was to enhance coherence and effective collaboration in the adoption of results-based management (RBM) as a strategy across the United Nations system. The note provides a high impact model and an assessment that can be used to guide the implementation of RBM in the Organization. The model includes a benchmarking framework for what a high-quality RBM system looks like when the results philosophy and principles are mainstreamed into management components, and an assessment methodology for assessing the stages of development of RBM and the outcomes achieved.

25 The note contains two recommendations, addressed to the Secretary-General, which can be summarized as follows:

- .1 endorse and utilize the high-impact model, taking into account the progress already achieved (R.1); and
- .2 establish an inter-agency task force or interim mechanism, using existing formal or informal inter-agency arrangements, as deemed appropriate (R.2).

26 The Secretary-General welcomes R.1 (high-impact model) and will review the implementation of the model in the Organization, and provide further information to the Council at its next session.

27 The Secretary-General, pending the outcome of the review of R.1, will continue to collaborate with other United Nations agencies to evaluate R.2 (inter-agency task force) on the possibility of using, adapting and expanding the high-impact model for managing for achieving results.



**ACTION REQUESTED OF THE COUNCIL**

28 The Council is invited to:

- .1 note the general information on the recent JIU reports and the associated recommendations excerpted as shown in the annex to this document;
- .2 review and accept the recommendations addressed to the Council and endorse the accordant action plans the Secretary-General has provided in that regard (paragraphs 9, 15 and 23); and
- .3 note the Secretary-General's comments and action plans regarding the recommendations addressed to him (paragraphs 7, 8, 13, 14, 18, 19, 22, 26 and 27) and consider and decide, as appropriate, thereon.

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## ANNEX

### OUTCOME OF THE REVIEW OF THE FOLLOW-UP TO THE JOINT INSPECTION UNIT REPORTS AND RECOMMENDATIONS BY THE UNITED NATIONS SYSTEM ORGANIZATIONS (JIU/REP/2017/5)

**Recommendation 1:** The executive heads of organizations who have not yet done so should enhance the consideration of JIU reports/recommendations by their respective legislative bodies, in line with best/good practices identified, by the end of 2018.

**Recommendation 2:** The executive heads of organizations who have not yet done so are requested to propose to their legislative bodies a concrete course of action to be taken with respect to the recommendations of the Joint Inspection Unit addressed to these bodies, especially with regard to system-wide and several organization reports, by the end of 2018.

**Recommendation 3:** The General Assembly of the United Nations may wish to request the Secretary-General to make proposals to enhance the decision-making process on JIU reports and recommendations, in consultation with the Unit, by the end of 2019, including the possibility of reverting to the practices that were applicable prior to the adoption of resolution 59/267.

**Recommendation 4:** The legislative bodies of organizations which have not yet done so should request annual follow-up reports on the implementation of prior years' accepted JIU recommendations until their full implementation, by the end of 2018.

**Recommendation 5:** The executive heads of organizations who have not yet done so should introduce appropriate verification and monitoring procedures on the implementation of prior years' accepted JIU recommendations until their full implementation, by the end of 2018.

**Recommendation 6:** The executive heads of organizations, when considering JIU recommendations intended to enhance coordination and cooperation, should propose the inclusion of the consideration of these recommendations on the programme of work of CEB and its applicable mechanisms with a timeline for taking a decision, with effect from 2019.

**Recommendation 7:** The executive heads of organizations who have not yet done so should establish a direct reporting line from the JIU focal point to top management.

## **REVIEW OF DONOR REPORTING REQUIREMENTS ACROSS THE UNITED NATIONS SYSTEM (JIU/REP/2017/7)**

**Recommendation 1:** The governing bodies of the United Nations system organizations should encourage the Secretary-General and executive heads of other organizations, in the framework of the United Nations System Chief Executives Board for Coordination, to develop a common position and pursue a high-level strategic dialogue with donors, in order to address the challenges posed by the current funding models and practices and the impact of strict earmarking of voluntary contributions and reporting to donors.

**Recommendation 2:** The executive heads of the United Nations system organizations that have not yet done so should put in place measures for ensuring that partnership agreements, concluded at the corporate level with the donors and at the corporate and field levels for individual programmes and projects, spell out the needs and requirements of the donors and the mutual commitments of the organizations and the donors, with respect to the details of reporting on the use of funds provided.

**Recommendation 3:** The executive heads of the United Nations system organizations should encourage better access to, and dissemination and exchange of, information concerning donor reporting among the member States and should ensure that every organization maintains a corporate repository for all contribution agreements and donor reports.

**Recommendation 4:** The executive heads of the United Nations system organizations that have not yet done so should regularly update guidance on donor reporting and put in place measures for the professional skills development and training needed to improve reporting to donors, for personnel at headquarters and in the field.

**Recommendation 5:** The executive heads of the United Nations system organizations that have not yet done so should work systematically with donors to include in donor agreements the costs associated with preparing donor reports.

**Recommendation 6:** The Secretary-General and executive heads of other United Nations system organizations should, preferably within the framework of the United Nations System Chief Executives Board for Coordination, develop and adopt a common report template accommodating the information needs and requirements of donors and the regulatory frameworks and capacities of the organizations, as a basis for negotiations with donors.

**Recommendation 7:** The governing bodies of the United Nations system organizations should request the executive heads to task, and adequately support, the internal audit and evaluation offices of their respective organizations with ensuring that the relevant oversight reports provide the required levels of assurance that would help minimize reporting to individual donors on the use of their earmarked contributions.

## THE UNITED NATIONS SYSTEM – PRIVATE SECTOR PARTNERSHIPS ARRANGEMENTS IN THE CONTEXT OF THE 2030 AGENDA FOR SUSTAINABLE DEVELOPMENT (JIU/REP/2017/8)

**Recommendation 1:** The General Assembly of the United Nations should consider a review of the "Guidelines on a Principle-based Approach to the Cooperation between the United Nations and the Business Sector", with a view to reflecting the changes needed to bring about the increased contribution expected from the private sector in the implementation of the 2030 Agenda for Sustainable Development and their system wide implications, based on a report by the Secretary-General of the United Nations to be submitted during the seventy-third session of the General Assembly. The review should take into account an updated common interpretation of General Assembly resolution 92 (I), entitled "Official Seal and Emblem of the United Nations", shared by the network of legal advisers from all United Nations organizations that are members of the United Nations System Chief Executives Board for Coordination.

**Recommendation 2:** *A set of rules and operational guidelines for partnerships with the private sector.* The Secretary-General of the United Nations should propose, after prior consultation with all participating organizations, a set of rules and operational guidelines designed to match the specific needs of the partnerships with private sector entities, allowing for greater flexibility, simplification of procedures and speed in reaction. The proposals of the Secretary-General should be submitted to the General Assembly, at the latest during its seventy-fourth session (2019–2020).

**Recommendation 3:** *Brokering partnerships and providing advice.* The Secretary-General of the United Nations and the heads of United Nations system organizations, assisted by the United Nations Global Compact, should coordinate and streamline a unique, system-wide package of information about the opportunities for partnerships offered to the private sector by the Sustainable Development Goals, for the benefit of interested organizations.

**Recommendation 4:** Streamlining responsibilities within the United Nations Secretariat. Within his current reform initiatives, the Secretary-General of the United Nations should review, streamline, clarify and strengthen the division of labour and the specific lines of responsibility and accountability within various departments of the Secretariat, in particular the mandate of the United Nations Office for Partnerships "to provide advice on, guide and facilitate partnership events and initiatives in support of the Sustainable Development Goals".

**Recommendation 5:** *Enhanced role for the Private Sector Focal Points Network.* The heads of United Nations organizations should enhance the role and responsibilities of the Private Sector Focal Points Network with regard to sharing knowledge, promoting good practices and finding innovative solutions to problems related to partnerships with the private sector, including by entrusting them with specific tasks and agenda items on which to report.

**Recommendation 6:** *A system-wide database.* All heads of the United Nations system organizations, assisted by the United Nations Global Compact, should jointly create a common database on the profiles and performance of the businesses that are involved, or potentially interested, in partnerships with the United Nations, based on the information voluntarily submitted by the participating organizations.

**Recommendation 7:** *Common standard procedures and safeguards for due diligence.* The Secretary-General of the United Nations and all the executive heads of participating organizations should identify and agree on a minimum set of common standard procedures and safeguards for an efficient and flexible due diligence process to be applied system-wide

in a transparent way by the United Nations operational staff engaged in the initiation and implementation of partnerships with the private sector.

**Recommendation 8:** *Revised mandate for the Global Compact.* The General Assembly, based on a report by the Secretary-General, should initiate a revision of the current mandate of the Global Compact, which should include, inter alia:

- A clearer role of the Global Compact, at the global and national levels, in effectively engaging the business sector to support the implementation of the 2030 Agenda.
- An enhanced role for Member States in its governance structure.
- An updated definition of the relationship between the Global Compact Office and the Foundation for the Global Compact, with an emphasis on the transparency of the Foundation's fundraising activities.
- A clear definition of the relationship between the Global Compact headquarters and the Global Compact Local Networks.

**Recommendation 9:** The Economic and Social Council should invite the Executive Secretaries of the regional economic commissions, if they have not already done so, to initiate and institutionalize a systematic and regular consultative dialogue with high-level representatives of private sector companies that contribute or have expressed interest in contributing to the implementation of the 2030 Agenda for Sustainable Development.

**Recommendation 10:** The Secretary-General of the United Nations should encourage, in consultation with the executive heads of the Joint United Nations Programme on HIV/AIDS, the United Nations Development Programme, the United Nations Educational, Scientific and Cultural Organization, the United Nations Population Fund, the Office of the United Nations High Commissioner for Refugees, the United Nations Children's Fund, the United Nations Industrial Development Organization, the United Nations Office for Project Services and the World Food Programme and the executive heads of any other interested United Nations organizations with a presence in the field, a multi-stakeholder mechanism of consultations and solution-seeking at the country level, steered by the Resident Coordinator, in which the businesses are involved from the beginning in the design of partnerships in support of the 2030 Agenda for Sustainable Development. Where such mechanisms initiated by Governments exist, the United Nations country teams should encourage multi-stakeholder participation.

**Recommendation 11:** The Secretary-General, in his capacity as Chair of the United Nations System Chief Executives Board for Coordination, and the executive heads of interested organizations, should build on existing and ongoing efforts and continue to empower the United Nations Innovation Network or other existing United Nations joint innovation initiatives to identify and discuss issues that are relevant for the coordination of the existing innovation initiatives, funds, labs, accelerators and incubators, and their interface with the private sector, with a view to facilitating and stimulating innovation in the implementation of the 2030 Agenda.

**Recommendation 12:** *Support for engagement by small and medium-sized enterprises.* The Secretary-General should request the United Nations System Staff College Knowledge Centre for Sustainable Development, in cooperation with the International Trade Centre, to host a system-wide online platform to facilitate communication with micro, small and medium-sized enterprises on the 2030 Agenda, interaction among enterprises, information on access to funding, promotion of good practices and opportunities to engage with United Nations operations.



## **REVIEW OF MECHANISMS AND POLICIES ADDRESSING CONFLICT OF INTEREST IN THE UNITED NATIONS SYSTEM (JIU/REP/2017/9)**

**Recommendation 1:** Executive heads of the United Nations system organizations should direct their officials entrusted with the ethics function to map the most common occurrences and register the risks of situations exposing their respective organizations to organizational conflicts of interest, no later than December 2019.

**Recommendation 2:** Executive heads of the United Nations system organizations, who have not yet done so, should direct their human resources services to introduce a mandatory conflict of interest disclosure form that should be signed by staff members, along with their declaration of office, by all staff members and other types of personnel joining an organization, whether in a short- or long-term capacity. The form should be developed with the assistance of the ethics function of the respective organization and with other functions, as appropriate, and in consultation with any future inter-agency forum.

**Recommendation 3:** The governing bodies of the United Nations system organizations should request the executive heads of the organizations to prepare a detailed report on existing financial disclosure programmes and propose any changes to the rationale and scope of those programmes that are needed to increase their effectiveness.

**Recommendation 4:** Executive heads of the United Nations system organizations, who have not yet done so, in consultation with the Legal Network of the United Nations system organizations, should take the necessary steps to introduce, by December 2019, adequate legal clauses in contractual agreements with their staff and non-staff, as appropriate, binding them to the period of restriction set for their function that prohibits them from engaging in clearly defined post-employment activities for the duration of that period of time.

**Recommendation 5:** Executive heads of the United Nations system organizations, who have not yet done so, should take the necessary steps, no later than the end of December 2019, to: (a) ensure that all staff members, irrespective of their level and grade, successfully complete the initial and periodic mandatory ethics training course and obtain the respective certification; (b) link certification of the required ethics training course to the annual staff performance appraisal cycle; (c) include ethics training in the induction training of non-staff, including refresher courses after service intervals, as appropriate.

**Recommendation 6:** The governing bodies of the United Nations system organizations should, in exercising their oversight role on the accountability framework of their respective organizations, regularly monitor conflict of interest issues, including updates to relevant policies, administrative instruments and mechanisms.



**RESULTS-BASED MANAGEMENT IN THE UNITED NATIONS SYSTEM HIGH-IMPACT MODEL FOR RESULTS-BASED MANAGEMENT - Benchmarking framework, stages of development and outcomes (JIU/NOTE/2017/1)**

**Recommendation 1:** To promote collaboration in and furtherance of mainstreaming results-based management across United Nations system organizations, executive heads may wish to endorse the high-impact model and use it within their respective organizations, taking into account the progress already achieved and organizational specificities.

**Recommendation 2:** To enhance inter-agency collaboration in the use, adaptation or expansion of the high-impact model across United Nations system organizations, executive heads may wish to establish an inter-agency task force or interim mechanism, using existing formal or informal inter-agency arrangements, as deemed appropriate.

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