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United Nations Nations Unies

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REFERENCE:

16 March 2007

Dear Mr. Holmes,

Senior Managers Compact for 2007

As you are aware, one of the Secretary-General's highest priorities is to enhance transparency and accountability throughout the Secretariat. To this end, he has decided to introduce a senior manager's compact for all staff directly accountable to him.

As agreed at the combined Policy and Management Committee meeting held on 13 February 2007, and as presented at the Greentree retreat on 9 and 10 March, please find attached the 2007 Compact template and guidelines. The Compact includes performance targets for both programme mandates prescribed by the intergovernmental bodies and strategic areas of management critical to the effective running of the Organization. The Compact also highlights the need for senior managers to communicate effectively with their staff and strive to maintain good morale within their departments.

The completed Compact should be forwarded to my office by 16 April 2007. After review by my office it will be sent to the Deputy Secretary-General for final review in her role as Chairperson of the Management Performance Board.

Please be informed that once the Compact is approved and signed by the Secretary-General, it will be published on the UN Intranet "iSeek".

Sincerely,

Alicia Bárcena
Under-Secretary-General
for Management

Mr. John Holmes
Under-Secretary-General
Office for the Coordination of Humanitarian Affairs
New York

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2007 SENIOR MANAGERS COMPACT

BETWEEN and The Secretary-General, Mr. Ban Ki-moon

DEPARTMENT/MISSION/OFFICE:

A. PROGRAMME OBJECTIVES AND PERFORMANCE MEASURES

1. Programme budget:

My programme objectives and performance measures for the year 2007 are contained in:

*(*e.g. budget sections applicable will be listed, with a link to the actual document when the compact is published on i-seek)*

The detailed objectives can be found in the documents referred to above and are therefore not repeated here.

2. Other Mandates: *(*if this section is not applicable it will be deleted)*

In addition to the objectives contained in the budget documents, the following mandates will also have a major impact on the programme priorities for the year:

The following are the main objectives, expected accomplishments, and associated performance measures applicable to these mandates.

Objective	Expected accomplishment	Performance measure

3. Senior Manager's programme priorities

The following represent my high priority programme objectives for the year.

Objective	Expected accomplishment	Performance measure

B MANAGEMENT OBJECTIVES AND PERFORMANCE MEASURES

The following highlight six areas of strategic management importance that require my particular attention during the year:

1. Internal Communications and staff relations

Objective	Expected accomplishment	Performance measure
To improve internal communications and foster a climate of trust, openness and transparency.	Staff are adequately informed on the functioning of the department and have channels open to them to communicate freely with management.	Formal means of communication established (such as regular town hall meetings and feed back mechanisms for complaints), and positive feedback from staff.

2. Special objectives

Objective	Expected accomplishment	Performance measure
Effective self evaluation of all programmes and subprogrammes on a regular basis in accordance with para 20 of A/RES/58/269.	Establishment of self evaluation capacity, and data collection procedures working effectively.	• IMDIS fully updated with biennium performance data. • Self evaluation plans implemented. • Resources in place in line with 2006-2007 budget.
Timely submission of documents for consideration by the governing bodies.	Timely submission of documents to Conference Management.	90% of documents submitted by slot date.
Full implementation of the relevant aspects of the UN Secretariat-wide ICT Strategy.	Established and fully functioning ICT departmental governance structure.	Meetings and outcomes of the departmental ICT committee are in line with responsibilities described in ST/SGB/2003/17.

3. Human resources management

Objective	Expected accomplishment	Performance measure
Minimize vacancy levels.	To achieve RB and XB vacancy levels as close as possible to 0%.	Vacancy rate for RB and XB posts funded for more than one year to be no more than 5%.
Achieve 50% gender balance in the professional and higher categories.	To achieve, and/or increase ratio of 50% female staff to male staff at professional levels and above.	Maintenance of at least 50% selection of women for vacancies in (a) all categories, (b) Professional category, and (c) Director category. 2 percentage point average annual increase in female representation in (a) all categories, and (b) Professional and Director categories for departments with female representation below 50% in these categories.
Improving the Geographic distribution of staff within the Secretariat.	Increase the number of recruitments from un and underrepresented Member States.	At least 20% of recruitments to geographical posts to be made from un and underrepresented Member States.
Achieve 100% compliance with PAS.	100% PAS Compliance.	100% PAS Compliance.

4. Financial management objectives

Objective	Expected accomplishment	Performance measure
To secure adequate resources for fulfilling the programme mandates of the Department.	All budgetary proposals are submitted to the Controller on time.	All budgetary submissions meet established deadlines with full justification and completeness of information.
To achieve expected accomplishments of the Department's programme by effective and efficient management of resources.	Utilization of approved resources to the fullest extent.	Final expenditures deviate by less than 2% from appropriations.

5. Oversight body recommendations

Objective	Expected accomplishment	Performance measure
Implement recommendations of oversight bodies commensurate with the risks involved to the organization.	Recommendations are prioritized in accordance with associated risks, and appropriate timeframes established for implementation.	90% of recommendations implemented on time. Remaining 10% within 3 months of target.

6. Conduct

Objective	Expected accomplishment	Performance measure
To ensure that staff declares any potential conflict of interest they may face whilst discharging their duties.	All staff within the department, who are subject to the financial disclosure requirements, file financial disclosures by due date.	100% compliance with financial disclosure requirements by due date.
Improved understanding of ethics among staff members in the department.	Completion of Ethics training for all staff in the department.	100% compliance with statutory training requirements.
To make administrative decisions consistent with delegated authority and the rules and regulations of the U.N.	Decisions made in departments are in accordance with the regulations and rules of the organization.	Outcomes on appeals and written complaints indicate that decisions were made consistent with delegation of authority and regulations and rules.
Timely response to staff appeals and contested administrative decisions.	Compliance with para 32 of GA resolution A/RES/59/283, and required timeframes.	All written explanations by managers to the Department of Management are submitted within three weeks.

C. CONTRIBUTION TO THE BROADER INTERESTS OF THE UNITED NATIONS

As well as the specific objectives and accomplishments referred to above it is understood that a key element of my responsibilities is to contribute to the broader interests of the United Nations. In this regard I will ensure that I participate fully in the shared responsibilities of senior management such as advocacy of the United Nations values and policies, support for organizational objectives such as management reform and gender mainstreaming, and that I will actively contribute to the Secretariat's decision-making and information-sharing committees.

D. SIGNATURES

I acknowledge the objectives stated above and undertake to plan, monitor and implement them as well as fully discharge my other responsibilities as a senior manager of the United Nations.

Signature :	
Name and title:	Date:

I endorse the objectives and priorities stated in this compact.

Signature:	
Ban Ki-moon, Secretary-General	Date:

2007 Senior Managers Compact

Background and Guidelines

I. BACKGROUND

1) To strengthen his capacity to evaluate performance of senior managers, the Secretary-General has introduced a revised Senior Managers Compact that contains the main objectives and associated performance measures for senior managers, as agreed by the Secretary-General. The Compact draws on mandated objectives and performance measures approved by the inter-governmental bodies, and also makes provision for the personal objectives and priorities of each senior manager. Senior managers should ensure that progress towards meeting the targets is regularly monitored and appropriate remedial action is taken where necessary.

2) The Management Performance Board, established in May 2005 (ST/SGB/2005/13), and chaired by the Deputy Secretary-General, will advise the Secretary-General on the content of the Compacts as well as the performance assessment at the end of the year.

II. OVERVIEW OF PROCESS

3) Upon initial appointment, or at the beginning of each year, senior managers are required to submit a Compact to the Secretary-General for agreement and signature. The main stages of the preparation process are:

   a) Submission of the draft Compact to OUSG/DM within one month of date of request;
   b) Draft Compact submitted to the Deputy Secretary-General, in her role as Chairperson of the Management Performance Board, for review;
   c) Adjustments made and agreed with the senior manager;
   d) Finalized Compact submitted to the Secretary-General for signature; and
   e) Signed Compact published on "i Seek", the UN Intranet.

4) At the end of the year the following steps will be taken in relation to the performance assessment:

   a) The Department of Management will prepare an assessment of performance for the management objectives;
   b) Senior managers will prepare a self assessment showing actual achievements for each programme performance measure, and an overall self assessment covering both programme performance and management performance;
   c) The Department of Management will prepare a consolidated report of all senior managers' performance and submit to the Management Performance Board, along with the individual assessments of senior managers;
   d) The Management Performance Board will prepare a summary of its findings and recommendations for consideration by the Secretary-General; and

e) A copy of the Secretary-General's decisions and requested actions, and any related correspondence, will be placed in the Official Status (OS) file of the senior manager.

III. COMPLETION OF COMPACT FORM

A. Programme objectives and performance measures

1. Programme budget:

5) Programme objectives and the associated performance measures are generally defined in the budgets approved by the General Assembly. These include the biennial programme budget, annual peacekeeping budgets, budgets for special political missions, and special budgets such as the Capital Master Plan.

6) To complete this section, simply list the budget document, and the specific parts of the budget document that contain the programmes that fall under the purview of the manager, e.g. Department of Public Information may list: Approved programme budget of the United Nations, A/60/6 (Sect. 27) full section; A/60//6 (Sect. 11) sub programme 3 etc.....

7) In most cases, the detailed objectives can be found in the documents referred to above. It is therefore not necessary to repeat them.

2. Other Mandates:

8) In addition to the objectives contained in the budget documents, some programmes are subject to additional direction that govern their work programmes e.g. UNCTAD and the Regional Commissions. Any mandates of significance should be listed here, as well as the associated objectives, expected accomplishments, and associated performance indicators. If there are source documents that contain clear details of the objectives, achievements and measures of success, then these can be listed and appropriately cross referenced.

9) If there are no additional objectives beyond those contained in the budget documents, this section should be deleted.

3. Senior Managers programme priorities:

10) The head of department should include his/her major objectives for the year with the associated expected accomplishments and performance measures. These should represent objectives in which the head of department will take a leading role. It would normally be expected that around three to six major objectives be included.

11) The performance measures and associated targets should follow similar principles to those applied to the performance measures contained in the programme budget, i.e. they should be specific, measurable, achievable, relevant and time-bound.

B. Management objectives and performance measures

12) Management objectives are shown under six headings: 1. Internal communications and staff relations; 2. Special objectives; 3. Human resources management; 4. Financial management, 5. Oversight body recommendations; and 6. Conduct. These objectives are standard and the Department of Management has already completed the form. Therefore, in most cases, no further action is required. However, for some managers, some of the objectives may not be applicable, or need to be tailored to their specific circumstances. For example, some may not supervise posts that are subject to geographic representation. In these cases, the indicators should be deleted, and an explanation provided, when submitting the Compact for review by the Department of Management.

IV. ASSISTANCE

13) If there are any questions concerning the Compact or completion of the form, please contact Mr. Jonathan Childerley (3-4625 or childerleyj@un.org), or Ms. Christina Post (3-2022 or post@un.org), of the Oversight Support Unit, Office of the Under-Secretary-General for Management.