



Chief Executives Board for Coordination

9 November 2016

Report of the High-Level Committee on Management (HLCM) at its thirty-second session (UNESCO Headquarters, Paris, 3 and 4 October 2016)

Introduction

1. The High-Level Committee on Management (HLCM) of the United Nations System Chief Executives Board for Coordination (CEB) held its thirty-second session on 3 and 4 October 2016 at the UNESCO Headquarters, in Paris. The meeting was chaired by the Director General of the United Nations Educational, Scientific and Cultural Organization (UNESCO). The Vice-Chair was the Deputy Executive Director of the Joint United Nations Programme on HIV/AIDS (UNAIDS).
2. The agenda adopted by the Committee is reflected in the table of contents. The complete list of participants is provided in Annex I. The checklist of documents is in Annex II. All documents related to the session are available on the website of CEB.¹
3. The Chair of the High-level Committee on Management opened the meeting expressing her confidence that the Committee was fully prepared to support a common and coherent implementation of the 2030 Agenda. She encouraged the Committee to closely align with the processes in the Economic and Social Council and the quadrennial comprehensive policy review in order to be impactful and coherent. It was noted that the UN system was in an era of change and needed to stay innovative and to keep renewing itself. The Chair encouraged the members of the Committee to take ownership, and demonstrate leadership, in particular with a view to the High-level Committee of Management's Strategic Plan 2017-2020 but also to support the development of characteristics for leaders in the SDG era and the strengthening of the response to cases of sexual exploitation and sexual abuse. She expressed her intent to utilize this session to further consolidate the unity across the system through concrete proposals and decisions of the Committee on the items of the agenda.
4. After having welcomed the new representatives to the Committee, Ms. Bokova also thanked the Vice-Chair, Ms. Jan Beagle, for her support in the preparation and the works of the Committee.

¹ <https://www.unsceb.org/content/oct-2016>

Item 1 : HLCM Strategic Plan 2017-2020

5. The HLCM Chair introduced this item recalling that, in the period 2013-2016, the work of the High Level Committee on Management had proceeded along the five strategic priorities set out in the Committee's first Strategic Plan. The Strategic Results 2013-2016 paper (CEB/2016/HLCM/3) highlighted the achievements made by the High Level Committee on Management against its Strategic Plan, providing stakeholders with an overview of the work and benefits realized in management and business operations since 2013, yielding a more collaborative UN system at global, regional and country levels.
6. At its 31st session, the Committee agreed that a draft Strategic Plan and the corresponding Results Framework for the new period would be prepared for review and approval by HLCM, and subsequent endorsement by CEB, at their respective fall sessions.
7. The Chair underlined that both documents would be further reviewed for any adjustments in the spring of 2017, on the basis of the inter-governmental mandates that would be provided by the new QCPR Resolution and of the vision for management reform that may be formulated by the new Secretary-General. This was in line with the spirit of these documents, which needed to be considered as living tools, subject to revision and update based on emerging needs and new intergovernmental mandates.
8. The Chair noted that there had been considerable discussion in the Committee and in other fora on the strategic direction needed to support the delivery of the 2030 Sustainable Development Agenda (among others, the outcome of the joint HLCM-HLCP retreat, the HLCM Strategic Results Paper, the outcome of the March 2016 UNDG-Business Operations Working Group retreat, and the discussion paper by the HR Network on the evolution of a Global UN system workforce).
9. Furthermore, the CEB Secretariat held a series of individual consultations with all HLCM members, and the directions provided during those consultations had been used as input into the draft Plan and Results Matrix. In particular, significant interest had been expressed for HLCM to play a role in the area of "Partnerships", as a key priority for the UN system moving forward. Hence, an additional priority area (n. B) had been added to the draft Strategic Plan, as compared to the list of priorities that the Committee had preliminary agreed in March.
10. During the discussion, HLCM members expressed broad support for the priority areas identified in the draft Plan, and on the related outputs and activities. Initial suggestions for revised or additional wording were provided, with the agreement that organizations could send specific comments to the CEB secretariat after the HLCM session, prior to finalization and submission to CEB. Organizations were also asked to provide an indication on their interest and availability to engage more actively in any particular areas of work.
11. The Committee noted that several activities in the Results Framework were already ongoing, with some of them at an advanced stage.
12. HLCM members noted with appreciation the inclusion, under Priority B, of work towards reviewing United Nations procurement policies and other drivers of women's economic empowerment as identified in the Secretary General's High Level Panel on Women's Economic Empowerment. With respect to Climate Neutrality, HLCM members recognized that the aim was for footprint reduction and not only neutrality. With respect to Priority C, "Attract and retain a highly skilled international civil service able to address issues that are increasingly cross-disciplinary and require multi-sectoral approaches", members noted the importance of developing work in this area with an emphasis on the aspects related to leadership, ethics and accountability; broadening the concept of diversity to include concepts such as disabilities etc.; and, placing further attention on performance management, both with respect to rewarding mechanisms, and to managing under-performance.
13. Regarding Priority D "Foster the organizations' responsibility for the safety and security of their staff", the HLCM Chair brought to the attention of the Committee a letter from the Under-Secretary-General for Safety and Security, highlighting that all aspects of "duty of care", including those related to psycho-social issues, health, human resources and administration, should be given due consideration in taking forward work in this area. The Committee broadly agreed that the concepts of health and well-being needed to be explicitly included in the formulation of Priority D, with due attention to the shared responsibility of the Organization and of individual staff members in all matters related to safety and security.

14. The Committee agreed that the new Strategic Plan had to take into consideration the changing security situation in which UN personnel operates, reviewing and addressing new areas of threat, also in view of the significantly higher number of UN staff that are now working in high risk duty stations as compared to the past.
15. In conclusion, the HLCM Chair noted that the subject of safety and security and, more broadly, of duty of care, would benefit from a discussion at a different level, and proposed to raise this issue with the Secretary General for inclusion in CEB discussions, as appropriate.
16. On the topic of quality, accessible, timely and reliable disaggregated data (Priority E), the proposed lines of work were agreed, under the over-arching framing of the role of data in supporting organizations to deliver their priorities on the 2030 Agenda, and comprehensively and transparently reporting to stakeholders.
17. On Priority F, “Drive forward the agenda on risk management and resilience-building in close collaboration with UNDG and HLCP” the Committee received a briefing on the discussions in the HLCP, which was looking at the topic from a risk prevention and resilience management perspective, focusing on external risks and on what programme countries can do to reduce risk and develop mitigation measures. The concept of business continuity was raised as a topic relevant for the HLCM, broadening the scope of the Committee’s attention to organizational risk management, duty of care, reputational risk, etc., beyond the traditional focus on risk from a solely financial perspective.
18. **Conclusions: The High-Level Committee on Management:**
 - *approved the 2017-2020 Strategic Plan, incorporating changes and adjustments as per discussion during the session, for submission to CEB at its second regular session for 2016;*
 - *requested organizations to provide suggestions for prioritization, refinement and adjustment to the draft Results Framework, including an indication of commitment to take an active role in any of the agreed activities; and*
 - *requested the CEB Secretariat to finalize the draft Results Framework on the basis of the input received during and following the discussion, for submission to CEB at its second regular session for 2016.*

Item 2: Operationalizing the CEB common principles for the implementation of the 2030 Agenda

19. The Chair reminded Committee members that the High-level Committee on Management had reviewed a draft set of CEB common principles for the implementation of the 2030 Agenda for Sustainable Development, which were subsequently approved by CEB at its April 2016 session. At its current session, the High-level Committee on Management was to consider concrete actions to operationalize these principles, in line with the priorities set out in its current and forthcoming Strategic Plans.
- A) UN system model for transformative “leaders of the futures”**
20. The Vice-Chair recalled that in concluding the formal session of CEB in April 2016, the Secretary-General had tasked the CEB high-level Committees to develop a shared concept of leadership characteristics necessary in the SDG era, across different functions, levels, and locations.
 21. Accordingly, a joint HLCP/HLCM task team, facilitated by the UN System Staff College (UNSSC), had been formed to undertake a consultative process to develop a UN system leadership framework. Representatives of the UNDG Working Group on Leadership had also been closely engaged to ensure complementarity with its work on this subject. The Vice-Chair stated that the three Committees’ efforts would be integrated into a joint proposal for CEB’s consideration at its first regular session of 2017.
 22. The Vice-Chair brought to the Committee’s attention the discussion paper prepared by the joint task team as well as the UNDG’s draft proposal on leadership. She informed the Committee that HLCP had also taken up this item at its thirty-second session (29-30 September 2016).

23. The discussion paper was introduced by Ms. Claire Messina, Deputy Director for Programme Management and Business Development, UNSSC. She indicated that agencies had expressed a preference for a “framework” - a lighter and less prescriptive format than a “model” – to serve as guidance and to lead to concrete applications at agency, inter-agency and system-wide levels. The task team recommended a focus on characteristics that were new or different from those in existing competency models.
24. Ms. Messina noted that the process to develop the framework would be highly participatory, with a view to leading to a high level of ownership by UN system entities and therefore a high uptake of the framework. It would also seek to model some of the behaviours to be included in the framework itself, namely: co-creation of both process and framework; involvement of UN staff across functions, levels, and locations; and, consultation of non-UN stakeholders. As indicated by the Vice-Chair, the framework would incorporate and build upon the work done by UNDG working group on leadership over the past two years, which had articulated the UN system’s higher-level values and identity as civil servants. The HLCP/HLCM task team would complement it by going into more detail on what leaders should do and how the framework could be implemented.
25. The Deputy Director, UNSSC, highlighted the three major new implications of the 2030 Agenda for the UN leadership framework identified so far by the task team: system thinking, co-creation, and managing change and innovation. She elaborated that the system lens was needed to effect change in the context of the complex and demanding 2030 Agenda, and that this proficiency must be strengthened among staff. Co-creation was the step beyond coordination and collaboration, and was necessary to overcome silos within the UN system and to improve work with outside partners. Innovation was key to changing the way the UN system organizations work.
26. On behalf of the task team, Ms. Messina welcomed the Committee’s feedback and guidance on the elements presented, and sought additional views on how leadership characteristics in support of the 2030 Agenda differed from current leadership concepts, and on how to embrace and leverage the differences in the UN system while striving for a common framework, as well as on what would make the framework inspiring to staff.
27. Mr. John Hendra, co-chair of the UNDG working group on Leadership, introduced the Committee to the work it had undertaken since 2014. He highlighted that, in order to look at leadership comprehensively, the working group’s membership had been extended to include several non-UNDG entities, including the UN Departments of Safety and Security (DSS), Peacekeeping Operations (DPKO) and Political Affairs (DPA), and the Office for the Coordination of Humanitarian Affairs (OCHA).
28. To inform its proposal, the working group had reviewed the implications of the 2030 Agenda as well as of other important policies, including the Human Rights Upfront policy, the revised Resident Coordinator (RC) Job Description and UN Country Team (UNCT) Code of Conduct, the revised RC Competency Framework, the leadership principles in the re-design of RC/UNCT performance appraisal process, multiple RC/UNCT policy guidance notes, and peacekeeping reviews and policies. The working group had facilitated discussions at a series of leadership seminars convened with RCs, UNCT members, senior headquarters leaders, and others in New York, Geneva and Bangkok, culminating in dedicated leaders’ discussion at Battery Park, New York in summer 2015. To further refine the concept, it had also facilitated a dedicated session among Assistant Secretaries-General and other leaders at a UNDG Advisory Group retreat in 2015.
29. The proposed UNDG leadership model identified seven principle characteristics of a UN leader: norm-based, principled, accountable, multidimensional, transformational, collaborative and self-applied. The model was grounded in the UN Charter, norms and standards from across the UN system, and treaties and declarations. It looked across the UN pillars with a view to being fit-for-purpose in support of the integrated 2030 Agenda, including to promote peace and security, protect human rights, address humanitarian needs, and advance economic and social progress and development. The UNDG ASG Advisory Group had approved the model in September 2016, and it was to be presented to UNDG for endorsement during the week of 10 October 2016. Already, the concepts of system thinking, co-creation and innovation identified by the HLCP/HLCM joint task team were reflected in the UNDG model.
30. In concluding his remarks, Mr. Hendra stressed that ambition was critical in the context of transformational leadership. This joint effort on leadership had to identify what culture would enable the UN system to react in a more integrated and innovative manner in the context of the 2030 Agenda. It would be necessary to define transformative leadership and identify how to create an environment to retain current staff and attract future talent with the ability to support the ambitious agenda. On behalf of the working group, he expressed appreciation for the opportunity to share its proposal and interest in coordinating with HLCM and HLCP to bring the work together and elevate it for consideration by the CEB.

31. Before opening the floor for discussion, the Vice-Chair underscored CEB's intent to develop more than a human resources tool, rather envisaging a higher-order effort by the three high-level Committees to ensure that leadership could leverage the specialization of their entities in such a way that was greater than the sum of its parts and demonstrated the value added of the system.
32. The Committee was supportive of the work completed by both the HLCM/HLCP joint task team and the UNDG working group on leadership and looked forward to considering a unified and comprehensive joint product for submission to the CEB at its first regular session for 2017. HLCM agreed that the framework should be a strategic instrument to promote organizational change, going beyond a traditional narrow human resources tool. Members supported the intent of the three CEB high-level committees to develop tools and guidance to operationalize the conceptual framework within organizations. The co-chair of the HR Network offered the Network's full support to the initiative and its assistance in operationalizing the framework, once established.
33. The importance of using one common model that built on the existing competency frameworks to inform individual leadership initiatives was noted. Recalling the different agency business models and mandates, a number of members indicated their preference to apply their own requirements to the model and adapt it to their different contexts.
34. The difference between the terms "leadership" and "management" was highlighted. The Committee agreed that leadership can and should come from staff at any level, including among general service and national staff, and, therefore, the framework should not be limited to senior managers but rather apply to all levels. It was hoped that the framework would inspire all staff to manage, think, lead and engage in different ways. Members saw targeting younger staff as key to achieving sustainable transformative leadership across the system, observing that there was greater potential to shape leadership expectations and behaviour earlier in a staff member's career. Furthermore, investment in junior and mid-level staff was seen as key to succession planning. At the same time, the importance of "leadership of the leaders" was recalled, whereby the senior-most officials needed to drive complex solutions to complex problems, spanning the system.
35. It was further suggested to anchor the leadership framework in the UN values of respect for diversity, integrity and professionalism, and incorporate additional elements that were pertinent to the 2030 Agenda in the framework: inclusiveness, a people-centred approach, and gender awareness and sensitivity. System thinking was seen as one of the most important skills needed across the UN system at all levels, and work on this element was strongly supported. Private sector models and tools on this subject could serve to inform the framework.
36. The imperative for an environment conducive to producing a different type of leader was highlighted, yet it was noted that leaders were needed to create that environment in the first instance. Members saw the need for strengthened management and support mechanisms in order to effect change, particularly at the country-level. In view of the numerous challenges faced by Resident Coordinators, the representative of staff federations stressed that it was necessary for entities to provide a supportive environment within which leaders could apply their skills, confident that they would be backed up by their organizations. The importance of taking a broader, integrated approach to change across leadership, culture and business processes was stressed.
37. One organisation proposed that the UN system consider putting in place a "transformative leadership development programme", similar to the Senior Executive Service (SES) in the United States. Three elements were important, namely: (1) identifying managers with high potential for senior positions through a highly competitive process; (2) developing them through mentoring, projects and 360-degree feedback; and (3) securing commitment from the candidates to remain in the UN system and move where they were needed and from the organizations to hire graduates of the programme into managerial level positions. Such a programme offered a number of potential benefits to the system, including a strengthened ability for leaders to face challenges, shortened recruitment times and improved succession planning through pre-qualification, harmonized management discipline and style across the UN system, improved attraction and retention of talent through an identified upward career path, and multiplication of investments made in the individual leaders through their networks and interactions with other staff. Such programme would however be based on the expectation that participants get priority over other applicants when recruiting for leadership positions. The possibility of the Staff College having a key role in administering the programme was raised, specifically in organizing inter-agency training, guiding mentoring, reviewing project work, and certifying graduates. Governance and funding could come from participating organizations, with representatives contributing to screening applicants, reviewing certifications, and placing graduates.

38. Some members supported further exploring the merits of the proposal for a leadership development programme. They would find it useful to understand what tools and capacities were already in place across the system and then determine what elements to make use of. It was suggested that the UN system might similarly learn from Member States' leadership models and programmes. The ICSC Vice-Chair recalled the past discussions on a proposed Senior Executive Service (SES), highlighting that some Member States had not supported this concept at that time.
39. A representative of staff federations called for enhanced dialogue with staff in the development of the leadership framework and also stressed the importance of transparency in facilitating the embrace of change among staff, for example in relation to any training or assessment programmes that might be implemented. Members echoed the importance of staff buy-in in order to achieve transformational change.
40. In wrapping up the session, the Vice-Chair restated the Committee's agreement that the framework should be applicable to different levels within the UN system organizations, including the senior-most and emerging leaders; should be universal in application but subject to adaptation to different agency contexts; be permeated by core UN values; reflect the cross-disciplinary nature of the system's work; and address different types and levels of risk. She also highlighted the opportunity to involve actors beyond the system in developing the model.
41. The Vice-Chair thanked all members who had contributed to the work to date, both through the HLCP/HLCM joint task team and the UNDG working group on leadership, and looked forward to the work being brought together into a one unified and comprehensive proposal, reflecting perspectives and expertise of all three committees in a joined-up manner, including on the framework's operationalization, for CEB first regular session for 2017.
42. ***Conclusion: The High-Level Committee on Management:***
- *requested the CEB Secretariat to devise a modality to converge on a unified proposal by the three CEB pillars on a UN system leadership framework, taking into account the input provided by the discussions in both Committees and in UNDG, for consideration at HLCM's 33rd session, with a view to submitting it to CEB for its consideration at its first regular session of 2017; and*
 - *recognizing that the development of the leadership framework is part of a bigger process of organizational and cultural change, requested the HLCM Secretariat to explore and propose ways to exchange information and best practices on organizational change initiatives.*

B) HR Management in support of the 2030 Agenda

43. The HLCM Vice-Chair introduced the item recalling that - with the decisions taken at the General Assembly on a revised compensation package for internationally recruited staff - the ICSC Comprehensive Compensation Review entered into a second phase: the review of the other staff categories. In order to approach this task holistically, the ICSC decided that, before going into the concrete compensation discussions, a review of the current use of staff categories and the use of the current contractual framework may be useful. The Vice-Chair noted that organizations were very much concurring with this approach, since the discussions on readiness to implement the new Sustainable Development Agenda were clearly pointing towards the need for a high quality, agile workforce that is able to deliver results in an increasingly resource constrained and less predictable environment.
44. The Vice-Chair informed that the approach and criteria for this new phase of the ICSC Comprehensive Compensation Review were discussed at the recent ICSC session in July in Geneva, in preparation of which the HR Directors held a retreat in April in Vienna. The Vice-Chair also highlighted that the 2030 Agenda puts emphasis on national implementation and partnerships, and this discussion was a pertinent one to establish in more detail what exactly that will mean for the characteristics and composition of a future UN workforce. More in-depth discussions were also needed on how to ensure attractiveness of the UN as an employer on the one hand, while aligning the staffing patterns with the underlying funding constraints. The Committee was therefore asked to provide strategic guidance on the future directions of this discussion.
45. The ICSC Vice-Chairman briefed the Committee on the deliberations of ICSC in July 2016. He informed that the ICSC Secretariat was preparing a deeper analysis of the practices in other International Organizations and the individual practices and challenges in UN System organizations. The Commission intended to ensure that its proposals met the needs of organizations, thus constructive suggestions and input from organizations were highly encouraged. With regard to defining compensation for locally recruited staff, the Vice-Chairman confirmed a need for revision of the salary survey methodology, highlighting in particular the increasing challenge of finding an adequate number of comparator entities for the salary surveys.

46. The Co-Chair of the HR Network noted with appreciation the constructive engagement with ICSC during the just completed compensation review. She informed that the HR Network had identified and communicated a range of drivers that needed attention in the new review, including: (a) increasing pressure for cost effectiveness, and organizational agility; (b) a requirement for more national implementation and a consequent move from HQ-based to Field-based staff; (c) greater/expanded use of and growth in locally-recruited staff, and increasing need for local capacity, and a greater availability of local capacity and skills than in the past; (d) increase in shared services from HQ and regional locations and in centers of excellence for delivering core administrative functions ; (e) staff safety and security considerations that have obligated organizations to reduce their footprint in hardship locations and to deliver as much as possible from a neighbouring regional or sub-regional hub/office, with consequent need for lesser restrictions and constraints in work assignable to National Professional Officers (NPOs); (f) lack of career progression across categories; and, (g) operational rigidity on the use of NPOs.
47. Against this background, one of the short term requests by organizations included the adjustment of the use of National Professional Officers to new realities, and making criteria of use more flexible, with regard to two aspects: (1) currently, only nationals of the country of the duty station can be recruited. The Network would like to see that adjusted; (2) the current restriction that NPOs can only work in national context – this restriction does not exist for P staff nor for G staff, and it is limiting in particular given the increasingly regional and interconnected nature of humanitarian and development work.
48. A third element that would merit further discussion was the current restriction that NPOs can only be used outside of HQ duty stations. There are certain professional functions like architects or medical doctors where organizations routinely and deliberately resort to nationals of the country of the duty station for practical reasons but currently need to recruit them as International Staff. This view is largely shared among the HR Network. However, it would be imperative to carefully manage the workforce composition with such flexibilities. An important angle was the preservation of the international character of the UN workforce. One way of addressing this would be to agree a set of basic criteria that would determine when a given position would have to be internationally recruited.
49. The Co-Chair further reported on the outcome of a strategic HRN workshop in April on the matter. The main topic of that event was how to further simplify the administration of various staff categories and contractual modalities. It was highlighted that, as a vision, only the recruitment approach (internationally or locally) and the related compensation setting method (Noblemaire principle versus Flemming principle) should be used to differentiate staff modalities, and further discussions would be needed to analyse in detail the practical implications of such simplification.
50. Finally, the HR Network Co-Chair updated the Committee on the ICSC review of implementation of the Contractual Framework. In general, organisations confirmed that the framework was broad enough for the needs of organisations and had led to simplification by reducing the number of contract types. A number of organisations, in particular the Funds & Programmes, however reported challenges with contract modalities for project-based, truly time-limited project appointments. She informed that a working group was currently preparing a discussion paper on the subject that would be discussed in the HR Network in November, with the intention to submit as a CRP for the next ICSC session.
51. In the subsequent discussion, organizations expressed support for attempts to enhance flexibility and to further simplify the provisions in the use of NPO staff. It was highlighted that many organizations are expected to maintain significant field presence and that it was unrealistic to expect such presence only to be staffed with internationally recruited staff. A number of organizations were supportive of further looking into the possibility of employing NPOs in headquarter duty stations. Some organizations highlighted the importance of not creating unintended inequalities and suggested to that the HR Network develop a comprehensive business case to determine the magnitude of the issue, as well as the advantages/disadvantages to changing how we currently use NPOs, including implications of changing the job descriptions. This would ensure proper safeguards are in place. It was also highlighted that career development for national and local staff would need further focus and strengthening. One organization highlighted that security provisions needed to be strengthened in an equitable way, regardless of the staff category. Another organization indicated that the new Sustainable Development Agenda was expected to be implemented through an approach “as local as possible, as international as necessary”.

52. The representative from the Staff Federations highlighted the high education level of current NPO staff. He expressed the wish for better career development opportunities for such staff, including by advancing through various staff categories. He also highlighted that equity challenges should be carefully addressed, when staff of different categories work in similar jobs. Administrative complexity should not be increased through the introduction of new categories such as regional professional officers. Another aspect that required careful consideration, in his view, was the need to preserve diversity and the international nature of the UN workforce. He expressed the opinion that the current contractual modalities would suffice for the type of work UN organizations are expected to deliver. The UN Medical Director highlighted the need to also review the classification and use of medical professionals, to secure sufficiently skilled personnel also in the light of trends towards higher educational levels in the profession.
53. The ICSC Vice Chairman indicated that its Secretariat was currently compiling further experiences, challenges and expectations with regard to a more flexible use of NPOs, following the discussion at the recent ICSC session. He highlighted that an introduction of Regional Professional Officers might however increase undesirable administrative complexity. He also suggested discussing further how the international character of the UN can be preserved, for instance by agreeing a set of criteria that would require the recruitment of international staff for a given position. He also invited organizations to share their concrete proposals with regard to an additional project-based appointment modality.
54. ***Conclusion: The High-Level Committee on Management:***
- *took note with appreciation of the briefings from the HR Network and the ICSC;*
 - *welcomed the availability of the ICSC to carefully take into account the needs of the organizations in the ongoing Review, and confirmed its continued willingness to actively engage in the discussion of the second phase of the Review in the same consultative manner that was adopted in the first phase;*
 - *Requested the HR Network to actively engage with the ICSC as the primary interlocutor of organizations, decided to form a new HLCM Strategic Group to guide Phase 2 of the ICSC Review, and requested the CEB Secretariat to undertake consultations towards the establishment of this Group; and*
 - *Noted its expectation that the outcome of this Review should lead to adequate, flexible tools that allow organizations to respond in an agile and cost-effective way to their specific challenges in the context of the 2030 Sustainable Development Agenda.*
55. The Vice-Chair then introduced the other subject on this agenda item, the proposal for joint provision of classification and reference checking services. She recalled that the subject was first introduced to HLCM at its 31st session, in line with Common Principle #9 on Effective Service Delivery. At that time, the initiative was welcomed by the Committee. She highlighted that the UN System already had a range of experiences with joint initiatives and services, in particular in HR, in very different settings: from provision of HR services by one organization to others (as is the case for UNOPS and UNDP); joint programmes such as UN Cares; and institutionalised settings such as ICSC or the Staff College. The UN system should benefit from those experiences when designing new initiatives.
56. The Co-Chair of the HR Network reported that the Network had continued its work on this initiative, under the leadership of UNFPA and UNDP, and that the lead agencies had invited some organizations with experience in service centre environments to an expert workshop at UN Volunteers in Bonn in August. The Network had subsequently discussed the document now before the Committee, and members had provided further comments, the summary of which had been shared with HLCM as an input to the discussion.
57. The Co-Chair highlighted that document CEB/2016/HLCM/19 and Add.1 was a progress report, and indicated that further details would need to be worked out in order to arrive at a full pricing model, cost-benefit analysis and associated cost sharing models. She noted that the majority of the organisations were interested in principle in joining, for either one or both of the services. Some agencies, in particular smaller ones, were interested in an ad-hoc use. One of the details to be further worked out was how to handle and distribute one-time investments, and also how to ensure that a hosting organisation, given the expressed preference for “pay per use models”, can reliably plan the financial and personnel resources.
58. In the subsequent discussion, organizations voiced their continued support for the initiative. Some highlighted the need to further clarify the expected services for reference checking, including professional accreditations (e.g. for medical professionals), criminal records and work-related references. In general, organizations were convinced that such joint services lead to qualitative improvements along with financial benefits. Some smaller agencies indicated their interest to participate, albeit only case-by-case. Some organizations highlighted that they may not wish to resort to such joint services but would nevertheless be keen to participate in the underlying structured inter-agency information sharing. While some agencies suggested using existing expertise in service provision, others highlighted

the expectation to devise a structure that allowed for a truly joint centre, including joint management, rather than service provision by one agency for others. HLCM members confirmed the need for in-depth financial and risk management preparation, suggested that next steps should involve financial and budgetary experts, and noted the importance of diligently reviewing the lessons learnt from similar initiatives before embarking in the operationalization of the joint services. There was consensus on the fact that organizations would only be able to join if the overall cost were equal or lower to the ones currently paid for these services, and thus a detailed cost-benefit analysis was critical.

59. The UN Secretariat highlighted the recent endorsement by the General Assembly of the Global Service Delivery Model (GSDM), geared towards achieving UN Secretariat-internal consolidation and streamlining of HR services. The USG-DM indicated that, given the magnitude and challenges of this endeavour, this project would have to take priority in the coming years over other inter-agency initiatives for joint HR services. Once initial consolidation would be achieved, the UN Secretariat would further assess the extent to which the initiative may be beneficial for the UN Secretariat.
60. In reflecting on the discussion, the Co-Chair of the HR Network highlighted the need for a dedicated project management structure and approach going forward. Given also that this initiative would need input from the Finance & Budget Network, it was suggested that the CEB Secretariat should prepare such project approach and identify a suitable project manager after consultation with the various stakeholders. For HLCM 33rd session, the project manager would prepare an in-depth analysis of several options and a detailed financial analysis, also taking into consideration all necessary legal aspects.
61. ***Conclusion: The High-Level Committee on Management:***
 - *took note of the progress report on joint provision of services for Job Classification and Reference Checking;*
 - *Requested the HR Network, in consultation with the FB Network, to come up with detailed project proposal, including a range of operational and hosting options, associated cost-/benefit analysis and pricing models, taking into account different organizational sizes and needs; and*
 - *Noted that the success of the initiative will depend on a comprehensive and transparent effort to identify the most effective solution to meet the needs of the organizations, based on an thorough comparison of the possible organizational set-ups, location, hosting, as well as management and governance arrangements, taking into account lessons learnt and the experience from previous and existing common services set-ups.*

C) Sexual Exploitation and Abuse

62. The HLCM Vice-Chair recalled that the High-level Committee on Management, at its 30th session in October 2015, expressed strong support for the Secretary General's initiative to strengthen the response to sexual exploitation and abuse and for the recommendations included in the Secretary General's report on Special measures for protection from sexual exploitation and abuse.
63. In the same session the Committee noted the linkage between the response to sexual exploitation and abuse and the roll-out of the Human Rights up Front initiative. The importance of mainstreaming approaches to ensure prevention of sexual exploitation and sexual abuse in the work of UN system organizations, and to share information to this end was also highlighted. A Task Force on Sexual Exploitation and Abuse led by the United Nations Department of Field Support was established by the Committee to review the recommendations contained in the report of the Secretary-General, with a view to deciding how these proposals may best be carried forward.
64. The Vice-Chair noted that in March 2016 the Secretary-General had appointed a Special Coordinator on Improving the United Nations Response to Sexual Exploitation and Abuse, Ms. Jane Holl Lute, and that work in this area had since been subsumed under her leadership. She furthermore mentioned that the Chair of the High-level Committee on Management and the Special Coordinator had met in July 2016 and together emphasized the importance of the strongest possible action on sexual exploitation and abuse, particularly the implementation of a zero tolerance policy and coordinated inter-agency cooperation. The Vice-Chair also highlighted the linkage to the Committee's ongoing discussion on the High-level Committee on Management's Strategic Plan for 2017-2020, especially to its work on risk management.

65. The Special Coordinator on Improving the United Nations Response to Sexual Exploitation and Abuse, participating via audio link from New York, began her presentation by outlining the responsibilities of her office. It was explained that the instructions by the Secretary-General were to work across the United Nations system including the funds and programmes, and where appropriate the specialized agencies, to make concrete, measurable progress in the United Nations' collective ability to prevent sexual exploitation and abuse or to respond rapidly and effectively when it occurs. She elaborated that her office's part in this endeavour was to organize, prioritize and unify work of the United Nations' system on this issue. In particular the Special Coordinator mentioned the role of her office in coordinating ongoing initiatives and sharing information in order to raise visibility of work in progress among the United Nations system.
66. Ms. Lute stressed the great interest of Member States, staff, the public and beneficiary populations of United Nations services in the topic and highlighted that a progress report, following the Secretary General's report on Special measures for protection from sexual exploitation and abuse had already been provided to the General Assembly. She also underscored that the response to sexual exploitation and abuse was a priority for all parts of the United Nations.
67. The Special Coordinator introduced two specific proposals to improve the system-wide response to sexual exploitation and abuse, the first of which was a shared electronic screening tool. It was explained that the tool would serve the identification of individuals who had been dismissed from the United Nations system for a cause related to sexual exploitation and abuse and were re-applying to positions within the system. This shared electronic functionality tool would be manually fed by participating organizations with information on staff that had been dismissed, or repatriated on disciplinary grounds related to sexual exploitation and abuse. In the case that such an individual applied to a position in another entity, the tool would recognize similarities and trigger a response, which would inform the using entity of what other peer entity possessed the original information on the individual. The two organizations would then be in a position to liaise directly in a confidential way and take the appropriate measures.
68. Ms. Lute expressed her hope to build cross-system cooperation on screening partnerships and noted that the proposal was still under discussion but would be shared for review with all member entities of the High-Level Committee on Management, as appropriate. Observing that some entities had already started working together and had initiated internal consultations on the tool, the Special Coordinator invited members of the Committee willing to participate in the project to provide comments to the existing proposal. The launch of the tool was foreseen for December 2016.
69. The second proposal, a global repository of allegations for all UN entities, was presented as related to the electronic functionality tool. The initiative required the establishment of a common data base of serious allegations of sexual exploitation and abuse including their ultimate disposition. This repository would be accessible, under appropriate rules, to all organizations of the United Nations system. Work was still needed on the terms of reference for operating and hosting the database. The Special Coordinator pointed out that the global repository was an important way to help streamline cross-agency collaboration on the prevention of sexual exploitation and abuse.
70. In the ensuing discussion, the Committee reiterated its solidarity with this work and highlighted the importance it attached to it. Support was voiced for the proposal to share information across the United Nations system to prevent the re-recruitment of staff that had been found guilty of misconduct.
71. The Co-Chair of the Human Resources Network stressed the Network's readiness to cooperate on finding an appropriate solution so the United Nations system did not re-hire offenders. It was underscored that the emphasis should also be on prevention. Linking the issue to other topics discussed by the Committee, such as leadership models and risk management, the Co-Chair called for a more holistic approach to the response to sexual exploitation and abuse. The role of human resources directors regarding prevention and the protection of victims of sexual exploitation and abuse was seen as going beyond avoiding the recruitment of offenders. In order to strengthen managers' understanding of risk and their approach to mitigating opportunities for sexual exploitation and abuse, a more comprehensive approach, encompassing the inclusion of the topic in competency frameworks, codes of conduct and induction programmes was suggested.
72. It was noted that in many countries inter-agency mechanisms were already in place to cover work on sexual exploitation and abuse, and the foreseen establishment of posts for the coordination of the response to it in countries with the highest allegations was commended.
73. One member welcomed the establishment of the trust fund for victims of sexual exploitation and abuse and stressed the importance of ensuring the complementarity between this trust fund and other trust funds that cover related areas. Support was voiced for the indication in the Secretary-General's report on special measures for protection

from sexual exploitation and abuse to cover immediate assistance of victims by mission budgets in the absence of other available means.

74. It was observed that cases of sexual exploitation and abuse were a shared responsibility, as cases did occur across organizations and missions of the United Nations system and were committed by international staff, national staff and contractual staff. The importance of consistent reporting of allegations was emphasised.
75. The representative of the Legal Network informed the Committee that the UN Office of Legal Affairs (OLA) had taken the lead in drafting a system-wide policy to balance confidentiality and accountability, and stated that OLA would keep the members of the Legal Network informed of this exercise and would share with them the policy, once it will be finalized. She also noted that the Legal Network would examine the proposed electronic screening functionality and the global repository of allegations as soon as they were concrete in order to ensure that the tools would withstand legal challenges.
76. Following the discussion, Ms. Lute thanked the Committee for its comments and reemphasized the importance of the proposed electronic functionality tool through which vetting and sharing information could help prevent sexual exploitation and abuse. Regarding legal issues, she pointed out that work had already been done in various parts of the system on reconciling confidentiality, consent of victims and the need for accountability in the organization, and that it was her intention to build on this work.
77. In her closing remarks, the Special Coordinator outlined the next steps her office intended to tackle by referring to a recently conducted survey of staff, the results of which would serve as the baseline for prioritizing work programmes. She noted that agencies, funds and programmes had already begun, on request by Member States, to report serious allegations of sexual exploitation and abuse on a monthly basis. She noted that the organization was under heightened scrutiny with respect to sexual exploitation and abuse and she urged everyone to confront the topic with courage and conviction so the United Nations could lead globally on standing up to sexual exploitation and abuse.
78. The Vice-Chair thanked the Special Coordinator on Improving the United Nations Response to Sexual Exploitation and Abuse for her presentation and wished her continuing success with her important work.
79. **Conclusion: The High-Level Committee on Management:**
- *took note with appreciation of the briefing by the Secretary-General's Special Coordinator on Improving the United Nations Response to Sexual Exploitation and Abuse;*
 - *stressed the importance it attaches to the strengthening of the response to sexual exploitation and abuse and expressed its support for a holistic approach with a strong emphasis on prevention;*
 - *recognized the linkages of the response to sexual exploitation and abuse to elements in the HLCM Strategic Plan 2017-2020, including planned activities on the strengthening of ethics and codes of conduct, the development of a new leadership framework, the initiatives towards empowerment of women, as well as all work on accountability and risk management;*
 - *Committed to share information and best practices and contribute to reporting on sexual exploitation and abuse; and*
 - *Committed to provide, through the Human Resources Network and the Legal Network, the support and technical advice that would be required by the Special Coordinator on Improving the United Nations Response to Sexual Exploitation and Abuse, on the project proposals related to the electronic screening functionality tool and the global repository of allegations.*

D) Cost of oversight and accountability mechanisms in the UN system

80. The HLCM Chair opened the discussion by recalling that in 2014, HLCM endorsed the Three Lines of Defense Model (the Model) as the reference "Risk Management, Oversight and Accountability Model for common positioning in the UN System with Governing Bodies", and that the Committee also requested the Finance and Budget Network to "conduct an assessment of costs related to the oversight and accountability structures and mechanisms, for the entire UN system".

81. Document CEB/2016/HLCM/21 was introduced by the Co-Chair of the Finance and Budget Network, Mr. Nick Jeffreys, who noted that the costing exercise had represented a major undertaking for the Network, with twenty-three organizations participating in the exercise, under the leadership of UNFPA. Mr Jeffreys underlined that organizations made a very rigorous attempt to quantify costs that were, by their nature, rather difficult to quantify. While efforts were made to maintain a harmonized approach in arriving at the cost data, some variability in the results between organizations existed, due to variances in business models and structures.
82. Mr. Andrew Saberton, Director, Division for Management Services, UNFPA presented further details of the costing exercise, including the methodology applied and the results obtained. He described the costing template and the various elements of the first, second and third lines of defense that had been captured by each organization. It was noted that costs of external lines of defense, as well as senior management costs dedicated to oversight and accountability had also been captured. Mr Saberton noted that in terms of methodology, actual costs were used where possible and predominantly for the third and external lines of defense, and that in other areas, assumptions of cost allocation and best estimates for apportionment had to be applied, predominantly for the costs associated with the first and second lines of defense. It was noted that in general, external and third line of defense costs were easier to identify and measure, whereas costs related to the first and second lines of defense, as well as senior management costs, were more subjective and thus indicative only.
83. When providing an overview of the results of the costing exercise, Mr Saberton noted that the 23 UN organizations that had completed the survey spent USD 1.9 billion in oversight and accountability in 2014, representing approximately 5.5 per cent of their total expenses. He also noted that the percentage of an agency's total expenditure dedicated to oversight and accountability ranged up to maximum of 18 per cent, with median result of approximately 10 per cent. He further noted that the greatest investment was in the first and second lines of defense. Mr Saberton also presented the results of the first attempt of the Finance and Budget Network to measure the impact of the resources dedicated to oversight and accountability structures across the UN system, as set out in Annex I of the report. It was noted that in general, the survey responses illustrate a widening culture of accountability and a declared commitment by UN organizations to strong oversight and accountability, as well as an awareness of the importance of the required structures, tools and policies, and of their ongoing efforts to strengthen some areas of weakness.
84. In the ensuing discussion, HLCM members thanked the Finance and Budget Network for the work done in preparing the report, and reflected on the potential uses for the results of the costing exercise and the ways in which the Finance and Budget Network could further develop this work. There was general agreement among Committee members that the report should be kept for internal use of the Committee and should not to be published externally at this stage. Some members also highlighted the relationship between oversight and accountability, noting that a strengthening of accountability leads to a reduction in resources needed for oversight.
85. The specific issue of costs of support provided to governing bodies was raised, with Committee members noting that the magnitude and composition of these costs varied between organizations. The Committee agreed that it was valuable to capture these costs in a comprehensive manner, as they represented the true cost of the governing bodies.
86. The Committee then received a statement by the UN-Representatives of Internal Audit Services (UN-RIAS), delivered by Ms. Susanne Frueh, Director Internal Oversight Service, UNESCO. UN-RIAS welcomed the Three Lines of Defense Model as it will help organizations to think constructively about how the individual components of the Model operate practically in their own organizations. UN-RIAS noted that the data collected by the Finance and Budget Network constituted an excellent starting point and supported the recommendation to continue this effort with a focus on how internal controls fit with the Model. UN-RIAS supported a more in-depth reflection on the first and second lines of defense, and suggested the development of improved definitions between the two lines. UN-RIAS raised a number of other points for consideration, including that the Three Lines of Defense Model seemed to equate each line of defense with assurance, and that the analysis did not address the issue of the relative assurance provided, noting that the level of assurance provided by each line is variable and can only be determined through assurance mapping and the testing thereof. Regarding the introduction of an external line of defense by the Finance and Budget Network for the costing exercise, UN-RIAS noted that this may cause confusion as it mixes management activities (support to governing bodies and jointly financed oversight) with fiduciary roles such as external audit. Regarding the attempts to measure the effectiveness through surveys, UN-RIAS found this to be a useful innovation and encouraged more organizations to report their results. Regarding interpretation of the data, UN-RIAS encouraged further development of robust cost-accounting processes, to have in future a solid evidence base upon which to draw conclusions. UN-RIAS agreed that the principles of the Model should be shared more widely with stakeholders to improve their understanding of the purpose of internal controls and how they fit with the Model, noting that UN-RIAS would be happy to engage further in development of this instrument.

87. In terms of suggestions for the future direction of this work, some Committee members noted that due to the difficulties and labour intensive efforts in obtaining robust data on the costs of the first and second lines of defense, it would be useful to focus more on developing a time series of costs for the third line of defense, and to also further develop measures of impact of the resources dedicated to oversight and accountability functions, while recognising that there may be difficulties in establishing solid causality links.

88. **Conclusion: The High-Level Committee on Management:**

- *commended the Finance and Budget Network on its report on the Costs of Oversight and Accountability Structures in the UN System and on the useful analysis contained therein;*
- *noted that the study illustrated a widening culture of accountability and a declared commitment by UN organizations to strong oversight and accountability, as well as an awareness of the importance of the required structures, tools and policies, and of their ongoing efforts to strengthen some areas of weakness;*
- *recognizing that this was the first study of this nature undertaken in the UN system, agreed to take the report as a basis for future discussions, and to use it as an internal document for reference by HLCM members when establishing internal benchmarks, and in helping each organization to use common language when interacting with Member States in discussions about internal control and compliance;*
- *requested the Finance and Budget Network to continue with this exercise and consider quantification of costs for 2016 with a view to developing a time series for the third line of defense; and*
- *further requested the Finance and Budget Network to explore the possibilities for measuring the impact of oversight and accountability structures in place across the UN System and report back to HLCM thereon.*

E) Common definitions related to fraud and implementing partners

89. Mr. Yukio Takasu, Under Secretary-General for Management of the United Nations Secretariat, introduced the draft Terms of Reference of the Task Force on Common Definitions Related to Fraud and Implementing Partners, noting that HLCM was engaging in this work in response to a mandate by the General Assembly and to requests from the Board of Auditors. He also referenced the Anti-Fraud and Anti-Corruption Framework that had recently been launched by the UN Secretariat.

90. Mr. Takasu recognized that some work in this area had already been carried out by groups such as UN-RIAS and under initiatives such as the Harmonised Approach to Cash Transfers (HACT), and that therefore the Task Force would undertake to review the work already done across the UN system in order to build upon existing efforts.

91. Ms. Linda Ryan, Controller, UNHCR, who will be co-leading the Task Force together with the UN Secretariat, also provided introductory remarks, noting that the initial stage of work would focus on common definitions and would draw on the wealth of resources and information available, and that the Task Force would engage colleagues with varied experience, including from the Procurement Network and those with expertise in managing partnership arrangements.

92. In discussing the draft Terms of Reference, the Committee emphasized the importance of having participation in the Task Force from a wide range of expertise, including programmatic expertise, noting the sensitivity of defining implementing partners and the need to ensure that the focus is not taken from a procurement angle. One Committee member suggested that establishing a set of common principles rather than precise definitions may have more operational value for the UN system. It was agreed that it should be a priority of the Task Force to start initiatives for information sharing on fraud cases as soon as possible, however in order to be in a position to share information effectively, common definitions would need to be agreed first.

93. In closing, the Chair thanked the UN Secretariat and UNHCR for their commitment to lead this important exercise, noting that one of the priorities of the HLCM Strategic Plan for 2017-2020 was to increase the capacity of the UN system to work effectively with multi-stakeholder and multi-sectoral partnerships, and that the work of the Task Force would be very important in this very precise respect.

94. **Conclusion: The High-Level Committee on Management:**

- *approved the Terms of Reference for the Task Force, noting that although the work on common definitions would be completed first, the work related to an information sharing platform for implementing partners should also be commenced as soon as possible;*
- *thanked the UN Secretariat and UNHCR for agreeing to lead the Task Force and requested the Task Force to report back to the next session of HLCM on the progress of the deliverables set out in the Terms of Reference; and*
- *further requested the Task Force to draw on expertise from different perspectives when carrying out its work and to build upon relevant work previously undertaken including work related to the Harmonized Approach to Cash Transfers.*

F) Programme criticality framework

95. Ms. Izumi Nakamitsu, Co-Chair of the Programme Criticality Steering Group and Assistant Secretary-General and Assistant Administrator UNDP, introduced the revised Programme Criticality Framework to HLCM, also on behalf of the Assistant Secretary-General for Humanitarian Affairs and Deputy Emergency Relief Coordinator who Co-Chaired the Steering Group. Ms. Nakamitsu outlined the revisions made to the Framework to reflect decisions of the Secretary-General's Policy Committee in January 2016 and recent changes in the UN Security Management System, as well as some lessons learned and good practices from the field.
96. Ms. Nakamitsu recalled that the Framework was an essential element of the UN's security risk management approach in high risk environments, providing leadership at the country level with necessary information to take decisions as to what level of risk is acceptable for UN personnel working in that environment. Ms. Nakamitsu explained the key features of the revised framework, including that clearer guidance was provided to UN country presence in terms of purpose and methodology of the Framework, as well as on the roles and accountability of senior management in the field. System wide oversight and support structures had been streamlined, including through the creation of the Steering Group, and advances made in the UN Security Management System, including the new UN Security Risk Management process, had been taken into account.
97. The Committee was informed that the revised Framework would be translated to French and disseminated to all relevant field locations, and there would also be an effort to incorporate the Framework into some of the training materials for staff operating in high risk environments.
98. Mr. Craig Harrison, Chief of the Policy, Compliance and Coordination Service of the United Nations Department of Safety and Security (DSS) spoke on behalf of the Under-Secretary-General for DSS and thanked UNICEF for its previous leadership on Programme Criticality as well as UNDP and OCHA for continuing the work. Mr. Harrison noted that DSS supported all the amendments and stressed that the Framework was a crucial element together with the Security Risk Management process that was being rolled out, and that DSS would ensure that new Framework is integrated through DSS training.
99. Committee members supported the use of the Framework and welcomed the improvements that brought increased clarity and specificity to the linkages to the Security Risk Management process. The strengthened language in the Framework on accountability and leadership at the field level was also welcomed. The Committee highlighted that although final accountability for Programme Criticality Assessments rested with the Resident Coordinator or the Special Representative of the Secretary-General, it was crucial that Programme Criticality Assessment exercises did not exclude any UN entities at the country level. Ms. Nakamitsu confirmed that the Programme Criticality Steering Group would further discuss how to broaden the involvement of UN entities.
100. The representative of the Coordinating Committee for International Staff Unions and Associations (CCISUA) emphasized the importance of ensuring that staff are adequately protected, suggesting a need to monitor the new residential security measures that have been put in place.
101. **Conclusion: The High-Level Committee on Management:**
- *expressed appreciation for the work of the Programme Criticality Steering Group and approved the revised Programme Criticality Framework for subsequent endorsement by CEB at second regular session for 2016; and*
 - *requested all organizations to implement the provisions of the revised Programme Criticality Framework.*

G) Health support plans for duty stations worldwide

102. The HLCM Vice-Chair recalled the comprehensive discussion held at the March 2016 meeting on Duty of Care in high-risk duty stations. In that occasion, the Committee had expressed strong support for the inclusion of this area of work as one of its top priorities in the next strategic plan. And, she noted that a key element of duty of care was the provision of adequate health support for staff in those locations.
103. The Vice-Chair indicated that, in this domain, adequate resourcing was essential, and highlighted the importance of making need assessments based on a clear, risk-based methodology. Only evidence-based country health risk profiles would allow an informed discussion on adequate structure and funding of medical services.
104. The Chair of the Medical Directors Working Group (MDWG) highlighted that resourcing should correlate with the risk in a specific environment, thus calling for the development of the Health Risk Assessments model that was before the Committee, as a prerequisite for any funding discussion. The model was rooted in existing Enterprise Risk Management (ERM) tools and techniques that are prevalent in most UN organizations.
105. The Co-Chair of the Human Resources Network confirmed that the proposal found support and endorsement at a recent Network discussion. She highlighted that it was becoming increasingly challenging to attract people to difficult duty stations, not only because of safety and security situations but also due to lack of communication of a clear health plan and sometimes adequate healthcare facilities. The Network supported the leveraging of the presented risk assessment models, offering support in its application in the specific country environments, not least in an attempt to accelerate its application as widely as possible in a shorter period of time. She also reported that the HR Network, at its last meeting, had recommended a close collaboration with the Network's Field Group and the ICSC Secretariat, to ensure that any results of Health Risk Assessments are considered in the periodic review of hardship classifications of duty stations.
106. In the subsequent discussion, organizations expressed their strong support for the initiative and approach. Some organizations stressed the need to include psycho-social aspects in the methodology. They also highlighted the need for such assessments to be conducted in partnership with all relevant stakeholders, not only to comprehensively assess the in-country situation but also to avoid duplication through parallel related exercises. Some agencies highlighted their willingness to collaborate in order to accelerate the implementation of the assessments. It was also mentioned that there was a need to better communicate what the UN System is doing in order to optimize health support to staff. Finally, it was highlighted that the deliberation, based on the assessment outcomes, on adequate structures and service delivery, was a crucial underpinning of a subsequent budgetary discussion. Looking deeper into where the UN is not operating its Clinics as efficiently as needed, and examining potential savings and contributions to health insurance providers, should become part of such deliberations.
107. Representatives of the Staff Federations welcomed the initiative. They expressed the expectation that such assessments would be conducted comprehensively, including elements such as environmental pollution or mental health. They also highlighted that assessments and related interventions were not only needed for field duty stations, as recent surveys had equally shown health-related challenges at Headquarter duty stations. Finally, they cautioned against the risk of such risk assessments being misinterpreted to justify lower health-related funding for certain duty stations.
108. The Co-Chair of the Finance and Budget Network welcomed the opportunity to be involved at an appropriate time. He also highlighted a potential link with the ASHI working group, as this body was examining the extent to which local healthcare providers could be used by UN staff and retirees more comprehensively.
109. The UN Medical Director welcomed the discussion and the support expressed, confirming her willingness to find ways with interested partners to accelerate the implementation of the initiative. She highlighted that Health Risk Assessments would also provide efficiencies, given that they could replace similar exercises currently conducted individually by organizations.
110. The Vice-Chair thanked the Medical Directors Working Group for the work and confirmed the appreciation of HLCM for the progress.

111. **Conclusion: The High-Level Committee on Management:**

- *took note with appreciation of the briefing by the Medical Directors Working Group;*
- *confirmed that a risk-based approach for health risk planning and mitigation is an essential foundation of the duty of care for staff; and*
- *requested the UNMDWG to consult with the Finance and Budget Network on possible funding modalities for the new approach to health needs of staff once the model has been carefully defined in consultation with the HR Network.*

H) Data innovation lab and UN system common documentation standard

112. The HLCM Vice-Chair opened the item on Data Innovation Lab & UN System Common Documentation Standard by noting that, as stated in the new HLCM Strategic Plan, digitalization of information promotes integration, coordination and transparency, and that HLCM will develop its agenda on a Digital Transformation of the UN system around the pillars of transparency, standards and data and information security. She also recalled that enhanced information management and improved accessibility of UN documents and information was a priority of HLCM.
113. The United Nations Secretariat Under-Secretary General of Conference Services began her presentation by recalling that the main objective of the Common Documentation XML project was to define a common, standard format for UN parliamentary and normative documents so they can be machine-readable. She noted that, in the past, use of commercial software systems for document preparation frequently utilized propriety formats, leading to situations where older documents were no longer electronically available as these formats became obsolete. This can be avoided by using an open source standard based on Extensible Markup Language (XML).
114. Ms. Pollard noted that since the United Nations was one of the world's largest producers of parliamentary documents, responsible for the production of the General Assembly and Security Council resolutions that are now a major source of the international law, machine-readability would allow for improved timeliness and reduced costs through re-useable content and automated formatting. Furthermore, a common standard supported faster multilingual search capabilities that offered enhanced linking of information and tracking of document versions, in addition to multi-channel dissemination of data, including access for people with disabilities.
115. The USG also mentioned that the UN Secretariat's aim went beyond making General Assembly documents machine-readable, but extended to reengineering the multilingual document production workflow. This would allow for enhanced services to delegates, who would submit draft resolution text through an on-line authoring interface, with only new language transmitted to the translation and editorial services, who only needed to edit and translate new or modified text and reuse the previously translated text. She further noted that this initiative supported the implementation of the 2030 Agenda for Sustainable Development, which will require a robust review mechanism and a solid framework of statistical data to monitor progress, inform policies and ensure accountability of all stakeholders. UN documents play a major role in shaping the global policy framework for pursuing the SDGs by defining policies and guidelines and setting standards.
116. The HLCM project, which commenced in June 2016, began with the working group of participant organizations defining a preliminary list of document classes that are representative of the types of documents produced by organizations within the UN system, while concurrently the two lead organizations, FAO and the UN Secretariat, carried out an in-depth document analysis that would lead to the application of the standard to the General Assembly resolutions and FAO Basic Texts. Going forward, a team of experts would use the information collected to draft the final guidelines that would be reviewed and eventually endorsed by the HLCM Working Group on Document Standards, with the project expected to conclude by April 2017.
117. Ms. Pollard concluded her remarks by noting that organizations not currently participating were welcome to join the project, noting that wide participation ensured that the guidelines and standards created would take into account the needs and requirements of all organizations. Since the three leading entities (HLCM, FAO and UN/DGACM) were financing the project, organizations could join without making a monetary contribution, with the only cost involved being the human resources needed to describe their most representative documents and attend periodic virtual meetings.

118. The co-lead organization in this initiative, FAO, noted that the presentation fully captured the activities of the XML project, and recalled that the many governments and institutions already used a similar standard for parliamentary documents.
119. The second topic in this agenda item, an update on the Data Innovation Lab project, was presented by Mr. Robert Opp, Director, Innovation and Change Management at WFP, who began by noting that the exponential growth of computing power had enabled organizations in many private and public sectors to radically change the way data is used. He pointed that companies like Uber had grown enormously by being intensively data-driven, and suggested that the same approach could deliver benefits for sustainable development. Mr. Opp reminded the Committee that the Data Lab project, which is co-led by UNICEF and WFP, was one of four initiatives endorsed by the CEB in its UN System Approach to the Data Revolution. He noted that instead of creating a specific inter-agency structure to investigate the use of data for sustainable development, the lead agencies would collaborate across the UN system and with private-sector partners to conduct a series of six thematic workshops, each of which would explore a specific topic and each would build upon the previous one.
120. The first workshop convened in May 2016, hosted by Singularity University in California's Silicon Valley. Through workshops and presentations by tech-sector partners, the event sought to highlight key trends, areas of opportunity, risks, and collaborations on new and emerging data sources and methods that the UN can explore. The second of the six events took place during the UN week in September 2016 in New York. Hosted by Microsoft, the workshop explored specific cases presented by the participating UN organizations with the support of UN Global Pulse and external partners.
121. The presentation noted that the first two events highlighted the significant potential for using data, with significant scope for using new technologies to address gaps in the data available for decision-making by the UN and its stakeholders. The workshops had also revealed a strong appetite for the by private-sector firms to become involved in these activities. The presentation also noted that the workshops included discussions on how to strengthen the UN system's capacity to leverage the data revolution, including by enhancing the ability of organizations to translate challenges into solutions using data and analytics. Mr. Opp concluded by indicating that even though over twenty organizations were now participating in the labs, all organizations were welcome to join.
122. During the ensuing discussion, HLCM members expressed strong support for both initiatives, as flagship examples of the ongoing technological transformation that the UN system was undergoing. It was noted that the XML project represented an important qualitative contribution of open data by the UN and the Data Lab enhanced the UN system's capacity to utilize data for decision-making.
123. Regarding the Data Lab initiative, it was suggested that in addition to harnessing of data for analytical purposes, the Data Lab may wish to consider how data collected and used by organizations can lead to new ways of conducting programmes. In addition, it was noted that data innovation activities are happening across the UN system, and although the Data Lab are bringing organizations together, there should be an emphasis on working together to achieve efficiency. Further comments stressed the need to broaden the vision of modernization, with an expressed request to the ICT Network to more fully explore ways to leverage technology for innovation both inside and outside UN organizations. It was also generally agreed that the priority focus should remain on the ways that data can support the achievement of the Sustainable Development Goals.
124. Committee members also offered their experiences in this area, highlighting the importance of strengthening internal knowledge sharing capabilities and suggesting that internal competitions had been successful in generating and realizing innovative ideas.
125. The Committee also took note of potential obstacles could inhibit the UN system from fully leveraging the data science being developed in the labs. For example, HR policies requiring a certain number of years in a specialty for hiring at professional levels might exceed the number years a particular area of expertise may have existed, since these skills are relatively new in the industry. Also, it was noted that security of data can present a barrier to partnerships with some data providers, although there was work in the UN system currently underway to overcome this constraint.

126. In their final remarks, both Ms. Pollard and Mr. Opp thanked the Committee for their support and valuable input. It was noted that the IATI initiative was an important component to the data revolution approach that complemented the Data Lab initiative. Further, it was pointed out that the purpose behind the Lab was to identify specific, concrete actions that agencies could take to better utilize data for guiding programmatic activities.
127. **Conclusion: The High-Level Committee on Management:**
- *thanked the presenters and all the contributions;*
 - *noted with appreciation the progress on these two transformational initiatives which are part of an overall organizational change management initiative in support of the broader Sustainable Development Agenda;*
 - *Recognized the significant implications and the potential of these initiatives to strengthen, throughout the system, innovation, cost effectiveness, integrated approaches and knowledge management, and to support decision-making and partnerships within and outside the UN system; and*
 - *Committed to further developing a digital transformation agenda as reflected in priority five of the 2017-2020 Strategic Plan, on the basis of the ideas which will emerge from these projects, in particular towards further improving management practices through innovation.*

Item 3: Any Other Business

A) Report of the Inter-Agency Security Management Network (IASMN)

128. Introducing the item, the Chair explained that, in accordance with its new working methods, the High-level Committee on Management had been asked to take note of the report of the Inter-Agency Security Management Network, without further discussion. It was also noted that, while Network reports were in general adopted without discussion, there was nevertheless the possibility of bringing specific issues to the attention of the Committee. The Chair therefore invited Committee members to raise questions and share comments on any specific aspects of the report.
129. A number of HLCM members expressed their appreciation for the work of the Inter-Agency Security Management Network under the leadership of the Under Secretary-General of the United Nations Department of Safety and Security and noted their agreement, in general, with the Network's report.
130. Concerns were raised by several Committee members regarding the text in the report on the jointly financed budget for the biennium 2018-2019, in particular the proposed increase of the budget. Members of the Committee expressed their expectation to receive more details, justification and prioritization on the preliminary budget.
131. The Co-Chair of the Finance and Budget Network brought to the Committee's attention that the cost-shared budget for safety and security remained an issue in the Network's discussions. In particular, the process for budget approval, the timeline and the roles of the Finance and Budget Network and the Inter-Agency Security Management Network in the budget process were still under discussion. It was noted that the joint Working Group of the two networks was trying to arrive at a mutually agreeable conclusion on the budget process.
132. The Vice Chair of the High-level Committee on Management observed that within the framework of the 2030 Agenda for Sustainable Development, the organizations of the United Nations system were going to increasingly work together, including based on financing mechanisms such as cost-sharing, joint financing and pooled arrangements. It was noted that the Committee should think of the jointly financed security budget in the broader context of delivering on the 2030 Agenda for Sustainable Development.
133. **Conclusion: The High-Level Committee on Management expressed appreciation for the work of the Inter-Agency Security Management Network, took note of the report from its June 2016 session, and requested that concerns expressed regarding the jointly financed budget be brought to the attention of the Chair of the IASMN.**

B) UN International Year of Sustainable Tourism for Development

134. The United Nations General Assembly at its 70th session declared 2017 the United Nations International Year of Sustainable Tourism for Development and mandated the United Nations World Tourism Organization (UNWTO) to arrange for the celebrations.
135. The Director of the Administration Division of UNWTO presented the Committee with a roadmap of the celebration. Member organizations of the Committee were invited to participate in the celebration by adding activities they considered relevant to the International Year of Sustainable Tourism for Development, to the calendar of the celebration. These may include, but were not limited to recommended activities outlined in the roadmap.
136. One Committee member welcomed the opportunity of the International Year of Sustainable Tourism for Development to extend awareness and action on the linkages between the promotion of children's rights and sustainable tourism development, in particular the prevention of sexual exploitation of children in travel and tourism, and urged Committee members to accelerate action in this regard during 2017.
137. **Conclusion: The High-Level Committee on Management:**
- *expressed appreciation for the work of the Inter-Agency Security Management Network Took note with appreciation of UNWTO's presentation on the upcoming celebrations of the UN International Year of Sustainable Tourism for Development; and*
 - *encouraged member organizations to explore possible ways in which they could use some of their planned activities to contribute to the celebration of the United Nations International Year of Sustainable Tourism for Development.*

C) Payment of pensions

138. The USG of the Department of Management of the UN Secretariat brought before the Committee the issue of the delays in settlement of pension payments. He reported that significant progress had been made in the Pension Fund secretariat, where additional resources are being deployed to expedite the settlement process. Organizations were urged to accelerate the submission of the paperwork required to process pension payments and the USG announced the launch of an end-to-end review of the process.
139. The HLCM Vice-Chair reiterated that the delay in payment of pensions had caused a lot of hardship, particularly to staff in the field and observed that there was a need for the Pension Fund secretariat to review its processes while at the same time noting that organizations had an important role to play in providing the required documentation.
140. **Conclusion: The High-Level Committee on management took note with appreciation of the update by the Under-Secretary-General for Management.**

ANNEX I – List of Participants

Chair: Ms. Irina Bokova, Director General, UNESCO
Vice-Chair: Ms. Jan Beagle, Deputy Executive Director , UNAIDS
Secretary: Mr. Remo Lalli, CEB Secretariat
 Ms. Simona Petrova, Director, CEB secretariat, and Acting Secretary, CEB

Organizations	Name – Title – Division
United Nations	Mr. Yukio Takasu, Under Secretary-General, Department of Management
	Ms. Catherine Pollard, Under Secretary-General, DGACM
	Ms. Jane Holl Lute, Special Coordinator on Improving UN Response to SEA – <i>by audio</i>
	Ms. Antigoni Axenidou, Director, General Legal Division, Rep. of the Legal Network
	Ms. Jillann Farmer, Director, Medical Service Division, Chair, Medical Directors WG
	Ms. Cecilia Elizalde, Director, Documentation Division, DGACM
	Ms. Menada Wind-Anderson, Executive Officer, UNDSS – <i>by VC</i>
	Mr. Craig Harrison, Chief-Policy, Compliance and Coordination Service, UNDSS – <i>by VC</i>
ILO	Mr. Greg Vines, Deputy Director-General
FAO	Ms. Fernanda Guerrieri, Assistant Director-General, Corporate Services Department
UNESCO	Mr. Getachew Engida, Deputy Director General
	Ms. Ruth De Miranda, Director, Bureau of HR Management
	Ms. Ms. Nutan Wozencroft, CFO, Bureau of Financial Management
	Mr. Sachin Bhatt, Senior Executive Officer, Office of the Director-General
WHO	Mr. Nick Jeffreys, Comptroller, FB Network Co-Chair
	Mr. Roberto Balsamo, Management Officer
IMF	Mr. Chris Hemus, Director, Corporate Services and Facilities Department
IOM	Ms. Laura Thompson, Deputy Director General
	Mr. Carlos Oliver Cruz, Special Assistant to the Deputy Director General
ITU	Mr. Anders Norsker, Chief, Information Services, Representative of ICT Network
WMO	Mr. Angiolo Rolli, Director, Resource Management Department
WIPO	Ms. Magdi Bona, Assistant Controller
IFAD	Ms. Lakshmi Menon, Associate Vice-President, Corporate Services Department
UNWTO	Mr. José G. Blanch, Director, Administration Division
	Mr. Sarbuland Khan, Senior Counsellor
IAEA	Ms. Janice Dunn Lee, Deputy Director-General and Head of Management
UNCTAD	Mr. Adnan Issa, Chief of Resource Management Service

UNDP	Mr. Jens Wandel , ASG, Assistant Administrator and Director, Bureau for Management Services
	Ms. Izumi Nakamitsu , ASG and Co-Chair, Programme Criticality Steering Committee – <i>by VC</i>
UNEP	Ms. Theresa Panuccio , Director, Office for Operations and Corporate Services
UNHCR	Ms. Karen Madeleine Farkas , Director, Division of HR Management, Co-Chair HR Network
	Ms. Linda Ryan , Controller
UNICEF	Ms. Fatoumata Ndiaye , Deputy Executive Director
	Ms. Lori Issa , UN Partnership Specialist
UNFPA	Ms. Laura Londén , ASG and Deputy Executive Director (Management)
	Mr. Andrew Saberton , Director, Division for Management Services
WFP	Mr. Robert Opp , Director, Innovation and Change Management
	Ms. Lidia Tutarinova , Inter-agency Coordinator to the Assistant Executive Director
UNOV/UNOD C	Mr. Dennis Thatchaichawalit , Director, Division of Management
UN-HABITAT	Mr. Andrew Cox , Director, Management and Operations Division
UN WOMEN	Mr. Moez Doraid , Director, Management & Administration
UNSSC	Ms. Claire Messina , Deputy Director, Programme Management and Business Development
Other Representatives:	
ICSC	Mr. Wolfgang Stoeckl , Vice-Chairman
	Ms. Regina Pawlik , Executive Secretary
OPCW	Mr. William Amoroso , Director, Administration Division
UN-RIAS	Ms. Susanne Freuh , Director, Internal Oversight Service, and Chair, UN-RIAS
UNDG	Mr. John Hendra , Co-Chair, UNDG Working Group on Leadership – <i>by VC</i>
FICSA	Mr. Diab El-Tabari , President
CISSUA	Mr. Ian Richards , President

ANNEX II - Checklist of Documents

Item no.	Title	Summary Sheet	Document Symbol
	Provisional Agenda	n.a.	CEB/2016/HLCM/14
	Provisional Programme of Work		CEB/2016/HLCM/14/A dd.1
A	Draft HLCM Strategic Plan 2017-2020	Yes✓	CEB/2016/HLCM/15
	Draft Results Framework - Strategic Plan 2017-2020		CEB/2016/HLCM/15/A dd.1
B	CEB common principles to guide UN system's support to the implementation of the 2030 Agenda (April 2016)	n.a.	n.a.
B.1	Draft HLCM-HLCP Discussion Paper on UN System Leadership Model/ Framework	Yes✓	CEB/2016/HLCM/16
	UNDG Working Group on Leadership – draft UN Leadership Model		n.a.
B.2	Briefing on the July 2016 session of the ICSC	Yes✓	CEB/2016/HLCM/18
	Draft project proposal for the joint provision of common HR functions (with comments by the HR Network)	Yes✓	CEB/2016/HLCM/19
B.3	Outcome of the HLCM task Force on SEA	Yes✓	CEB/2016/HLCM/20
	SEA Annexes: 6. <i>A/69/779 - Report of the SG on SEA - 69th Session</i> 7. <i>A/70/135 - Amendments to the Staff Regulations and Rules</i> 8. <i>A/70/729 - Report of the SG on SEA - 70th Session</i> 9. <i>Annual Compacts of Humanitarian Coordinators with the Emergency Relief Coordinator</i> 10. <i>Guidance Package for Trust Fund</i> 11. <i>Statement by the Inter-Agency Standing Committee on Protection from Sexual Exploitation and Abuse</i>		n.a.
B.4	Draft Report on the Costs of Oversight and Accountability Structures in the UN System	Yes✓	CEB/2016/HLCM/21
B.5	Draft ToR of the HLCM Task Force on Common Definitions Related to Fraud and Implementing Partners	Yes✓	CEB/2016/HLCM/22/R ev.1
B.6	Draft revised Programme Criticality Framework	Yes✓	CEB/2016/HLCM/23
B.7	Briefing Note by the UNMDWG – Health Support Plans for duty stations world-wide	Yes✓	CEB/2016/HLCM/26
B.8	Progress report - Introducing a common documentation XML standard for the UN system	Yes✓	CEB/2016/HLCM/24
	Progress report – Data Innovation Lab		CEB/2016/HLCM/25/R ev.1
C.1	IASMN 24th Session Final Report	Yes✓	n.a.
	IASMN – New UNSMS Policies: (not for printing) - <i>Guidelines on the Management of HIV Post-Exposure Prophylaxis (PEP) Kits</i> - <i>Guidelines on Security Management of United Nations Common Premises</i> - <i>Guidelines on the Use of Unarmed Private Security Services</i> - <i>Managing the Procurement Cycle for Unarmed Private Security Services Manual</i>		n.a.
C.2	Roadmap - International Year of Sustainable Tourism for Development	n.a.	n.a.