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Report of the Joint Inspection Unit for 2019 and programme of work for 2020

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Report of the Joint Inspection Unit for 2019 and programme of work for 2020



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Note

Symbols of United Nations documents are composed of letters combined with figures. Mention of such a symbol indicates a reference to a United Nations document.

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Abbreviations

CEB	United Nations System Chief Executives Board for Coordination
ECLAC	Economic Commission for Latin America and the Caribbean
FAO	Food and Agriculture Organization of the United Nations
IAEA	International Atomic Energy Agency
ICAO	International Civil Aviation Organization
ILO	International Labour Organization
IMO	International Maritime Organization
ITC	International Trade Centre
ITU	International Telecommunication Union
PAHO	Pan American Health Organization
UNAIDS	Joint United Nations Programme on HIV/AIDS
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNFPA	United Nations Population Fund
UN-Habitat	United Nations Human Settlements Programme
UNHCR	Office of the United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
UNIDO	United Nations Industrial Development Organization
UNITAR	United Nations Institute for Training and Research
UNODC	United Nations Office on Drugs and Crime
UNOPS	United Nations Office for Project Services
UNRWA	United Nations Relief and Works Agency for Palestine Refugees in the Near East
UN-Women	United Nations Entity for Gender Equality and the Empowerment of Women
UNWTO	World Tourism Organization
UPU	Universal Postal Union
WFP	World Food Programme
WHO	World Health Organization
WIPO	World Intellectual Property Organization
WMO	World Meteorological Organization

Message by the Chair

In accordance with article 10, paragraph 1, of the Statute of the Joint Inspection Unit of the United Nations system, I have the honour to present the annual report of the Unit. The report contains an account of the Unit's activities for the period from 1 January to 31 December 2019 and an outline of its programme of work for 2020.

As the only independent and external oversight body mandated to apply a system-wide perspective, the Joint Inspection Unit's work over the years has brought a unique perspective on a variety of topics that responded to the needs of organizations and legislative bodies, and also supported the 2030 Agenda for Sustainable Development, while maintaining the Unit's longstanding commitment to strengthening transparency and accountability, identifying good practices and learning across the United Nations system.

In 2019, the Unit completed nine reports and will carry over seven, which are in progress, and will be completed early in 2020. The programme of work for 2020 includes six new projects that reflect the guidance of the General Assembly to continue to carry out individual organization management and administration reviews (UN-Habitat), to enhance the impact on management efficiency and transparency (cybersecurity and blockchain reviews) and to continue to focus on the priorities of participating organizations and States Members of the United Nations (review of support for landlocked countries and review of sustainable and environment-friendly policies). It also reflects the Unit's sustained commitment to strengthening the framework for integrity and accountability, in this case through an update to the 2006 review of the ethics function.

In recent years, the Unit has drawn the General Assembly's attention to gaps in the Assembly's action on the Unit's reports and recommendations. The past year has shown the positive impact that can derive from concrete and timely action by legislative bodies on the Unit's recommendations. This was seen in General Assembly resolution [74/253](#), in which the Assembly urged the Secretary-General to implement all of the recommendations made in its report on accessibility for persons with disabilities. That resolution, focusing on one particular report of the Unit, provides a model that the Assembly can apply more often, as can the legislative bodies of the other participating organizations of the Unit. Similarly, the UNAIDS Programme Coordinating Board gave clear direction to implement the recommendations made in the Unit's management and administration review of UNAIDS.

In 2019, the Unit undertook a process to develop a new strategic framework for the period from 2020 to 2029. The process included stakeholder consultations with key partners and focal points, as well as a substantive analysis and learning from the results of the previous framework, which covered the period 2010–2019.

The Unit's new strategic framework sharpens the focus on the 2030 Agenda and reform efforts, while covering relevant system-wide thematic areas. The emphasis on improving the quality of products also continues, with a midterm target to develop and implement criteria and standards by 2022 that ideally will lead to further increases in acceptance and implementation rates of its recommendations.

Increased engagement with participating organizations to present the new strategic framework will be a key focus in 2020, which will present an opportunity to keep the Unit's stakeholders informed on its work and to gather feedback on the quality and utility of its products and any potential new topic areas.

The Unit made significant progress in developing and implementing a consistent approach to communicating with stakeholders on reports, including comprehensive and concise report highlights, which have received commendation from Member States and organizations for their ease of use and succinct information.

Finally, although inspectors are responsible for the reports that are published under their names, the Unit does not work alone. We greatly appreciate the dedication, support and contributions of the Unit's secretariat staff, who are truly the backbone of the Unit. I look forward to working with inspectors and secretariat staff as the Chair of the Joint Inspection Unit for 2020.

(Signed) Eileen A. **Cronin**
Chair
Geneva, 16 January 2020

Chapter I

Overview of activities in 2019

1. In 2019, the Joint Inspection Unit worked on 16 projects, including 8 projects that were carried over from 2018 and completed in 2019. The subjects of those projects are: the review of management and administration in the International Civil Aviation Organization; the review of the United Nations System-wide Action Plan on Gender Equality and the Empowerment of Women; the review of the integration of disaster risk reduction in the work of United Nations system entities; organizational change management in the United Nations system: lessons learned and strategies for the future; managing cloud computing services in the United Nations system; the review of oversight committees in the United Nations system; and the review of management and administration in the Joint United Nations Programme on HIV/AIDS.
2. The Unit proposed eight projects for its 2019 programme of work. During the year, seven projects were started, as planned by the Unit. The review of management and administration in the World Meteorological Organization, which was in the programme of work for 2019, will now be undertaken in 2020. Two projects that were started in 2019 were completed in the same year and issued as reports (JIU/REP/2019/8, the review of staff exchange programmes and similar inter-agency mobility measures in United Nations system organizations, and JIU/REP/2019/9, the review of contemporary practices in the external outsourcing of services to commercial service providers by United Nations system organizations).
3. The status of implementation of the workplan for 2019 as at 31 December 2019 is included in annex II to the present report; the summaries of the completed reports are presented in section B of the present chapter.
4. In addition to project activities, the Unit continued to work on improving its working methods and tools and strived to further enhance the quality of its outputs by revising and updating its working procedures and monitoring closely the preparation and execution of its programme of work.
5. The outputs of the Joint Inspection Unit continue to draw attention within and beyond the United Nations system, as evidenced by various stakeholders' interest in the work of the Unit and the invitations it has received to participate in conferences and workshops on a vast range of topics associated with its work.
6. In its resolutions [62/246](#), [63/272](#) and [64/262](#), the General Assembly requested the Unit to report on any difficulty or delay in obtaining visas for the official travel of the inspectors and members of its secretariat. Regrettably, one inspector's application for an entry visa to Canada was not processed in time for his planned mission in connection with the presentation of a report assigned to him.

A. Interaction with other oversight and coordinating bodies

7. The 22nd annual tripartite meeting of the Board of Auditors, the Office of Internal Oversight Services and the Joint Inspection Unit was held on 12 December 2019, with the Unit as chair of the meeting. As per usual practice, the three entities shared their workplans for the forthcoming year ahead of the meeting. At the meeting, in turn, they provided an overview of their draft programmes of work and areas of focus for 2020. The entities also discussed their challenges and experiences in 2019 and acknowledged the continued collaboration and interaction among the members of the three entities at the working level during the year.
8. Following each entity's presentation of its programme of work, the meeting agenda focused on the opportunities in 2020 to strengthen collaboration in areas of common

interest. The following areas were identified for the members of the three entities: the 2030 Agenda for Sustainable Development; United Nations reform; and risk-assessment driven evaluations and reviews of organizational culture. The discussion also focused on one key concern for all three entities, namely, avoiding duplication and maximizing synergy in the conduct of oversight work, with due consideration for the distinct and separate mandates of each of the three oversight entities.

9. It was tentatively agreed by the members of the three entities that, in addition to the annual meeting, an informal meeting could be held in 2020 to reflect on the progress made and challenges faced in implementing their workplans and to exchange views on the ongoing activities.

10. The secretariat of CEB continues to be a valuable partner in facilitating the timely processing of the Unit's system-wide reports and consolidation of comments from participating organizations and in providing relevant United Nations system data for the Unit's reviews. The Unit appreciates the efforts of the CEB secretariat and the support it provides.

B. Reports issued in 2019

11. In 2019, the Unit produced seven system-wide reports, two single organization reports and one management letter.

12. The system-wide reports of the Unit covered the following topics: the United Nations System-wide Action Plan on Gender Equality and the Empowerment of Women; the integration of disaster risk reduction in the work of the United Nations system in the context of the 2030 Agenda for Sustainable Development; change management in United Nations system organizations; managing cloud computing services in the United Nations system; the audit and oversight committees in the United Nations system; staff exchange and similar inter-agency mobility measures in United Nations system organizations; and contemporary practices in the external outsourcing of services to commercial service providers by United Nations system organizations.

13. The reviews of single organizations carried in 2019 resulted in the issuance of the report on management and administration in ICAO and the report on the management and administration of UNAIDS. The Unit also completed a management letter on ECLAC as part of the ongoing management and administration review of the Organization. The management and administration review of WMO, which had been planned for 2019, was deferred owing to ongoing reforms in that Organization, and will now be undertaken in 2020.

Summaries of key findings and recommendations of reports in 2019

Review of management and administration in the International Civil Aviation Organization (ICAO) (JIU/REP/2019/1)

14. The objective of the review was to provide an independent assessment of the management and administration at ICAO, focusing on governance, oversight, organizational structure, executive, financial, human resources management, results-based management and support services. The review served as a follow-up to a previous report of the Unit (JIU/REP/2007/5). The report contained five recommendations, one of which was addressed to the ICAO Assembly, two to the ICAO Council and two to the Secretary-General, as well as 22 informal recommendations relating to further improvements of management and administration practices at ICAO.

15. The report highlighted the need to review the governance arrangements and related standing practices at ICAO, notably the distinction between governance and

management. The ICAO Assembly was invited to establish at its fortieth session a panel of eminent persons to review the governance structure. With regard to the oversight function, the Unit recommended in the report that the Chief Investigator or head of the investigations function produce an annual report to the ICAO Council and have unrestricted access to the Evaluation and Audit Advisory Committee. To facilitate this, the mandate of that Committee should be extended to include all oversight functions, including investigations.

16. Some progress was made in strengthening the Organization's assurance and internal control framework. However, more needs to be done. Notably, a comprehensive organization-wide risk assessment should be undertaken, and a chief risk officer should be designated. Concerning human resources management, ICAO faces several challenges in terms of composition of its work force, equitable geographical representation, gender equality, succession planning and knowledge retention. To address these in a strategic and holistic manner, ICAO should adopt a comprehensive human resources management strategy.

17. The comments of the ICAO Council and the secretariat on the Unit's report are contained in Council working paper C-WP/14901. The report was presented to the Council at its 217th session, on 14 June 2019. The outcome of that meeting is reflected in the Council's decision C-DEC 217/12, in which the Council took note of the report and its recommendations, decided to not convey recommendation 1 of the report to the ICAO Assembly at its fortieth session and to consider the issues raised in the report and the recommendations therein at a future session of the Council, in the context of its ongoing work programme.

Review of the United Nations System-wide Action Plan on Gender Equality and the Empowerment of Women (JIU/REP/2019/2)

18. As requested by the General Assembly in its resolution [67/226](#), the Joint Inspection Unit undertook a system-wide evaluation of the effectiveness, value added and impact of the System-wide Action Plan on Gender Equality and the Empowerment of Women as a tool for performance monitoring and accountability.

19. The review covered the first phase of implementation of the System-wide Action Plan, from 2012 to 2017, which included 66 participating entities (of which 32 were within the Secretariat) reporting on 15 common performance indicators. Focusing on the institutional arrangements, processes and procedures, the review examined various performance monitoring and accountability mechanisms both system-wide and at the level of each reporting entity, as well as UN-Women for its role in facilitation and coordination. The Unit's assessment is that the System-wide Action Plan has proven to be an effective framework for tracking system-wide advancements towards gender equality and the empowerment of women and is a useful benchmark and catalyst for progress in most participating entities.

20. The formal recommendations included in the report were addressed to the members of CEB, the executive heads of the reporting entities, the Under-Secretary-General/Executive Director of UN-Women and to the legislative and governing bodies of the United Nations system organizations. Those recommendations aimed at enhancing credibility in the implementation of the Action Plan, increasing the ownership of reporting entities and reinforcing accountability by executive heads and governing bodies.

21. The member organizations of CEB welcomed the report and its findings and considered its conclusions of great value. This is crucial since the System-wide Action Plan operationalizes the vision of the members of CEB as set up in the 2006 policy on gender equality and the empowerment of women. The endorsement by CEB, at that time, provided a system-wide leadership commitment to implement the policy

and was a cornerstone of its success. Furthermore, the members of CEB were invited to undertake a comprehensive review of the results achieved in the first phase of the System-wide Action Plan and endorse the framework as revised in 2018 to promote more sustainable achievements, as called for in recommendation 2.

22. The report was presented to the General Assembly at its seventy-fourth session, in October 2019.

Review of the integration of disaster risk reduction in the work of the United Nations system in the context of the 2030 Agenda for Sustainable Development (JIU/REP/2019/3)

23. The report contained a review of the work of the United Nations system entities, focusing on inter-agency coordination and systemic coherence for a more effective and efficient implementation of the Sendai Framework for Disaster Risk Reduction 2015–2030 and the revised United Nations Plan of Action on Disaster Risk Reduction for Resilience. It analysed the extent to which the organizations had integrated the issue of disaster risk reduction in their corporate priorities, with regard to either normative or operational activities to implement their mandates.

24. The review also assessed the level of engagement of the Joint Inspection Unit's participating organizations in contributing to the implementation of the three commitments of the United Nations Plan of Action, namely: (a) strengthening system-wide coherence in support of the Sendai Framework and other agreements through a risk informed and integrated approach; (b) building United Nations system capacity to deliver coordinated high-quality support to countries on disaster risk reduction; and (c) ensuring that disaster risk reduction remains a strategic priority for the organizations of the system.

25. In the report, the Joint Inspection Unit made three recommendations to accelerate implementation of the Sendai Framework and its related plan of action. Recommendation 1 was addressed to governing bodies of the organizations of the United Nations system, which should request the secretariats to present a map of the interlinkages between the core mandate of their organizations and disaster risk reduction and report on the progress made on disaster risk reduction accordingly. As per recommendations 2 and 3 – addressed to executive heads of the participating organizations – the Secretary-General and the executive heads should ensure that the new generation of United Nations Sustainable Development Cooperation Frameworks systematically include disaster risk reduction as part of the common strategic plans of the country teams.

26. The executive heads of the organizations working in the field should ensure that the United Nations country teams plan for dedicated capacity to implement risk informed development activities and that such activities in the field are reported to headquarters, including by monitoring their contribution to implementing the Sendai Framework.

27. The Unit will present the report to the General Assembly in 2020.

Review of change management in United Nations system organizations (JIU/REP/2019/4)

28. The review examined the concept and practice of change management in the United Nations system through the lens of organizational reform. It revealed how change management was understood, how it had been applied and to what effect.

29. The review found a mixed picture of the understanding and application of change management across United Nations system organizations over the past decade. Based on 47 organizational reforms carried out across 26 organizations during the period 2010–2018, the review found that 20 per cent had no evidence of change

management in their design or implementation. By contrast, 33 per cent of the reforms showed evidence of incorporating many of the key elements of change management in their work. In short, those that did seek to incorporate change management comprehensively in their reform did so reasonably well.

30. The report illustrated how the cultural and behavioural aspects of organizational change were critical. It reinforced that, if staff understand the benefits of change and what is in it for them, they are more likely to participate in the change and see that it is successfully adopted. The report revealed that several United Nations system organizations paid close attention to culture, behaviour and attitude as an integral part of their reforms. It concluded that it is critical to embed change management capacity in the organizational structure to play a role in coordinating reforms and building lessons over time.

31. Overall, the review highlighted the significance of change management as a strategic priority worthy of consideration by governing bodies. It provided guidance to management on the critical elements of successful change management, and on how these can be applied in United Nations system organizations. The Inspectors made six recommendations to ensure that change management approaches and methods are embedded in current and future United Nations system organizational reforms.

32. The Unit will present the report to the General Assembly in 2020.

Managing cloud computing services in the United Nations system (JIU/REP/2019/5)

33. The term “cloud computing” describes the provision of computing services from a distant source through a network, often including the Internet. The use of cloud computing systems has grown considerably in the past decade and almost all United Nations organizations are using a variety of cloud computing services, such as email, hosting of public websites, recruitment and talent management applications, and collaboration tools. The use of cloud computing technology not only provides cost benefits but also makes data accessible on different devices, including mobile devices, from any location and at any time. Cloud computing has many other potential benefits; however, it also comes with risks.

34. The risks involved are qualitatively new and directly related to the distributed and shared nature of cloud computing. Such risks include issues related to data confidentiality and to the safeguarding of the provisions of the Convention on the Privileges and Immunities of the United Nations (1946) and the Convention on the Privileges and Immunities of the Specialized Agencies (1947). Consequently, the risks need to be carefully assessed and balanced against the potential benefits when the introduction of cloud solutions is being contemplated.

35. In the report, the inspectors argue for a more balanced approach in facing the potential benefits of the cloud, considering associated specific risks and the potential synergies from a United Nations system-wide perspective. They discuss the potential of the United Nations International Computing Centre, a specialized entity created precisely to serve the information and data processing needs of the United Nations system. The Inspectors propose a number of additional safeguards and advice intended to expand the United Nations common knowledge on cloud computing, to increase the level of inter-agency cooperation and to strengthen the negotiating capacity of the United Nations organizations.

36. The report contains five recommendations, two of which are addressed to the General Assembly and other governing bodies of the United Nations system, and the other three addressed to the executive heads of participating organizations.

37. The Unit will present the report to the General Assembly in 2020.

Review of audit and oversight committees in the United Nations system (JIU/REP/2019/6)

38. The purpose of the review was to take stock of progress achieved in the establishment, mandates, scope and effective functioning of audit and oversight committees in the light of standards and principles of good practices in public sector audit committees and, more specifically, in the United Nations system. In summary, the main objectives were: to determine whether existing audit and oversight committees are adequately established and serving their purpose as originally envisaged in their terms of reference or charters; to assess the deviation from generally accepted standards and principles; to identify good practices and lessons learned; and to recommend implementation by the United Nations system organizations according to the specific needs and characteristics of the entities.

39. The analysis of the 18 audit and oversight committees of United Nations system organizations examined during the review revealed considerable progress over the past decade, with the scope, content and quality of the terms of reference or charter of the committees having improved considerably. Notwithstanding that progress, the United Nations system still has some way to go to meet the 13 criteria for good practices for audit and oversight committees identified by the Joint Inspection Unit.

40. The report contains seven recommendations directed at the legislative and/or governing bodies of the United Nations system organizations. They recommend measures: (a) to strengthen the independence and reporting lines of the audit and oversight committees; (b) to include, in the committees' terms of reference or charter, (i) all internal oversight responsibilities, such as oversight of ethics and anti-fraud activities, (ii) provisions related to internal control framework and risk management and (iii) provisions related to the relevant skills and professional expertise of members; (c) to undertake committees' self-assessments and independent performance evaluations; and (d) to include emerging priorities and new challenges by revising and updating periodically the respective committees' terms of reference or charters. However, given the diversity and the mandated missions and operational activities of each organization, and the governance structure and oversight arrangements within the United Nations system, it is important to emphasize that the recommendations should not be seen as "one size fits all".

41. The Unit will present the report to the General Assembly in 2020.

Review of the management and administration of the Joint United Nations Programme on HIV/AIDS (UNAIDS) (JIU/REP/2019/7)

42. UNAIDS, established by the Economic and Social Council in 1994 as a joint and co-sponsored programme, serves as the primary entity responsible for stimulating and coordinating global efforts to end AIDS. UNAIDS is governed by the Programme Coordinating Board. The secretariat of UNAIDS is responsible for coordination and is led by the Executive Director.

43. The review focused on: (a) strategic and operational planning; (b) governance; (c) oversight and accountability; and (d) human resources management and administrative services. The review made eight formal recommendations, three addressed to the Board and five to the Executive Director, as well as 25 informal recommendations that are suggestions for improvement.

44. The Unit concluded that a new long-term strategy was necessary for UNAIDS, which should reflect a structural analysis and an inclusive approach on how UNAIDS would meet its commitments regarding the 2030 Agenda. Governance of UNAIDS must be strengthened to bring UNAIDS into alignment with other United Nations system organizations and avoid reputational and financial setbacks.

45. The gaps in oversight and accountability must be addressed by reassessing critical functions, such as audit and ethics, establishing a disciplined approach towards oversight reports and fully exercising the Board's role in the oversight and accountability of UNAIDS and its secretariat. The secretariat needs a more comprehensive strategy on human resources management that reflects the strategic direction of UNAIDS and is supported by consistent and transparent processes and procedures. While the joint and co-sponsored model of UNAIDS is unique and can offer valuable lessons for the United Nations reform, the gaps in governance, oversight and accountability that have generated several recommendations from different independent review bodies should be catalogued and addressed in a transparent way.

46. The report was presented to the Programme Coordinating Board of UNAIDS at its 45th meeting, in December 2019.

Review of staff exchange and similar inter-agency mobility measures in United Nations system organizations (JIU/REP/2019/8)

47. The concept of inter-agency mobility has long been prominent as a means of strengthening unity of purpose, a common culture and shared values. However, the incidence of such mobility remains limited. Work on this issue within the United Nations system has focused on the administrative "rules of the game" through the 2012 Inter-Organization Agreement concerning Transfer, Secondment or Loan of Staff among the Organizations Applying the United Nations Common System of Salaries and Allowances. However, long-known barriers have not been addressed, and few of the undertakings made by CEB mechanisms have been carried forward. Most organizations neither encourage inter-agency mobility nor apply measures to show that they value it. At an operational level, the opportunistic application of the 2012 Agreement, driven largely by the desire to avoid assuming responsibility for financial liabilities, is eroding the functioning of the regime to the disadvantage of staff.

48. The review concludes that inter-agency mobility policies are not an adequate response to current needs. Inter-agency mobility is a small fragment of a larger human resources management puzzle; to focus on it as a free-standing issue leaves unanswered how it connects to human resources policies and strategies that improve organizational or United Nations system performance. At the root of this are limited organizational commitment to inter-organizational mobility, its disconnection from the strategic preoccupations of most organizations, the siloed, protective, inward and often duplicative nature of staff selection and assessment in the United Nations system, the analogous fragmentation of business operations, and the absence of a system "culture". An important consideration is how inter-agency mobility can support strategic objectives, such as the support for the 2030 Agenda, ongoing workforce transformation and the need organizations express for exchanges with United Nations system actors. Clusters of willing organizations can and should develop mutually beneficial exchanges based on common thematic interest or geographic opportunity.

49. The report makes 10 recommendations aimed at improving data to support decision-making, including the analysis of gender dimensions, articulating the business case for inter-agency mobility, strengthening the principled implementation of the 2012 Agreement and also to address gaps, fostering a system culture, making more transparent how all aspects of inter-agency mobility are handled within organizations, and enhancing accountability to Member States.

50. The Unit will present the report to the General Assembly in 2020.

Review of contemporary practices in the external outsourcing of services to commercial service providers by United Nations system organizations (JIU/REP/2019/9)

51. The external outsourcing of services and related goods to commercial service providers accounted for \$22.4 billion in expenditure from 2012 to 2018 by 23 Joint Inspection Unit participating organizations, based on available data. However, there is no specific consideration of, or regular reporting on, the subject matter. Following a proposal from the United Nations Secretariat to assess how outsourcing can be best harnessed to service organizations, the Unit reviewed the strengths, weaknesses, opportunities and threats of external outsourcing, and the legislations and policies that enable its consideration. The review contains seven recommendations, one addressed to legislative bodies and six to executive heads; in addition, 43 informal recommendations outline suggestions for improvements.

52. The review found that most entities lack dedicated policies, guidelines and procedures on outsourcing. Furthermore, they do not distinguish it from standard procurement actions and make sourcing decisions mostly on an ad hoc basis, resulting in suboptimal gains and missed opportunities. It identified various outsourcing-related challenges and risks that include: national laws reducing hiring flexibility; the disinterest of Member States; the legal status of organizations, which complicates outsourcing; cumbersome procedures and payment modalities; small thresholds for direct purchases; vendor-lock; high transition costs; limited internal capacity to retain control over processes and provide quality assurance; communication and coordination gaps between key actors; threats to data security; restrictions in premises access; vendor avoidance of high-risk locations; hidden costs; and inappropriate vendor conduct.

53. To address deficits, the review contains an outline of measures that include: reporting annually to legislative bodies on outsourcing-related expenditures; developing a common definition, approach and procedures on outsourcing; increasing sources of supply from the developing countries and facilitating the participation of small and medium-sized vendors in tendering processes; conducting cost-benefit analysis and periodic risk assessments for sensitive or high-value services; developing criteria for extensions of outsourced service contracts beyond standard time frames; and developing steps to manage vendor transition.

54. The Unit will present the report to the General Assembly in 2020.

Review of management and administration in the Economic Commission for Latin America and the Caribbean (ECLAC) (JIU/ML/2019/1)

55. The Unit included in its programme of work for 2019 a review of management and administration of ECLAC. The review planned to issue two outputs: a management letter, which has been issued in 2019; and a report/note that will be issued in early 2020.

56. The management letter should be placed in the context of the current Secretary-General's reform efforts, in particular, the reform of the regional dimension. Its main objective is to present some of the preliminary findings from the review in a timely manner, providing key elements that could inform decision-making by relevant parties and aiming at strengthening the regional dimension as part of the ongoing reform of the United Nations development system.

57. Regional commissions are uniquely positioned to play an important role by engaging more systematically with different development actors, including country teams, to provide support for normative and policy capabilities, but more important by coordinating the mainstreaming of regional and subregional priorities into the United Nations system.

58. The regional level is the link between global and country levels, thus its importance is strategic, and the role to be played by regional commissions should be consequently a primary one; not just because of their unique positioning, as the connecting level, but also because the wealth of regional knowledge accumulated through time, their convening power and their experience in serving Member States as secretariats of different intergovernmental bodies.

59. However, the ongoing reform has not yet been finalized, and there are still important decisions to be made in the context of the second phase of the reform and subject to a region-by-region analysis. The content of the management letter is intended to inform the regional case for Latin America and the Caribbean. It also contains one recommendation addressed to the Secretary-General, that the regional commissions participate systematically and regularly in the preparation, review and regular update of the new United Nations cooperation frameworks. The management letter was sent in the last quarter of 2019 to the United Nations Secretariat for consideration and action by senior management.

C. Investigations

60. Regarding investigations, the Joint Inspection Unit focuses on alleged violations of regulations and rules and other established procedures by executive heads, heads of internal oversight bodies, officials of the organizations other than staff members and, on an exceptional basis, staff of organizations that do not have an in-house investigation capacity. In the course of 2019, the Unit received only one complaint, which was examined and found not to require any further action on the part of the Unit.

D. Acceptance and implementation of the recommendations of the Joint Inspection Unit

Web-based tracking system

61. The web-based tracking system is a core application for the Unit and for participating organizations as an online tool to monitor and update the status of recommendations and for reporting and the statistical analysis of the acceptance and implementation of recommendations.

62. The migration of the hosting and maintenance services for the web-based tracking system from the external service provider to the United Nations Secretariat Office of Information and Communications Technology was successfully concluded in early 2018. The year 2019 was the first full year that the system operated under the new service level agreement signed with the Office. The system has been operational throughout the year; no major disruptions in its operation were experienced.

63. The Unit recently requested the Office of Information and Communications Technology to develop a functionality for the web-based tracking system that would offer, inter alia, simplified access to the statistics, reporting capabilities, consideration of reports and graphics provided by the web-based tracking system. That functionality is being developed and is expected to be implemented in the first half of 2020.

Number of recommendations

64. The table below indicates the average number of recommendations by report, note and management letter, which shows an increase from 4.9 in 2013 to 5.8 in 2019.

Number of Joint Inspection Unit reports, notes and management letters and recommendations, 2013–2019

	2013	2014	2015	2016	2017	2018	2019	Total 2013–2019
Reports, notes and management letters								
System-wide and several organizations	5	7	5	11	9	6	7	50
Single-organization	2	3	6	25	2	1	3	42
Total, reports, notes and management letters	7	10	11	36	11	7	10	92
Recommendations								
System-wide and several organizations	28	61	33	74	56	49	44	345
Single-organization	6	16	16	26	20	3	14	101
Total, recommendations	34	77	49	100	76	52	58	446
Average number of recommendations by output	4.9	7.7	4.5	2.8	6.9	7.4	5.8	4.8

Source: Web-based tracking system, January 2020.

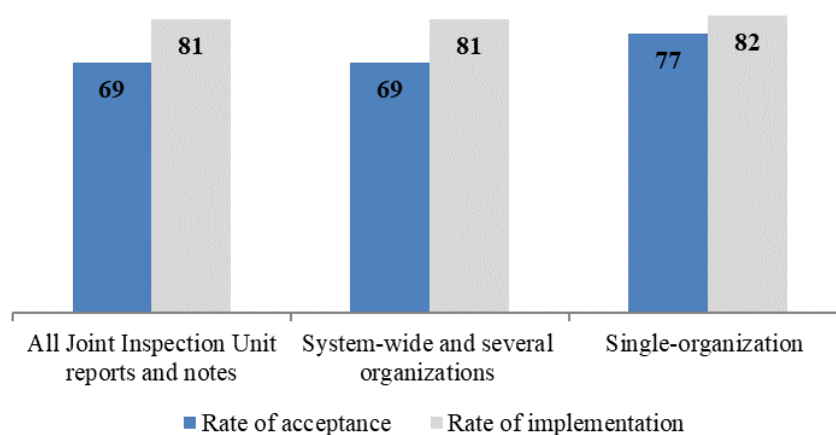
Acceptance and implementation rates of system-wide and single organization recommendations

65. The average rate of acceptance of recommendations made between 2011 and 2018 was 77 per cent for single organization reports and notes, and 69 per cent for system-wide reports (see figure below).¹ During the same period, the implementation rate of recommendations that had been accepted in both single organization reports and notes and system-wide reports was 81 per cent.

66. The Unit commends the organizations for the action taken to implement its recommendations (see annex III, showing the aggregated acceptance and implementation rates by participating organizations from 2011 to 2018).

Figure
Average rate of acceptance of the Joint Inspection Unit recommendations and rate of implementation of accepted recommendations (2011–2018)

(Percentage)



Source: Web-based tracking system, January 2020.

¹ As at January 2020, no input for 2018 had been provided by UNEP, UN-Habitat and UNODC.

Chapter II

Outlook for 2020

67. The Joint Inspection Unit is focused on improving organizational effectiveness by enhancing transparency and accountability, and learning from good practices, coordination and efficiency to help organizations make the best use of available resources, as stipulated in article 5 of its Statute. The need is growing for such support by independent external oversight, in an environment of reform that demands accountability for the effective and efficient use of resources, integrity, learning and changes in culture and modes of operation in order to enhance effectiveness and impact. The Unit will continue to respond to that demand in 2020 and ensure that the programme of work will be delivered in a timely manner and with a high level of quality.

68. The programme of work of the Unit for 2020 comprises five system-wide projects and one management and administration review of a single organization. The Unit will add to its integrity cluster by updating the 2010 report on the ethics function and is creating a technology and innovation cluster with the 2019 cloud computing report that will be followed by reviews on cybersecurity and blockchain applications included in the 2020 programme of work.

69. The newly developed strategic framework for the Joint Inspection Unit covers the period from 2020 to 2029, and outreach on its objectives will be a focus for the year. This will include targeted forums to educate stakeholders on the Unit's products and build on and complement its strategy to address 2030 Agenda and reform topics. The strategic framework will be covered at the resumed seventy-fourth session of the General Assembly along with the annual report of the Unit for 2019 and programme of work for 2020.

70. Much has been learned from outreach activities in 2019, and the Unit will continue to explore opportunities to expand the reach of its products and further deepen their impact on the system. In 2020, the Unit will continue to update its outreach strategy and will finalize its communication strategy, which was piloted in 2019 with a more consistent and comprehensive approach to the release of reports. Outreach activities will include an increase in engagement with the leadership of organizations in order to familiarize them with the new strategic framework and exchange information on emerging challenges and the contribution that independent external oversight can make. Engagements will include presentations to the Joint Inspection Unit by invited heads of organizations and departments.

Chapter III

Programme of work for 2020

71. In preparing its programme of work, the Unit considered proposals for reviews submitted by its participating organizations as well as oversight bodies and the inspectors themselves. The final programme of work adopted by the Unit at its winter session in December 2019 includes five system-wide projects and one management and administration review (see annex VI).

72. The workplan of the Unit for 2020 comprises six new projects (see summaries below) as well as the projects carried forward from the 2019 workplan.

Summaries of projects in the programme for work for 2020

Cybersecurity in the United Nations system organizations: a review of policies and practices

73. According to the World Economic Forum, cybersecurity risks are growing, both in their prevalence and in their disruptive potential.² It is now one of the most significant risk management challenges facing virtually every type of organization, including international organizations. Cybersecurity is not just an information technology issue; it is a security issue and it is the responsibility of everyone in an organization. The cybersecurity risks have implications throughout an organization and its operations. Most organizations, including those of the United Nations system, are facing an increased level of cyber threats seeking to do harm to the organizations' personnel, assets, data, reputation and credibility.

74. Organizations of the United Nations system have expressed their concern regarding cybersecurity, and several have brought this to the attention of the Joint Inspection Unit in the course of the preparation of the Unit's programme of work for 2020. Significantly, recognition of the cybersecurity risk was highlighted by the Independent Audit Advisory Committee in a formal proposal for a review that was submitted to the Unit.

75. In this context, the review will assess how the United Nations system organizations are addressing this threat, the challenges and risks they face, including risk mitigation measures and, inter alia, relevant staff training and awareness initiatives. The review will identify opportunities for strengthening collaboration and coordination among organizations, leveraging existing capacities and opportunities, and identify good practices from organizations within the United Nations system as well as in other sectors.

Sustainable and environmentally friendly policies, practices and facilities across the United Nations system organizations

76. The 2030 Agenda for Sustainable Development emphasizes the imperative of incorporating sustainability concerns into the activities and operations of United Nations system organizations. The Strategy for Sustainability Management in the United Nations System, 2020–2030, endorsed by the Chief Executives Board for Coordination in May 2019, aims to align the internal operations of United Nations system organizations with the environmental elements of the 2030 Agenda. The review will examine the status and effectiveness of implementation of key system-wide initiatives in this area.

² World Economic Forum, *The Global Risks Report 2018* (Geneva, 2018). Available from www3.weforum.org/docs/WEF_GRR18_Report.pdf.

77. The review proposes an assessment of how key management functions can be more effective in strengthening sustainability management internally, through the identification of gaps, good practices and remedial actions. It will examine the governance, accountability and oversight architecture in respect of sustainable and environmentally friendly policies, practices and facilities across the system. These include the legislative and regulatory frameworks, structures, standard operating procedures, due diligence measures and monitoring and reporting provisions.

78. The review will seek to identify areas of weakness and critical gaps between aspirations and practices in relation to sustainable and environment-friendly policies, practices and facilities. It will also explore the commitment of the organizations' leadership and senior management to adapting rapidly to major decisions in this area, as well as their readiness to keep pace with technological advances and innovations to attain the set objectives. The review will also assess the potential reputational risks associated with the current policies and practices and identify the good practices and lessons learned from among the organizations in the United Nations system.

The use of blockchain applications in the United Nations system: a critical SWOT analysis

79. The main goal of the Secretary-General's strategy on new technologies is to define how the United Nations system can support the use of digital technologies to accelerate the achievement of its mandates, in particular the 2030 Agenda. According to the same strategy, the United Nations system is committed to deepening its internal capacities and exposure to new technologies and to increase understanding, advocacy and dialogue around them.

80. One of the most dynamic of the new technologies is blockchain, with its potential to diminish transaction costs, increase speed of operations, lower the risk of fraud and reduce the need for intermediaries. Blockchain is not a mere technology issue, but an operational option of strategic importance. The United Nations system should do more to understand and identify efficient uses enabled by blockchain, while managing associated risks. Several organizations already utilize blockchain applications on an experimental basis, while others need more knowledge and evidence to inform their decisions.

81. The Joint Inspection Unit will undertake an independent, impartial and objective analysis with a view to identifying the strengths, weaknesses, opportunities and threats (SWOT) related to the use and relevance of blockchain applications for organizations in the United Nations system. The review will: (a) take stock of and assess the use of blockchain applications; (b) compile lessons learned during this phase of incipient development; (c) analyse the opportunities, challenges and risks related to the use of blockchain; (d) promote good practices; and (e) attempt to develop guidance and principles for the use of blockchain applications, focusing on those features that facilitate and stimulate greater inter-agency cooperation, coherence and efficiency.

Comprehensive review of United Nations system support for the landlocked developing countries

82. The Vienna Programme of Action for Landlocked Developing Countries for the Decade 2014–2024 targets the support for landlocked developing countries through six priorities areas: transit, infrastructure development, international trade and trade facilitation, regional integration and cooperation, structural economic transformation and means of implementation.

83. The 2019 midterm review of the Vienna Programme of Action concluded that progress was insufficient for landlocked developing countries to achieve the Programme's targets. Consequently, in the Political Declaration of the High-level

Midterm Review on the Implementation of the Vienna Programme of Action for Landlocked Developing Countries for the Decade 2014–2024,³ the General Assembly called upon the United Nations system to provide the support necessary to accelerate the implementation of the Programme of Action and for the Office of the High Representative for the Least Developed Countries, Landlocked Developing Countries and Small Island Developing States to ensure coordinated follow-up, and effective monitoring and reporting on the implementation of the Programme of Action.

84. A review of the United Nations system support for landlocked developing countries was included in the programme of work of the Unit at the request of the Office of the High Representative for the Least Developed Countries, Landlocked Developing Countries and Small Island Developing States. The review will build on the findings of the midterm review with a view to providing insight into the potential causes of stalled progress in the United Nations system entities' support for the implementation of the Vienna Programme of Action. The report will also outline remedial actions that can be taken in the short term to more effectively support landlocked developing countries in their implementation of the Programme priorities, within the remaining time frame. The findings of the review will further inform the report of the Secretary-General on the implementation of the Programme.

Current state of the ethics function in the United Nations system

85. This review is a follow-up to the Joint Inspection Unit's 2010 review on ethics in the United Nations system (JIU/REP/2010/3). As such, the main objective of the review will be to assess not only the progress made by United Nations system organizations in strengthening their ethics function in line with the recommendations in the 2010 report, but also the application of commonly accepted norms and standards and the implementation of any relevant recommendations made in subsequent reviews of the Unit, as well as reports of other oversight bodies pertaining to the ethics function.

86. The review will provide an updated view of the state of the ethics function, how it is situated in the different business models in the United Nations system organizations, including how the independence of the ethics function is ensured. Furthermore, the review will examine what has changed in the ethics function since the 2010 report, including the specific roles and responsibilities for ethics in the United Nations system organizations. The Unit will maximize the United Nations system-wide scope of the review to identify any good practices and benchmarks that could be shared, as well as any opportunities that may exist for organizations to collaborate to improve the effectiveness and efficiency of the ethics function.

Review of management and administration in the United Nations Human Settlements Programme

87. The United Nations Centre for Human Settlements, the precursor to the current UN-Habitat, was established in 1977 after the United Nations Conference on Human Settlements (the Habitat I conference), held in Vancouver, Canada. By its resolution 56/206, the General Assembly strengthened the mandate of UN-Habitat and made it a United Nations programme. Based in Nairobi, UN-Habitat is active in over 90 countries, maintains four regional offices and deploys in the range of \$225 million annually.

88. One of the key functions of UN-Habitat is its role within the United Nations system as a focal point on sustainable urbanization and human settlements, including in the implementation, follow-up to and review of the New Urban Agenda, as well as

³ General Assembly resolution 74/15.

for support for the urban dimension of the 2030 Agenda for Sustainable Development, in collaboration with other United Nations system entities.

89. UN-Habitat has been facing important challenges. In endorsing the New Urban Agenda, adopted at the United Nations Conference on Housing and Sustainable Urban Development, held in Quito in October 2016, the General Assembly initiated a series of reviews aimed at enhancing the effectiveness, efficiency, accountability and oversight of UN-Habitat. A high-level independent panel established by the Secretary-General found that UN-Habitat had limitations in terms of accountability, transparency and efficiency, that its resources had been inadequate, insecure and unpredictable, and that it had strayed too far from its normative mandate.

90. UN-Habitat has subsequently been undergoing a series of major internal and external reform processes that affect its governance, financing, organizational structure, management and work culture. Against that backdrop, the Joint Inspection Unit will undertake its first management and administration review of UN-Habitat. The review will examine organizational arrangements within UN-Habitat to support the transparency, accountability, efficiency, effectiveness and trust, which the Executive Director has stated is the purpose of ongoing change processes.

Annex I

Strategic framework of the Joint Inspection Unit for 2020–2029 and medium-term plan for 2020–2024

A. Introduction

1. In its resolution [73/287](#), the General Assembly looked forward to the presentation by the Unit of its medium- and long-term strategic framework for the period from 2020 to 2029. The strategic framework presented in the present annex succeeds the strategic framework for the period from 2010 to 2019, which had been presented to the General Assembly at its sixty-sixth session.¹

2. As encouraged by the General Assembly, its formulation was informed by conclusions drawn from the implementation of the strategic framework from 2010 to 2019 (the results achieved can be found in appendix 2) and from the insights garnered in various contexts from participating organizations and Member States.

3. The present strategic framework rests on the foundation of the Statute of the Joint Inspection Unit, contained in the annex to General Assembly resolution [31/192](#), notably its chapter III, which defines the Unit's functions, powers and responsibilities. It reflects General Assembly resolutions [70/257](#), [71/281](#), [72/269](#) and [73/287](#), in which the Assembly stressed the importance of the oversight functions of the Unit in identifying concrete managerial, administrative and programming questions within the participating organizations and providing the General Assembly and other legislative organs of participating organizations with practical and action-oriented recommendations to improve and strengthen the governance of the United Nations as a whole. The Assembly also recognized the need to continue to enhance the impact of the Unit on the management efficiency and transparency of the participating organizations and to make suggestions within the United Nations system.

4. The strategic framework reflects the need expressed by the General Assembly in its resolution [73/287](#) to consider the dynamics and challenges of the environment in which the Unit undertakes its activities and to focus its programme of work on the priority areas of the participating organizations and the Member States of the organizations in the United Nations system. The implementation of the Joint Inspection Unit's strategic framework requires therefore that the Unit, while remaining within its mandate, be agile in aligning with the evolving needs and strategic priorities of legislative bodies and organizations.

5. The Joint Inspection Unit has been established as a subsidiary body of the General Assembly and of the legislative bodies and organizations that accept its Statute. Its core functions are inspection, evaluation and investigation. In carrying out those functions, the Unit may propose reforms and/or make recommendations to the executive heads and/or governing bodies of participating organizations. The unit also develops benchmarking frameworks to facilitate work from a common set of standards and to facilitate effective sharing of information. The Unit's main deliverables are reports, notes and management letters that provide recommendations, information and guidance for use by governing bodies and executive heads of participating organizations.

¹ [A/66/34](#), annex I.

B. Guiding principles

6. In carrying out its work, the Joint Inspection Unit will continue to apply fundamental principles of:

(a) **Independence and impartiality.** The Unit is independent and as such carries out its work free from undue influence or control by others and in the sole interest of the organizations. Independence is critical to ensure objectivity and impartiality and is central to the credibility of the Unit.

(b) **Relevance.** The Unit seeks to be attuned, as suggested by the General Assembly, to the dynamics and challenges of the environment in which it works so as to be both responsive and responsible in focusing on priority items, while balancing various stakeholder demands.

(c) **Leveraging the system-wide mandate to add value.** In an environment where there are established independent internal and external oversight functions in United Nations system organizations, the advantage of the Unit is its ability to address system-wide issues of significance to the United Nations system, and issues that cannot be addressed by other oversight entities.

(d) **Efficiency.** The Unit will limit the cost to organizations by ensuring effective coordination, collaboration and partnerships in its planning and delivery with due regard to the mandate of the respective bodies. The Unit will also seek to maximize the use of knowledge and information it produces, as well as that produced by other independent oversight bodies.

(e) **Transparency and consultation.** The Unit will exercise transparency in the methods it uses for producing evidence. In the design of its studies and at all stages of its reviews, the Unit will consult and collect information and views from all participating organizations.

C. Strategic goals

7. The long-term goals of the Joint Inspection Unit are anchored in its Statute and the guidance of the General Assembly, and remain consistent. The only changes with respect to those goals are in relation to: a sharper delineation of four thematic areas of focus; the formulation of programmes of work to align with strategic priorities, such as the support of the United Nations system for Agenda 2030; and measures to improve follow-up to the implementation of recommendations and strengthen wider resonance of the Unit's work through more effective dissemination, outreach and communications.

8. The long-term goals are:

(a) To assist the legislative organs of the participating organizations in meeting their governance responsibilities in respect of their oversight function concerning management by the secretariats of human, financial and other resources;

(b) To help improve the efficiency and effectiveness of the respective secretariats in achieving the legislative mandates and the mission objectives established for the organizations;

(c) To promote greater collaboration among the organizations of the United Nations system;

(d) To identify best practices, propose benchmarks and facilitate information-sharing throughout the system.

D. Thematic areas of focus

9. The Joint Inspection Unit will carry out its work in the following thematic areas:

(a) Accountability and oversight functions and systems of organizations, as well as the functions for administration of justice and for ethics and integrity;

(b) Management and administration practices and methods of the United Nations system in the areas of human and financial resources, administration, results-based management, strategic planning and management, change management, risk management, security and safety, and the use of digital technologies;

(c) Internationally agreed goals and conventions addressing policies, strategies, and programmes, as well as coordination and collaboration on the realization of internationally agreed development goals, such as the 2030 Agenda for Sustainable Development;

(d) Governance arrangements and mechanisms, as well as inter-agency coordination.

E. Strategic approach

10. The following describes the strategic approach of the Joint Inspection Unit for achieving the goals and objectives outlined above. Appendix 1 below provides the performance indicators and targets for monitoring performance, as well as a basis for making mid-course corrections, if needed. It shows progress in targets set based on advances over the past 10 years, as highlighted in appendix 2.

1. System-wide reviews: coverage and approach

11. The Joint Inspection Unit will align the selection of topics for system-wide reviews with the four main thematic areas identified. Priority will be given to system-wide reviews with a focus on priority themes issues, including support for the 2030 Agenda for Sustainable Development and assessment of reform initiatives.

12. To enhance the relevance of system-wide reviews, the choice of topics will take into account the programmes of work of legislative bodies where available, as well as requests by legislative bodies, consultations with participating organizations and coordination mechanisms, such as CEB, and close coordination with oversight bodies.

13. The Unit will use multiple methods in its approach to carry out system-wide studies for inspection and evaluation. The Joint Inspection Unit has developed experience over the past 10 years in a variety of approaches, modalities and methods and will apply this experience to improve quality and efficiency. The approach will be influenced by the subject matter, level of complexity, scope of the study, the nature of existing knowledge and evidence. The approach will also consider the stage of development of the ongoing reforms in order to provide relevant and timely information to enhance improvement and success.

2. Single organization management and administration reviews: coverage and approach

14. In its resolution [73/287](#), the General Assembly encouraged the Joint Inspection Unit to include single organization reviews every year in its programme of work and to complete them within that time frame. The Unit will endeavour to do both during this strategic framework period, while noting that operational factors within participating organizations and resource limitations within the Unit may have a bearing on what is feasible in any given circumstance. The Unit is developing tools

to inform its consideration of which organizations to prioritize for such reviews, taking into account that the Unit's participating organizations are all different, particularly regarding their mandates and governance structure.

3. Strengthening the quality and rigour of the Unit's products

15. The Joint Inspection Unit appreciates the feedback it has received indicating appreciation for its work, including the relevance and quality of its products. Nevertheless, it remains committed to an ongoing process of improvement. It has recently supplemented its internal working procedures with guidance to enhance rigour at all stages of the project cycle. It is consulting internally and with participating organizations on possible measures of quality that could help strengthen internal guidance on how evidence is generated, analysed and presented.

16. The Unit will also continue its work to enhance the development of capabilities of the staff in the secretariat. Data analytics, communications and updating skills in oversight and evaluation methodologies will be among the focus areas.

4. Strengthening the outcome and impact of the Unit's products

17. The rates of acceptance of the Joint Inspection Unit's recommendations and the implementation of accepted recommendations have increased significantly. The Unit will continue to engage with both organizations and legislative bodies on the consideration, endorsement and implementation of its recommendations. As requested by the General Assembly, attention will be paid to the impact of the implementation of the Unit's recommendations, while recognizing the practical limitations in terms of its capacity for independent verification.

18. An important feature in strengthening the impact of the Unit's products is updating the web-based tracking system of the Unit during the medium-term plan period to improve its functionality and accessibility. This includes enhancing the system's application to allow effective use for data analysis and working with participating organizations and their oversight bodies to make it easier to record the implementation of recommendations in a manner that can be validated, verified and supported with data relating to the impact of the implementation.

19. The Unit plans to carrying out an interconnected synthesis of its work in one thematic area, using multiple focused reports on aspects of that theme, as a way to gain an insight on the efficiency and effectiveness of the United Nations system in that broader subject area.

5. Joint Inspection Unit benchmarking framework

20. The Joint Inspection Unit's benchmarking frameworks, developed for various subject areas, provide a system-wide standard for comparability, coherence and the sharing of good practices. Organizations have indicated, including at the 2019 meeting of the Unit's focal points, that these frameworks are considered by organizations to be among the Unit's most enduring and valued products. The Unit will ensure the frameworks remain available and will explore ways to effectively engage and share them with its stakeholders.

6. Support to the evaluation function of the United Nations system

21. In line with article 5.4 of its Statute, the Joint Inspection Unit remains available to assist intergovernmental bodies in carrying out their responsibilities for external evaluations of programmes and activities, as well as to support the development of the internal evaluation function in meeting the demands of global changes and challenges and of the 2030 Agenda.

7. Investigations

22. The mandate of the Joint Inspection Unit to conduct investigations is based on article 5.1 of its Statute. The Unit's general principles and guidelines for investigations spell out, among other things, the details of that mandate and its scope, the investigation standards and process, as well as the handling of the outcomes of investigations.

F. Resources

23. Undertaking reviews of a complex nature, including reviews that involve greater focus on reforms at the country and regional levels, will have implications for the financial and human resources of the Unit. The General Assembly, by its resolution [73/287](#), decided to consider any resources associated with the implementation of the medium- and long-term strategy approach in the context of future programme budgets. It is hoped that, in order to enable the General Assembly to consider the matter, the Secretary-General will consult with the Unit on the representation of those requirements in future proposed programme budgets.

24. In any event, the Joint Inspection Unit will continue to optimize the use of its financial and human resources. It will also seek to mobilize extrabudgetary resources, when and where appropriate.

G. Key performance indicators

25. The Joint Inspection Unit has established a performance plan to monitor and to perform a comprehensive assessment of the strategic framework. An assessment will be made at the midpoint, in 2024 and, if required, changes will be made to indicators and/or targets. A selection of key performance indicators from the plan is outlined in appendix 1 and will be used for annual reporting of the Unit's performance. Performance criteria are both quantitative and qualitative and are time-bound to support effective management.

Appendix 1

Results, indicators and performance criteria

1. Coverage

1.1 System-wide coverage

Result 1: Significant coverage of system-wide reviews.

Indicator: Focus of the Joint Inspection Unit's programme of work is on system-wide issues that can be assessed across all or multiple organizations.

Performance criterion for result 1:

At least 75 per cent of JIU reports and notes for all or several participating organizations over the 10-year period address significant system-wide issues that can be assessed across all or multiple organizations.

Result 2: System-wide coverage addresses the four thematic areas.

Indicator: The system-wide studies are in the four main thematic areas of the strategic framework.

Performance criterion for result 2:

All reports in the annual programme of work are related to the four strategic objectives of the strategic framework.

Result 3: Linkage of both system-wide and single organization studies with the 2030 Agenda and reforms.

Performance criterion for result 3:

JIU inspections and evaluations address the 4 main thematic areas of the strategic framework, with due consideration for how performance is aligned with the 2030 Agenda and the United Nations system reforms and with changing trends and challenges, including in the use of digital technologies.

1.2 Single organization management and administration reviews

Result: A strategic and comprehensive approach to conducting management and administration reviews of participating organizations.

Performance criteria:

The selection of organizations is guided by:

- (a) Applying economies of scale as needed, making most effective use of existing information from assessments by other oversight bodies of the United Nations system;
 - (b) A risk-based approach developed by the end of 2020, validated and piloted for identifying organizations for management and administrative reviews;
 - (c) An identified need to address issues in the organization or selected areas deemed critical (either from past reviews or as requested by the executive heads and/or Member States).
-

1.3 Good practice and benchmarking framework for system-wide reviews

Result: Improved quality and use of benchmarking frameworks for validity, comparability, consistency in assessment, and sharing of good practices among organizations working from the same defined framework.

Performance criteria:

- (a) Standards and procedures to improve the quality and rigor of benchmarking frameworks and to increase the consistency across frameworks;

- (b) Effective platforms developed and implemented to share good practices and knowledge in the various thematic areas of the Unit's work.
-

2. Quality: Transparency and credibility from a common frame of reference for quality

Result: Strengthened rigour in evidence and transparency of the quality of the work of the Unit.

Performance criterion:

Quality criteria and standards for the Unit's reviews developed based on its norms and standards and on stakeholder input on quality. The criteria are piloted and validated and are used by 2022.

3. Value and impact of the work of the Unit

Result: Improved use and strengthened impact of the Unit's products.

Performance criterion (a):

Rate of acceptance of recommendations of the Unit's reports and rate of implementation of its recommendations.

System-wide target:

- (a) Rate of acceptance is above 70 per cent in all strategic objectives of system-wide reviews and in all United Nations system organizations;
- (b) Rate of implementation of accepted recommendations is above 80 per cent.

Target for management and administration reviews of single organizations:

- (a) Rate of acceptance is above 75 per cent;
- (b) Rate of implementation of accepted recommendations is above 80 per cent.

Performance criterion (b):

Improve the functionality of the web-based tracking system for effective and valid reporting:

- (a) Validation process in place for acceptance and implementation;
- (b) Impact section completed and validated;
- (c) Data platform developed for analytical purposes.

Performance criterion (c):

Impact or difference made by the Unit:

- (a) Synthesis of selected strategic objectives or major themes of the Unit's work and implications for strategy and programme of work;
- (b) Impact analysis of selected strategic objectives or major themes of the Unit's work and implications for strategy and programme of work.

Performance criterion (d):

Communication, outreach and engagement:

- (a) Differentiated products for stakeholder use;
- (b) Platforms for (social) engagement with stakeholders on products and good practices;
- (c) Engagement with external partners for added value and the global leadership role of the United Nations system for knowledge production and management.

4. Efficiency

Result: optimal use of resources of the Unit and that of the United Nations system.

Performance criteria:

- (a) Enhanced validation process, improved scoping, use of inception papers or design matrix;
 - (b) Enhanced collaboration and partnership with other oversight and evaluation bodies;
 - (c) Use of secondary data or synthesis of existing knowledge from internal reviews and studies.
-

Appendix 2

Performance assessment of the strategic framework of the Joint Inspection Unit for 2010–2019

<i>Expected accomplishments and indicators of achievement for the period (2010–2019)</i>	<i>Accomplishment Performance against targets set and alternative actions significant for meeting objectives</i>
Use of Joint Inspection Unit products	The Unit's web-based tracking system is fully operational as of 2012.
(a) Strengthened system of follow-up on the acceptance and implementation of recommendations:	New functionalities added between 2012 and 2019 in response to demand from stakeholders (participating organizations and Member States).
(i) New web-based information system for follow-up of recommendations in place.	70.7 per cent acceptance rate for the period from 2010 to 2017.
Associated target: new system for legislative bodies and secretariats available and fully operational by the end of 2012.	The Unit met the target. There are some variations in performance: (a) among organizations, and (b) among the various strategic objectives.
(ii) Rate of acceptance of recommendations by the participating organizations.	Note: Statistics only go to 2017, since on average it takes two years from the date of publication for the respective legislative and governing bodies to consider the reports.
Associated target: percentage of acceptance of recommendations in the medium-term period should not be less than 60 per cent.	All reports related to at least one of the objectives of the strategic framework for the period from 2010 to 2019.
Coverage in alignment with main objectives – system-wide	
(b) Increased system-wide focus of the programme of work of the Unit:	
(i) Balanced number of reports related to each of the defined strategic areas.	
Associated target: all reports produced by the Unit should be related to at least one of the strategic areas.	
Coverage – system-wide	81.2 per cent of reports between 2010 and 2019 were of system-wide issues and they covered all participating organizations or multiple organizations.
(ii) Percentage of system-wide reports or reports on several organizations issued during the period.	
Associated target: at least 70 per cent of the total number of reports produced in the period.	
Coverage – single organization reviews of management and administration	8 out of 28 participating organizations have not been reviewed in a systematic way:
(c) Systematic review of the management and administration of participating organizations.	<ul style="list-style-type: none"> New York-based funds and programmes: UNDP, UNFPA, UNICEF, UN-Women;

- (i) Number of reviews of management and administration of participating organizations.

Associated target: all participating organizations are reviewed at least once every eight years.

- (ii) Number of reviews of management and administration of participating organizations.

Associated target: at least two reviews per year.

- Nairobi-based: UNEP and UN-Habitat;
- Other: ITC, UNRWA.

Some organizations were reviewed twice. During the reporting period, three organizations became participating organizations of the Unit (UN-Women, ITC and UNAIDS), thereby increasing the workload for reviews.

The Unit undertook an average of 1.8 management and administrative reviews of single organizations per year during the period from 2010 to 2019.

For enhanced effectiveness and consistency in the conduct of the reviews, and to permit synthesis findings across organizations, the Unit developed a benchmarking framework for management and administration reviews.

Relevance and stakeholder involvement and outreach

- (d) Improved relevance and outreach of the reports of the Unit:

- (i) Percentage of the programme of work that is based on proposals and/or suggestions made by participating organizations, Member States and oversight bodies.

Associated target: 75 per cent.

71 per cent of topics of system-wide products originated from stakeholders (participating organizations, Member States and oversight bodies).

- (i) Focus on enhancing the use of the Unit's recommendations – based on a report on outcomes of follow-up and through management letters.

Focus on more intensive assessment of suggestions by organizations and their validation using a methodology and criteria to ensure value added of recommendations.

Use of Unit reports and notes – internal and external

- (ii) Number of visitors to the revised website of the Unit.

Associated target: 100,000 visits per year.

The Unit's website attracted in excess of 100,000 visits per year during the reporting period.

Quality of Unit products – conditions for quality

- (e) Enhanced qualifications and tools of evaluation staff: average number of relevant training days per year.

Associated target: at least 10 days per Professional staff member.

The Unit's secretariat staff met the standards set for United Nations staff members (five days of training per year) but did not meet the Unit's own target of 10 days.

The Unit took advantage of opportunities to send staff on secondments to other organizations to enhance their skills; one staff member successfully applied for a study sabbatical. Furthermore, the Unit held regular events to discuss professional practices with external experts.

Staff involvement in the development of a number of corporate products and activities also provided the opportunity for learning and professional development (examples: peer review of the Unit; and development of the Unit's norms and standards, internal working procedures, guidelines and technical papers).

Annex II

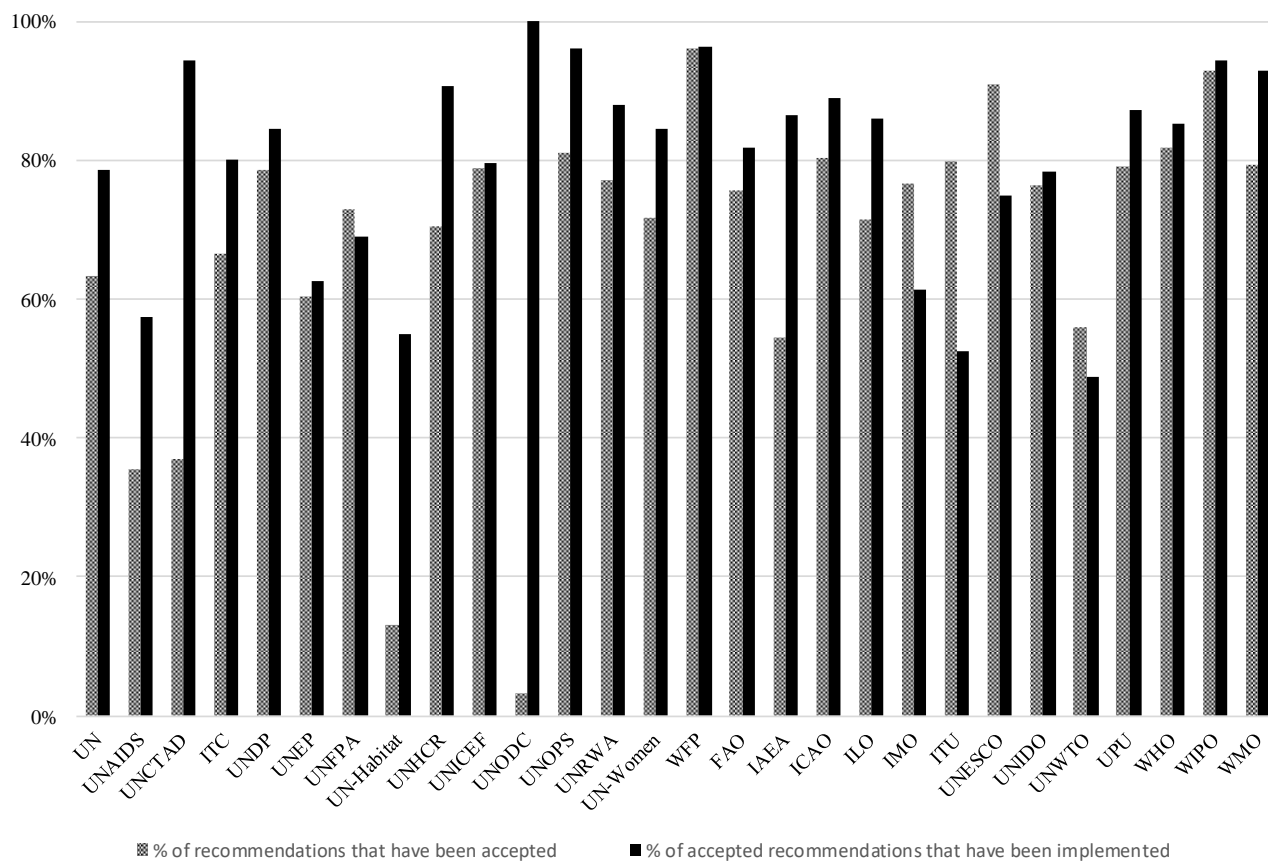
Status of implementation of the workplan for 2019 as at 31 December 2019

<i>Project title</i>	<i>Symbol/completion date</i>
Review of management and administration in the International Civil Aviation Organization	JIU/REP/2019/1
Review of the United Nations System-wide Action Plan on Gender Equality and the Empowerment of Women	JIU/REP/2019/2
Review of the integration of disaster risk reduction in the work of the United Nations system in the context of the 2030 Agenda for Sustainable Development	JIU/REP/2019/3
Review of change management in United Nations system organizations	JIU/REP/2019/4
Managing cloud computing services in the United Nations system	JIU/REP/2019/5
Review of audit and oversight committees in the United Nations system	JIU/REP/2019/6
Review of management and administration of the Joint United Nations Programme on HIV/AIDS	JIU/REP/2019/7
Review of staff exchange programmes and similar inter-agency mobility measures in United Nations system organizations	JIU/REP/2019/8
Review of contemporary practices in the external outsourcing of services to commercial service providers by United Nations system organizations	JIU/REP/2019/9
Review of the state of the investigation function: progress made in the United Nations system organizations in strengthening the investigation function	To be completed in 2020
Multilingualism in the United Nations system	To be completed in 2020
Policies, programmes and platforms to support learning in the United Nations system	To be completed in 2020
Review of management and administration in the United Nations Economic Commission for Latin America and the Caribbean (management letter JIU/ML/2019/1 issued in 2019)	To be completed in 2020
United Nations common premises: current practices and future requirements	To be completed in 2020
Review of the status of implementation of enterprise risk management in the United Nations system organizations	To be completed in 2020
Review of management and administration in the World Meteorological Organization	To be completed in 2020

Annex III

Status of acceptance of Joint Inspection Unit recommendations, and implementation of accepted recommendations, by participating organizations, 2011–2018

(Percentage)



Annex IV

List of contributing organizations and their percentage share in the costs of the Joint Inspection Unit for 2018–2019

<i>Organization</i>	<i>Percentage</i>
FAO	3.5
IAEA	1.6
ICAO	0.6
ILO	1.8
IMO	0.2
ITU	0.5
PAHO	4.2
UNAIDS	0.8
UNDP	14.5
UNESCO	2.2
UNFPA	2.8
UNHCR	9.3
UNICEF	13.5
UNIDO	0.7
United Nations	15.1
UNOPS	1.9
UNRWA	3.7
UN-Women	0.8
UNWTO	0.1
UPU	0.2
WFP	13.8
WHO	7.1
WIPO	1.0
WMO	0.3

Source: CEB.

Note: The United Nations entry includes the United Nations Secretariat, UNITAR, ITC, ICSC, the International Court of Justice, the United Nations Joint Staff Pension Fund and United Nations University. It excludes tribunals, special political missions and peacekeeping operations.

Annex V

Composition of the Joint Inspection Unit

1. The composition of the Joint Inspection Unit for 2019 was as follows (each inspector's term of office expires on 31 December of the year indicated in parentheses):

- Gopinathan Achamkulangare (India) (2022)
- Aicha Afifi (Morocco) (2020)
- Jean Wesley Cazeau (Haiti) (2022)
- Eileen A. Cronin (United States of America) (2021)
- Petru Dumitriu (Romania) (2020)
- Jorge T. Flores Callejas (Honduras) (2021)
- Keiko Kamioka (Japan) (2024)
- Jeremiah Kramer (Canada) (2020)
- Nikolay Lozinskiy (Russian Federation) (2022)
- Sukai Elie Prom-Jackson (Gambia) (2022)
- Gönke Roscher (Germany) (2020)

2. In accordance with article 18 of the Statute of the Joint Inspection Unit, which provides that each year the Unit shall elect from among the inspectors a Chair and a Vice-Chair, the Bureau of the Joint Inspection Unit for 2020 is as follows:

- Eileen A. Cronin (United States of America), Chair
- Keiko Kamioka (Japan), Vice-Chair

Annex VI

Programme of work for 2020^a

<i>Project No.</i>	<i>Title</i>	<i>Type</i>
A.451	Cybersecurity in the United Nations system organizations: a review of policies and practices	System-wide
A.452	Sustainable and environmentally friendly policies, practices and facilities across the United Nations system organizations	System-wide
A.453	The use of blockchain applications in the United Nations system: a critical SWOT analysis	System-wide
A.454	Comprehensive review of United Nations system support for the landlocked developing countries	System-wide
A.455	Current state of the ethics function in the United Nations system	System-wide
A.456	Review of management and administration in the United Nations Human Settlements Programme (UN-Habitat)	Single

^a Subject to change during the year.

