

Policy Guidelines

**Temporary Suspension of Hiring
for vacant positions funded from the regular budget, including special political missions**

OHR/PG/2023/5/Rev.1 – 01 August 2023

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I. Introduction

1. These Policy Guidelines are issued to assist Heads of Entities (HoEs) in the implementation of the temporary suspension of hiring against all vacant positions funded from the regular budget, including special political missions, which was communicated to them in the memorandum by the Assistant Secretary-General and Controller of the Department of Management Strategy, Policy and Compliance (DMSPC) on managing the 2023 regular budget liquidity situation, dated 19 July 2023 (see Annex A).
2. This document will remain under continuous review and be revised as necessary during the temporary suspension of hiring for vacant positions funded from the regular budget, including special political missions.

II. Scope and duration of the suspension

3. As outlined in the above-mentioned memorandum, the temporary suspension applies to all hiring against vacant positions funded from the regular budget, including special political missions, at all levels including the Director levels (D-1 and D-2) and positions at the USG and ASG levels both at Headquarters and in the field, whether funded from general temporary assistance, temporary or established positions as detailed below:
 - a) hiring through job openings (JOs), including those that might result in the promotion of currently serving staff members;
 - b) hiring through temporary job openings (TJO);
 - c) hiring that takes place outside Inspira, e.g., without a TJO or JO, including the recruitment of locally recruited staff in special political missions;
 - d) hiring against vacant P-2 positions from the Young Professional Programme (YPP) roster; and
 - e) lateral reassignment, within the entity, which are within the authority of the HoEs, subject to the provisions contained in part VIII below.
4. The suspension of hiring does not however include the extension of temporary and fixed-term appointments of currently serving staff members provided there is still a need for the functions performed and resources exist.
5. While the suspension does not explicitly apply to non-post expenses, including, but not limited to, hiring of consultants, individual contractors, UN Volunteers and other non-staff personnel, all such non-post expenses should be limited and postponed unless they are directly and immediately linked to ongoing mandated activities..

6. The suspension is in effect until further notice and will be reviewed regularly by the ASG/ Controller for DMSPC as the financial situation evolves.

7. As the temporary suspension on hiring may last for several months, candidates who apply for JOs and TJOs may no longer be available at the time the suspension is lifted and the actual hiring for the position can take place. Hiring managers may however proceed with assessments, including interviews, and if doing so, may wish advising job applicants that such assessment is done to advance the hiring process but that no hiring will be made until after the suspension is lifted¹.

III. Vacant positions (or those becoming vacant) for which a Job Opening or Temporary Job Opening has not been posted

8. Vacant or temporarily vacant positions funded from the regular budget, including special political missions, may be advertised; however selection of a recommended and/or rostered candidate against those positions is not allowed at this time. In accordance with the memorandum sent jointly by the Under Secretary-General for DMSPC and the Under Secretary-General for the Department of Operational Support (DOS) on the closure of MINUSMA and impact on head of entity responsibilities under [ST/AI/2023/1](#) on Downsizing or restructuring resulting in termination of appointments, dated 19 July 2023 (see Annex B), the entities are requested to advertise all vacant positions without delay to enable downsized staff to apply to these positions.

¹ The Inspira tool has been re-configured to temporarily prevent selection against vacant positions funded from the regular budget, including special political missions (for both JOs and TJOs). It will also prevent selection if there is no position number. Separate guidance has been issued to HR recruiters for ensuring position numbers are entered for non-regular budget, including special political missions positions, hence allowing the HoEs to proceed with selection against these positions, when exceptionally agreed by the Assistant Secretary-General/Controller for DMSPC (see parts XII and XIII below).

IV. Vacant positions for which a Job Opening has been published and which are in various stages of the selection process before Central Review Body endorsement

9. For vacant positions funded from the regular budget, including special political missions, which were already advertised through a JO, or for which the review and assessment of candidates has begun, the cases may be submitted to the Central Review Bodies (CRBs) via Inspira. Cases submitted will continue to be reviewed by the CRBs.

V. Job Openings for which the Central Review Body review has been completed, but no selection decision has been made yet by heads of entities

10. For those vacant positions funded from regular budget, including special political missions, for which the list of recommended candidates was endorsed by the CRBs, no selection decision can be made by the HoEs until the suspension is lifted, subject to the provisions of part XII or part XIII below.

VI. Job Openings for which selection decisions were made, the offers of appointment processed but not yet issued to the selected candidate

11. Any offer and ongoing subsequent onboarding process against vacant positions funded from the regular budget, including special political missions, will compromise the Organization's ability to meet its financial obligations towards existing staff members. For those vacant positions funded from the regular budget, including special political missions, for which selection decisions have been made, no offer of appointment should be issued to any selected candidate(s) to avoid potential litigation against the Organization. The same applies to those recruitments made outside of Inspira. The offer management process and subsequent onboarding procedures should be resumed only once the temporary suspension of hiring is lifted and selected candidates should be informed accordingly.

12. For the vacant positions funded from the regular budget, including special political missions, for which the selection has been completed and the offer management has started, entities should systematically suspend the issuance of offers of appointment for the duration of the temporary suspension of hiring.

VII. Withdrawal of Offer of Appointment: when offers of appointment have been accepted by the selected candidate and a letter of appointment has not been signed

14. When an offer of appointment for a vacant position funded from the regular budget, including special political missions has been sent and accepted by a selected candidate but the letter of appointment has not been signed, the Executive Office or local HR office shall review each case for potential withdrawal of the offer, considering any potential legal and financial liability. HoEs have the delegated authority for such decision making. Approaching the selected candidate to seek their concurrence may be a proactive step to prevent such liability.

15. If the offer cannot be withdrawn, the onboarding process should be delayed until such time the suspension is lifted; and the candidate should be informed accordingly.

16. Entities are reminded to exercise due diligence and to carefully review, in consultation with their local Administration/Business Partner/Executive Offices or HR offices, all offers of appointment for vacant positions funded from the regular budget, including special political missions, and account those that are still at the on-boarding stage, in order to clearly understand the current situation to anticipate to either withdraw or delay onboarding until the temporary hiring suspension is lifted.

17. For additional guidance on any specific case, please follow the usual Tiered support system workflow, i.e., reach out to your entity's Service Provider, as Tier 1, or to the colleagues in Human Resources Services Division (HRSD/DOS), as Tier 2, at DOS-HR-Advice (dos-hr-advice@un.org). DOS/HRSD will escalate these queries to the Office of Human Resources (OHR) as Tier 3, should further authoritative interpretation and policy advice be needed.

VIII. Lateral reassignments

18. The temporary suspension of hiring applies to lateral reassignments, within the entity, which are within the authority of the HoEs that are not cost-neutral.

19. However, if the lateral reassignment of the staff member is from a position funded from the regular budget, including special political mission, to another position funded from the regular budget, including special political mission, or to an extra-budgetary-funded position, within the same duty station, it may be implemented as such reassignment would not have an impact on the liquidity under the regular budget, including special political missions.

20. Lateral reassignments within an entity, which would involve a change of duty station, however, are not allowed as they would have financial implications for the regular budget, including special political missions.

IX. Young Professional Programme Placement and Management Reassignment Programme reassignments

21. The temporary suspension of hiring extends to recruitment of vacant P-2 posts from the YPP roster if it is on a position funded from the regular budget, including special political missions. Any current YPP roster validity will be extended for the duration of the temporary suspension of hiring.

22. The implementation of the lateral reassignments of YPP staff members resulting from the 2023 Management Reassignment Programme (MRP) exercise, may proceed regardless of the funding source of the positions.

X. Temporary appointments and temporary assignments against temporarily vacant positions

23. The suspension of hiring affects both currently serving staff members and those who are not yet staff members.

24. The temporary appointments (TAs) of currently serving staff members on positions funded from the regular budget, including special political missions, may be extended up to the maximum period allowed as per the provisions of the [ST/AI/2010/4/Rev.2](#) on Temporary appointments, and provided there is still a need for the functions performed, and resources exist.

25. For currently serving staff members recruited against a vacant position funded from the regular budget, including special political missions, for three months or less without issuance of a TJO, their TAs should not be further extended.

26. For currently serving staff members temporarily assigned to a vacant position funded from the regular budget, including special political missions, for three months or less, they should return to the releasing entity upon completion of their temporary assignments if their parent position is not funded from the regular budget or from the special political missions' budget. If both their temporary and parent positions are funded from the regular budget, including special political missions' budget, and should the extension beyond three months be cost-neutral (i.e., not trigger any additional entitlement payment against the regular budget, including special

political missions' budget), the Heads of both releasing and receiving entities may agree on the potential extension of such temporary assignment or the return to the parent position.

XI. Special Post Allowances

27. Staff members who are currently in receipt of a special post allowance (SPA) may continue receiving such payment as long as they are eligible and meet the criteria for such payment as per the Staff Regulations and Rules and related administrative issuances ([ST/AI/2010/4/Rev.2](#) and [ST/AI/1999/17](#) and [Amend.1](#)).

28. Staff members who are temporarily serving at a higher-grade level on a position funded from the regular budget, including special political missions, following selection through a TJO for a period exceeding three months prior to the suspension of hiring may start receiving a special post allowance if/when they are eligible and meet the criteria for such payment as per the Staff Regulations and Rules and related administrative issuances ([ST/AI/2010/4/Rev.2](#) and [ST/AI/1999/17](#) and [Amend.1](#)).

XII. Recruitment exceptions for selection of downsized staff

29. The restriction on the hiring described above will not be applicable to downsized candidates. Entities are reminded that any downsized staff members flagged for priority consideration in Inspira who apply for vacant positions must be reviewed on a priority and non-competitive basis before any other applicant and if suitable, they must be selected in accordance with the criteria stated in [ST/AI/2023/1](#). Further as indicated in paragraphs 6 and 4 of the memoranda dated 7 and 19 July 2023 respectively (see Annex B), entities are also requested to consider favorably, during competitive selection processes, downsized staff members which are not flagged for priority consideration.

30. As indicated in paragraph 5 of the memorandum dated 7 July 2023 (see Annex B) when the selection of a downsized candidate negatively impacts the geography or gender targets in the Head of Entity's compact with the Secretary-General, this will not be viewed negatively; and on the contrary, selection from downsized staff, regardless of their gender or nationality, will be taken into consideration when assessing their compact for the applicable year.

31. Requests for authority to exceptionally select a suitable downsized staff (regardless of whether they are flagged for priority consideration in Inspira) should be addressed and submitted directly to the ASG/Controller and the ASG for Human Resources with copy to the USG for DMSPC.



32. y. If the exception is approved, the ASG/OHR and ASG/Controller will instruct the Inspira team to allow HoEs to proceed with the selection in the Inspira system. Entities are requested not to write directly to the Inspira team on such exceptions.

XIII. Requests for exceptions for critical hiring processes

33. Requests for exceptions for critical hiring processes should be addressed and submitted directly to the ASG/Controller and the ASG for Human Resources with copy to the USG for DMSPC.

34. The only requests for exceptions to be considered are those related to critical hiring processes, taking into account the impacts of the appointments on the geography or gender targets in the Head of Entity's compact with the Secretary-General.

35. If the exception is approved, the ASG/OHR and ASG/Controller will instruct the Inspira team to allow HoEs to proceed with the selection in the Inspira system. Entities are requested not to write to the Inspira team on such exceptions.

Annex A. Communication to Heads of Department/Offices on Managing the 2023 regular budget liquidity situation



TO: Heads of Departments/Offices (as per Distribution List)

DATE: 19 July 2023

A:

THROUGH:

REFER

S/C DE:

ENCE:

FROM: Chandramouli Ramanathan, Assistant Secretary-General
DE: Controller

SUBJECT: **Managing the 2023 regular budget liquidity situation**

OBJET:

1. I am writing to apprise you of a deteriorating liquidity situation for the regular budget that requires temporary restrictions on hiring and spending to avert a disruption, by October 2023, in the payment of salaries and entitlements and other legal obligations to third parties. We hope that the situation can be avoided, and we are in constant contact with those Member States that have not yet paid their contributions in full.
2. We started 2023 with a positive cash balance of nearly \$340 million. As mentioned in paragraph 3 of my memorandum of 14 January 2023 (attached for ease of reference), Member States had also approved an increase of the working capital fund from \$150 million to \$250 million effective January 2023, in response to our repeated requests to address the persisting liquidity problems by augmenting our cash reserves.
3. In January 2023, after a careful assessment of the regular budget liquidity forecast for the year, it was decided that no hiring or spending restrictions were needed during 2023. Accordingly, the allotments for the regular budget for 2023 were released in full. However, in paragraph 5 of my memorandum of 14 January 2023 mentioned earlier, we had also indicated that the liquidity risks had not been fully eliminated and that, therefore, we would centrally monitor and manage the cash inflows and outflows and revert if necessary.
4. Unfortunately, the liquidity situation has deteriorated rapidly in the second quarter due to several factors. Increase in post adjustment effective February 2023 has added significantly to the budgetary and resulting liquidity pressure. Equally, hiring has been accelerating and the average vacancy rate has dropped not only below the approved vacancy rates for the regular budget for all categories of staff but even below what we had proposed as a realistic rate based on the approved budget methodology. You may recall that, when the General Assembly approved the programme budget for 2023, they reduced the appropriation by increasing the average vacancy rate for the Professionals and higher category from 10% to 12.4% and for the General Service and related categories from 9.2% to 10.2%. The vacancy rates have now declined below 11% and 10% for these two categories respectively.
5. Against this backdrop, more liquidity pressures are emanating from additional factors. The vacancy rate has been dropping rapidly in recent months and recruitments in the pipeline point to a further significant drop in vacancy rates. Non-post expenditure trends are not pointing to under

expenditures that can offset the liquidity pressure. Changes in mandates and events such as in Sudan are creating additional demands for resources and corresponding liquidity that were not foreseen.

6. Most importantly, our liquidity situation largely depends on Member States meeting their financial obligations on time and in full. At the end of June, \$1.52 billion of regular budget assessments remained outstanding; for context, the 2023 assessments were \$2.99 billion, and we had started the year with \$329.7 million of arrears. Based on projected cash inflows and outflows at this stage, we have a real risk that our regular budget liquidity reserves will be exhausted, and we may run the risk of even exhausting the surplus cash in Closed Tribunals which the General Assembly has authorized us to use exceptionally if needed.

7. The volume and timing of collections in September, October and November will have a critical bearing on the management of the overall liquidity situation during 2023. Additionally, the collections in December will eventually dictate not only the amount of non-post spending that we can safely commit in 2023 but also the liquidity outlook for 2024. As mentioned in my previous memoranda on the financial situation, credits to Member States in January 2024 for cancellation of 2022 commitments (which expire at the end of 2023) will further erode the liquidity for 2024.

8. Given the worsening of the liquidity situation, and in order to minimize the risk of not being able to pay salaries or settle legal obligations when payments become due for goods and services already delivered, the Secretary-General has directed the temporary suspension of hiring for positions funded from the regular budget, including for special political missions, initially through the end of September 2023, and potentially continuing the suspension until the liquidity situation eases, hopefully by November. A slow-down in non-post spending wherever feasible will also be pursued in parallel to release liquidity for paying salaries and allowances to staff and payments to other categories of personnel including those hired through third parties. These measures are aimed at mitigating any potential risk for activities funded from the regular budget in the coming months. However, you are requested to track any unintended programmatic or operational impact and, where possible, to take the necessary mitigation measures.

9. Our analysis shows that, for the regular budget for 2023, post costs are likely to exceed the appropriation for such costs for most entities at current incumbency levels, because the post adjustment has increased from February and Member States had approved a higher vacancy rate for the budget than the actual rate. Therefore, we will need to impose some 'funds blocks' in Umoja for non-post budgets to prevent spending beyond the estimated cash available. To minimize the impact of these funds blocks on the delivery of your programme of work, we will consult with you on how these funds blocks should be assigned to budget lines and funds centres. To facilitate this, I request that you kindly (a) commit funds as early as possible for all remaining non-discretionary spending such as service level agreements, rent, utilities, etc. and (b) also identify, if possible, other urgent, unavoidable spending. These actions will be critical in deciding on how much, and when, hiring restrictions can be eased and how much funds blocks are needed to ensure cash availability when payments become due.

10. While hiring restrictions are being imposed temporarily in the hope that an improvement in the liquidity situation can allow some easing of restrictions towards the end of the year, the recruitment process can continue up to prior to selection. The Inspira team has been instructed to temporarily disable the feature for completing the selection in Inspira for all positions funded from the regular budget, including those in special political missions. Requests for exceptions to

complete the selection should be addressed jointly to the Controller (controller@un.org) and the Assistant Secretary-General for Human Resources (lopez22@un.org) with copy to the Under-Secretary-General, DMSPC. OHR Policy Guidelines on the temporary suspension of hiring are being issued shortly.

11. The current hiring suspension will not apply if the selected candidate is a downsized staff. Requests for authority to exceptionally select in this specific instance should also be addressed and submitted directly to the ASG/Controller and the ASG/Human Resources with copy to the USG/DMSPC.

12. Kindly continue to use Umoja's features to track budget performance both programmatically and financially, as this will be helpful in assessing the urgency of spending and the potential programmatic impact of the liquidity constraints, already mentioned in paragraph 8 above.

13. I would like to take this opportunity to thank you and your teams for working closely with us over the last few years to collectively manage the Organization's liquidity through a difficult period and request your understanding and cooperation now during another phase of constraints, hopefully less rigorous in both volume and duration.

cc: Ms. Martha Helena Lopez
Ms. Lisa M. Buttenheim
Ms. AnneMarie van den Berg
Mr. Johannes Huisman
Ms. Maria Costa
Mr. Kelvin Ong
Ms. Neris M. Báez Garcia de Mazzora

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Ms. Natalia Gherman, Executive Director, Counter-Terrorism Committee Executive Directorate (CTED)

Mr. Christian Ritscher, Special Adviser and Head of the United Nations Investigative Team for Accountability of Da'esh/ISIL (UNITAD)

Mr. Leonardo Santos Simão, Special Representative of the Secretary-General and Head of the United Nations Office for West Africa and the Sahel (UNOWAS) and Chair of the Cameroon Nigeria Mixed Commission (CNMC)

Ms. Catriona Laing, Special Representative of the Secretary-General for Somalia, United Nations Assistance Mission in Somalia (UNSOM)

Mr. Kaha Imnadze, Special Representative of the Secretary-General for Central Asia, United Nations Regional Centre for Preventive Diplomacy for Central Asia (UNRCCA)

Ms. Joanna Wronecka, Special Coordinator for Lebanon (UNSCOL)

Mr. Abdou Abarry, Special Representative of the Secretary-General for Central Africa, United Nations Regional Office for Central Africa (UNOCA)

Mr. Abdoulaye Bathily, Special Representative of the Secretary-General for Libya, United Nations Support Mission in Libya (UNSMIL)

Mr. Carlos Ruiz Massieu, Special Representative of the Secretary-General for Columbia, United Nations Verification Mission in Colombia

Major General (retired) Michael Beary, Head of Mission and Chair of the Redeployment Coordination Committee, United Nations Mission to Support the Hudaydah Agreement (UNMHA)

Ms. María Isabel Salvador, Special Representative of the Secretary-General for Haiti, United Nations Integrated Office in Haiti (BINUH)

Mr. Volker Perthes, Special Representative of the Secretary-General for the United Nations Integrated Transition Assistance Mission in Sudan (UNITAMS)

Ms. Roza Otunbayeva, Special Representative of the Secretary-General for Afghanistan, United Nations Assistance Mission in Afghanistan (UNAMA)

Ms. Jeanine Hennis-Plasschaert, Special Representative of the Secretary-General for Iraq, United Nations Assistance Mission for Iraq (UNAMI)

United Nations  Nations Unies
INTEROFFICE MEMORANDUM MEMORANDUM INTERIEUR

TO: Heads of Departments/Offices (as per Distribution List)

DATE: 14 January 2023


A:

THROUGH:

REFER:

S/C DE:

ENCE:

FROM: 
Chandrabouli Ramanathan, Assistant Secretary-General
DE: Controller

SUBJECT: **Managing the 2023 regular budget**

OBJET:

1. The General Assembly approved a budget of \$3,403 million for 2023, including commitment authorities, on 30 December 2022. For comparison, the budget for 2022 was about \$3,287 million, including amounts approved during the year. While the budget has increased by \$116 million, Member States will be paying only \$55 million more than for 2022 mainly because of credits for about \$200 million of unspent funds from prior years.

2. I am happy to inform you that the outstanding contributions from Member States at the end of the year has continued to go down, from \$808 million in 2020, to \$434 million in 2021 and \$330 million in 2022. During 2022, we collected about 102.4% of the assessments, which explains the reduction in the outstanding dues at the end of the year. However, the final tally of the 2022 collection belies the significant shortage in collections for most of the year; the intra-year delays in collections forced us to borrow from the working capital fund in September and we could return the loan only in December. No spending restrictions were imposed despite the shortage in collections because we had started the year with a healthy cash balance and we were reasonably confident about the collections.

3. Due to the large collections in December (\$636 million), we have again ended the year with a positive cash balance, in addition to our regular budget liquidity reserves. This augurs well for budget implementation in 2023. Additionally, in June 2022, Member States approved the Secretary-General's proposal to augment the liquidity reserves, by increasing the working capital fund from \$150 million to \$250 million, effective January 2023. This will provide us a larger buffer for managing liquidity pressures in the future.

4. After a careful assessment of the liquidity risk for 2023, the Secretary-General has decided that there will be no restrictions on hiring and spending during 2023. Accordingly, the allotments for 2023 will be released in full, up to the level of the appropriation for your entity. We hope that this will allow you, like last year, to plan the spending for the entire year based on your programme of work, without any liquidity constraints.

5. Though there are no hiring and spending restrictions, we still have to monitor and manage the cash inflows and outflows centrally because liquidity risks have not been eliminated. Therefore, I would like to request, as I did last year, that you kindly commit funds as early as possible for all non-discretionary spending such as service level agreements, rent, utilities, etc. When committing funds which are to be disbursed over multiple dates, these requisitions should be created with

multiple lines showing the phased disbursement dates; this is critical for us to plan the cash needs centrally.

6. While hiring restrictions are being removed, the system restrictions in Inspira will remain for regular budget posts. You will be able to fill RB positions only if you have advised the Inspira team to unblock specific positions based on your hiring plans. We urge you to carefully consider your hiring plans and unblock only positions that you anticipate filling, perhaps one quarter at a time. This will give us better visibility to the expected cash outflows arising from planned hiring and ensure liquidity for all, even if Member States' contributions do not track as per our forecasts. The approved vacancy rate for professional and higher posts (12.4%) is higher than the actual at the end of the year (11.5%) most likely because Member States were guided by the average for the year. The increase in the approved vacancy rate (from 10% last year) reduces the budget and the liquidity buffer, necessitating a more careful monitoring of cash flows. If you are likely to exceed your appropriation for posts, you should notify us in advance so that we can issue additional allotments, if necessary; this will ensure that your non-post spending is not constrained for programme delivery when you exceed the appropriation for post costs.

7. You can request the Inspira team to unblock positions by emailing the team at inspiraRBselection@un.org. Like last year, the communication must include, in tabular form, the Umoja post number, Inspira JO (or TJO) number, title and level of the position, as well as an estimated selection date. It would be very helpful to the Inspira team if you can limit the number of communications to them by aggregating as many JOs/Posts in each communication as possible.

8. As you know, the Secretary-General has placed utmost importance on achieving greater geographical diversity and gender parity so that our workforce reflects the multiple perspectives and characteristics of the people we serve. Therefore, in the filling of vacancies, you must give paramount consideration to geographical diversity, particularly for geographical posts, and to gender parity, and also be guided by the targets in the Senior Managers' Compact.

9. The General Assembly has also approved the annual budget and made changes to the duration and schedule of the Committee for Programme and Coordination (CPC). Consistent with the management reform, there is heightened interest from Member States in, and support for, a more results-oriented budget, as evidenced by paragraphs 26 to 32 of the General Assembly resolution 77/267 (attached) approving the annual budget. This is evident from their emphasis on (i) results-orientation, (ii) improving the link between proposed resources and programme delivery, (iii) clearly defined results-based performance indicators and benchmarks, (iv) engaging and supporting programme managers, and (v) the programmatic nature of the budget. Kindly, therefore, use Umoja's functionality to track budget performance not only financially but also programmatically.

10. I would also like to draw your attention to requests that we receive for rolling over unspent funds to the next budget period. Unspent funds add to liquidity pressures in subsequent budget periods; they also erode the credibility of our budget proposals when they are not backed by compelling explanations of the programmatic impact of unspent funds. In the absence of spending restrictions, requests for roll over will not be entertained; more importantly, any outstanding legal obligations not discharged within the time limit prescribed in the financial regulations will have to be met from your budget of the following year. I request you, therefore, to ensure regular monitoring of commitments to ensure that funds are not lost due to delays in procuring goods or

services, or in completing all downstream processes for the valid discharge of the associated commitments.

11. I would like to take this opportunity to thank you and your teams for working closely with us over the last few years to collectively manage the Organization's liquidity through a difficult period, and for your ongoing support during the inter-governmental review of the budget.

cc: Ms. Martha Helena Lopez
Ms. Lisa M. Buttenheim
Ms. Annemarie van den Berg
Mr. Johannes Huisman
Mr. Kelvin Ong
Ms. Maria Costa
Ms. Neris M. Báez Garcia de Mazzora

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Major General Michael Beary, Head of Mission and Chair of the Redeployment Coordination Committee, United Nations Mission to Support the Hudaydah Agreement (UNMHA)

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- Ms. Jeanine Hennis-Plasschaert, Special Representative of the Secretary-General for Iraq, United Nations Assistance Mission for Iraq (UNAMI)



Seventy-seventh session
Agenda item 136
Review of the efficiency of the administrative and financial
functioning of the United Nations

**Resolution adopted by the General Assembly
on 30 December 2022**

[on the report of the Fifth Committee (A/77/673, para. 10)]

**77/267. Shifting the management paradigm in the United Nations: review
of changes to the budgetary cycle**

The General Assembly,

Recalling its resolution 72/266 A of 24 December 2017,

Having considered the report of the Secretary-General entitled “Shifting the management paradigm in the United Nations: review of changes to the budgetary cycle”¹ and the related report of the Advisory Committee on Administrative and Budgetary Questions,²

1. *Takes note of the report of the Secretary-General;*
2. *Endorses the conclusions and recommendations contained in the report of the Advisory Committee on Administrative and Budgetary Questions;*
3. *Recalls paragraphs 6 and 7 of its resolution 72/266 A, in which it approved the change from a biennial to an annual budget period on a trial basis, decides to lift the trial period effective from 2023, and requests the Secretary-General to continue with the submission of the programme budget according to an annual cycle;*
4. *Notes that the change from the biennial to the annual budget period on a trial basis was not cost-neutral, and also notes the lack of an activity-based costing system to account for the workload and associated costs of preparing programme budget documentation;*
5. *Recalls paragraphs 19, 28 and 38 of the report of the Advisory Committee, and requests the Secretary-General to conduct a comprehensive review on the annual cycle, including its financial, administrative and procedural impact, its impact on the*

¹ A/77/485 and A/77/485/Corr.1.

² A/77/7/Add.20.



implementation of mandates across sections of the programme budget and the workload and the associated costs, and to submit a report for consideration by the General Assembly at the main part of its eighty-third session, in 2028;

6. *Also recalls* regulation 3.2, paragraphs 4 and 5, of the Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation,³ reaffirms that the Fifth Committee is the appropriate Main Committee of the General Assembly entrusted with responsibilities for administrative and budgetary matters, and stresses the importance that the Fifth Committee make decisions on the programme budget in a timely manner;

7. *Reaffirms* that no changes to the budget methodology, established budgetary procedures and practices or the financial regulations may be implemented without prior review and approval by the General Assembly in accordance with established budgetary procedures;

8. *Recalls* paragraph 11 of the report of the Advisory Committee, and requests the Secretary-General to present any proposed changes to the Financial Regulations and Rules of the United Nations⁴ and the Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation for the consideration of the General Assembly;

9. *Also recalls* its resolution 58/250 of 23 December 2003, reaffirms that there should be no exceptions to the rule that documents must be distributed in all official languages, emphasizes the principle that all official documents must be distributed simultaneously in all official languages before they are made available on United Nations websites, and reiterates its request to the Secretary-General to ensure that documents are available in accordance with the six-week rule for their distribution simultaneously in the six official languages;

10. *Reaffirms* that parts I and II of the proposed programme budget shall be submitted through the Committee for Programme and Coordination and part III through the Advisory Committee on Administrative and Budgetary Questions for the consideration of the General Assembly;

11. *Also reaffirms* the role of the Committee for Programme and Coordination as the main subsidiary organ of the General Assembly and the Economic and Social Council for planning, programming and coordination, as well as in verifying that the programmes of activities of the Organization are implemented in line with the legislative mandates and that the full implementation of regulations and rules is ensured;

12. *Recommends* that the Committee for Programme and Coordination, in accordance with its mandate, provide recommendations on all programmes of the proposed programme budget;

13. *Recalls* that the Committee for Programme and Coordination shall consider the proposed programme plans in accordance with its terms of reference, and appreciates the continuous efforts of the Committee to reach consensus on all programmes of the proposed programme budget;

14. *Decides* to extend the length of sessions of the Committee for Programme and Coordination to five weeks, starting from the sixty-third session of the Committee;

³ ST/SGB/2018/3.

⁴ ST/SGB/2013/4 and ST/SGB/2013/4/Amend.1.

15. *Recalls* paragraph 12 of its resolution [31/93](#) of 14 December 1976, and continues to encourage Member States to be represented at a high level of expertise and to ensure the continuity of their representation in the Committee for Programme and Coordination, whose central role and overall responsibilities are recognized;

16. *Also recalls* paragraph 22 of the report of the Advisory Committee, and reiterates that the Committee for Programme and Coordination and the Advisory Committee should examine the proposed programme budget in accordance with their respective mandates and, preserving the sequential nature of the review processes, submit their conclusions and recommendations to the General Assembly for the final approval of the programme budget;

17. *Decides* that the sessions of the Committee for Programme and Coordination shall end no later than mid-June to ensure more time for substantial deliberation of the programmes and consultation with relevant United Nations bodies, starting from the sixty-fourth session of the Committee, in 2024;

18. *Requests* the Secretary-General to assess a procedure to inform the Advisory Committee of possible resource implications that may result from the recommendations of the Committee for Programme and Coordination, for the consideration of the General Assembly, to address the sequential nature of the review process under the annual cycle;

19. *Re-emphasizes* the role of the plenary and the Main Committees of the General Assembly in reviewing and taking action on the appropriate recommendations of the Committee for Programme and Coordination relevant to their work, in accordance with regulation 4.10 of the Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation;

20. *Reiterates* that whenever the Committee for Programme and Coordination cannot provide conclusions and recommendations on a given subprogramme or programme of the proposed programme budget, the plenary or the relevant Main Committee or Main Committees of the General Assembly responsible for those mandates will consider the said subprogramme or programme at the very start of its session in order to provide any conclusions and recommendations to the Fifth Committee, at the earliest opportunity, and no later than four weeks after the start of the session, for timely consideration by the Fifth Committee;

21. *Decides* that the Fifth Committee will consider the report of the Committee for Programme and Coordination at the earliest opportunity during the main part of the sessions of the General Assembly, under the agenda item entitled "Programme planning", and no later than the first week of November;

22. *Recognizes* the efforts of the President of the General Assembly and the Chair of the Fifth Committee in following up with the Chairs of the relevant Main Committees on the consideration of the programmes without recommendations from the Committee for Programme and Coordination, in accordance with paragraph 16 of its resolution [76/236](#) of 24 December 2021, and decides that incoming Presidents of the General Assembly and Chairs of the Fifth Committee shall reach out to and support the Chairs of the Main Committees to ensure that conclusions and recommendations are issued on time;

23. *Requests* the Secretary-General to ensure that all the Main Committees have access on their Committee Places of the e-deleGATE portal, for information purposes, before the start of the session, to the programmes of the proposed programme budget and the latest report of the Committee for Programme and Coordination;

24. *Decides* to extend the length of the first resumed session of the Fifth Committee to five weeks, starting from its seventy-eighth session;

25. *Notes* the increased workload on the Fifth Committee, the Committee for Programme and Coordination, the Advisory Committee on Administrative and Budgetary Questions and the Secretariat;

26. *Reiterates its request* to the Secretary-General to ensure that results and, where possible, performance measures actually reflect achievements and impacts in the implementation of the programmes of the Organization and not those of individual Member States;

27. *Recalls* paragraphs 33 and 46 of the report of the Advisory Committee, stresses that accountability is a central principle of management reform, and requests the Secretary-General to continue his efforts to ensure a strong culture of responsibility and accountability, compliance with regulations and rules, and the achievement of results;

28. *Expresses its support* for the efforts of the Secretariat to better engage and support programme managers with the aim of making the Organization more effective and results-oriented, and welcomes the commitment and ongoing efforts of the Secretariat to improve and update the programmatic aspects, including planned results, performance measures and external factors, of the programme budget;

29. *Stresses* that effective and efficient mandate delivery is the overriding factor in determining the Secretariat's resource requirements;

30. *Requests* the Secretary-General to ensure effective and efficient utilization of available resources and programme delivery by programme managers, including through clearly defined results-based performance indicators and benchmarks;

31. *Notes with appreciation* the cumulative improvements to the presentation format of the proposed programme budget resulting from the implementation of the guidance from the General Assembly during the annual budget trial period, and welcomes the submission of the proposed programme plan and programme performance alongside the proposed post and non-post resource requirements in a single document;

32. *Recalls* paragraph 45 of the report of the Advisory Committee, reaffirms the programmatic nature of the United Nations budget, and requests the Secretary-General to preserve the optimal functioning of all programmes by improving the presentation of and the link between proposed resources and programme delivery.

*56th (resumed) plenary meeting
30 December 2022*




Annex B. Communication to Heads of Departments and Offices, Regional Commissions, Offices Away from Headquarters and Field Missions




TO: Heads of Departments and Offices, Regional Commissions, DATE: 19 July 2023
 A: Offices Away from Headquarters and Field Missions
 (see Distribution List)

REFERENCE: DOS-2023-02866
 CLASSIFICATION: Unclassified

THROUGH:
 S/C DE:

FROM: Atul Khare, Under-Secretary-General 
 DE: for Operational Support

Catherine Pollard, Under-Secretary-General 
 DE: for Management Strategy, Policy and Compliance

SUBJECT: **Closure of MINUSMA and impact on head of entity responsibilities under ST/AI/2023/1 on**
 OBJET: **Downsizing or restructuring resulting in termination of appointments**

1. This communication is further to our memorandum of 7 July 2023 on the same subject (attached for ease of reference).
2. In order to increase chances of selection for all affected MINUSMA staff, and to limit the financial cost that the closure of the Mission will have on the Organization's finances, we request that:
 - a) All vacant and temporarily vacant positions subject to international recruitment be advertised immediately **no later than 15 August 2023** unless the positions are being abolished in 2023;
 - b) All position subject to international recruitment encumbered by staff members who will be reaching mandatory age of separation on or before 31 December 2023, which have not yet been advertised, be advertised immediately **no later than 15 August 2023**;
 - c) All positions subject to international recruitment encumbered by staff members who are projected to exhaust all their sick leave with full pay entitlements by 31 December 2023, and for which the Division of Health-Care Management and Occupational Safety and Health (DHMOSH) in the Department of Operational Support (DOS) has notified the Office of Human Resources that the staff members cases will be recommended for disability benefit, be advertised **by no later than 29 September 2023**. The next meeting of the United Nations Joint Staff Pension Committee (UNJSPC) will be held in November 2023, and therefore, no selections may be made until the outcome of the cases is known. If a staff member's case is not approved, the job opening will be cancelled afterwards; and
 - d) When it is necessary to classify or reclassify the positions prior to their advertisement, this should be done without delay in order to meet the deadlines under 2 a), b) and c) above.



3. We would like to remind you of your organizational responsibility in the implementation of the downsizing policy, and more specifically of your obligations to: (i) review any downsized candidates flagged for priority consideration in Inspira on a priority and non-competitive basis before any other applicant; and (ii) if suitable to select them (see paragraph 3 of memorandum dated 7 July 2023)
4. We also reiterate our request that you consider favourably applications from all staff members who are affected by the MINUSMA closure leading to either separation or termination, **regardless of whether they are flagged for priority consideration in Inspira** (see Paragraph 6 of the abovementioned memorandum dated 7 July 2023). To facilitate this, all Directors/Chiefs of Administration and Human Resources, Executive Officers, Business Partners and Chiefs of Staff, will receive a password protected list with the names and index numbers of all MINUSMA staff members.
5. Accordingly, we request that:
 - a) For Job Openings (JOs) and Temporary Job Openings (TJOs) whose advertisement periods have closed, and the case has not reached the selection stage, your entity immediately identifies if any MINUSMA staff members applied, and if so, ensure that they are reviewed within two weeks; and
 - b) For JOs and TJOs whose advertisement periods are currently open, your entity immediately reviews all MINUSMA applicants, and complete such review no later than within two weeks of the closing date.
6. Furthermore, at the SMC XI held from 24 to 29 April 2023, it was agreed that when a staff member is selected for a position through a TJO, they may be granted release and a lien to the parent post for up to two years. Such release and lien to a post would be granted at the discretion of the entity, and subject to operational needs. It was further agreed that **liens will no longer be granted for selections through JOs**, except in cases of secondment or loan to another United Nations common system organization and assignment to and return from mission detail pursuant to ST/SGB/277 and ST/AI/404. **This agreement was endorsed by the Secretary-General and is applicable with immediate effect as follows:**
 - a) Staff members selected through JOs (except in cases of selection in another United Nations common system organization and released on secondment or loan and assignment to and return from mission detail pursuant to ST/SGB/277 and ST/AI/404) will not be granted liens and the posts they vacated will be advertised within one month following their acceptance of the offer for the JOs for which they were selected if within the same duty station, or within two months if it involves a change of duty station; and
 - b) The liens of staff members who were previously selected through JOs will be honoured. However they cannot be further extended beyond their current end date (except in cases of secondment or loans to another United Nations common system organization and assignment to and return from mission detail pursuant to ST/SGB/277 and ST/AI/404). Accordingly, all such staff members shall be requested to inform their parent entities **no later than 15 August 2023** whether they wish to return to their parent entities. If they inform that they do not wish to return, their posts must be advertised **no later than 15 September 2023**. If they inform that they will return, the posts they currently encumber in the receiving entity must be advertised **no later than 15 September 2023**.

7. The current hiring suspension for positions funded from the regular budget will not be applicable if the selected candidate is a downsized staff i.e. if a suitable downsized staff is identified, the selection will be exceptionally allowed. Requests for authority to exceptionally select in this specific instance should be addressed and submitted directly to Mr. Chandramouli Ramanathan, Controller and Ms. Martha Helena Lopez, Assistant Secretary-General for Human Resources with copy to the Under-Secretary-General for Management Strategy, Policy and Compliance.
8. We count on your full support and leading by example demonstrating solidarity and humanity to the colleagues affected by the sudden and unexpected closure of the Mission.
9. Thank you for your cooperation.

cc: Lisa Buttenheim
Martha Helena Lopez
Chandramouli Ramanathan
Christophe Monier

Distribution List:

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 Ms. Annemarie Hou, Acting Executive Director, UNOP
 Mr. Kaha Imnadze, Special Representative of the Secretary-General, UNRCCA
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Ms. Maimunah Binti Mohd Sharif, Executive Director, UN-Habitat
 Mr. Mahmoud Mohieldin, Special Envoy of the Secretary-General on Financing 2030 Agenda for Sustainable Development
 Mr. Miguel Ángel Moratinos, High Representative, UNAOC
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 Mr. Knut Rosandhaug, Coordinator, UNAKRT
 Ms. Valentine Rugwabiza, Special Representative of the Secretary-General, MINUSCA
 Mr. Carlos Ruiz Massieu, Special Representative of the Secretary-General, UNVMC
 Mr. José Manuel Salazar-Xirinachs, Executive Secretary, ECLAC
 Ms. Maria Isabel Salvador, Special Representative of the Secretary-General, BINUH
 Mr. Christian Saunders, Special Coordinator, OSC-SEA
 Maj. Gen. Benjamin Olufemi Sawyerr, Acting Head of Mission and Force Commander, UNISFA
 Mr. Miguel de Serpa Soares, Under-Secretary-General, OLA
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 Mr. Colin Stewart, Special Representative of the Secretary-General, UNFICYP
 and Officer-in-Charge, OSASG-Cyprus
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 and Executive Director, UNODC
 Mr. El-Ghassim Wane, Special Representative of the Secretary-General, MINUSMA
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 Ms. Joanna Wronecka, Special Coordinator, UNSCOL
 Mr. Huang Xia, Special Envoy of the Secretary-General, OSESG-Great Lakes Region
 Ms. Caroline Ziadeh, Special Representative of the Secretary-General, UNMIK

United Nations  Nations Unies
INTEROFFICE MEMORANDUM MEMORANDUM INTERIEUR


to: Heads of Entity
A: UN Secretariat

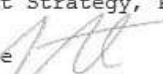
DATE: 07 July 2023

REFERENCE:

THROUGH:

S/C DE:

FOR
FROM: Catherine Pollard 
DE: Under-Secretary-General, Department for
Management Strategy, Policy and Compliance

for Atul Khare 
Under-Secretary-General, Department for
Operational Support

SUBJECT: Closure of MINUSMA and impact on head of entity

OBJET: responsibilities under ST/AI/2023/1 on Downsizing or
restructuring resulting in termination of appointments

1. On 30 June 2023, the Security Council decided to terminate MINUSMA's mandate under resolution 2640 (2022) as of 30 June 2023. Additionally, it requested MINUSMA to immediately start on 1 July 2023 the cessation of its operations, transfer of its tasks, as well as the orderly and safe drawdown and withdrawal of its personnel, with the objective of completing this process by 31 December 2023. It further decided to begin the liquidation on 1 January 2024.
2. In view of the unexpected and sudden cessation of operations in MINUSMA, the Organization is preparing for implementation of the provisions of the recently promulgated policy on Downsizing or restructuring resulting in termination of appointments ([ST/AI/2023/1 \(English\)](#) or [ST/AI/2023/1 \(French\)](#)). The purpose of this memorandum is to remind you of your new roles and responsibilities as head of entity under this policy as communicated to you in the memorandum dated 11 April 2023 from the Under-Secretary-General for DMSPC, attached for ease of reference.
3. As previously communicated, heads of entity now have shared organizational responsibility to ensure that the procedure for consideration and selection outlined in the administrative instruction on downsizing is strictly followed. More specifically, any downsized candidates flagged for priority consideration in Inspira who apply for available positions must be reviewed on a priority and non-competitive basis before any

other applicant and if suitable, they must be selected in accordance with the criteria stated in ST/AI/2023/1. Heads of entity are also reminded that failure to proceed with the selection as stated in the administrative instruction is likely to result in litigation and that any compensation that the Tribunals award as a result of lack of compliance with the procedure for consideration and selection for positions outside the downsizing entity will have to be borne by the entity who makes the decision that leads to litigation and results in the payment of damages and/or compensation.

4. Heads of entity are also reminded that when the selection of a downsized male candidate is made by an entity which is below parity, this selection will not have to be sent to the Executive Office of the Secretary-General for review under the provisions of ST/AI/2020/5 on *Temporary Special Measures for the Achievement of Gender Parity*.
5. Furthermore, when entities select downsized candidates and the selection negatively impacts their geography or gender targets in their compact, this will not be viewed negatively; and on the contrary, selection from downsized candidates, regardless of their gender or nationality, will be taken into consideration when assessing their compact for the applicable year.
6. In addition, we request that you consider favourably applications from all staff members who are affected by downsizing or restructuring leading to either separation or termination, regardless of whether they are flagged for priority consideration in Inspira.
7. In order to increase chances of selection for all affected MINUSMA staff, and to limit the financial cost that the closure of the mission will have on the Organization's finances, a special measure has also been decided to extend the posting period for all job openings (JOs) and temporary job openings (TJOs) that are currently closing between 10 July to 9 August 2023 by 30 and 15 additional days, respectively.
8. Finally, in order to support all entities to exercise their new roles and responsibilities in adherence with the policy on downsizing, the Office of Human Resources will be scheduling shortly additional dedicated policy briefings for all entities. Please ensure that staff from your Executive Office and/or local HR team attend the briefings to ensure that they are fully aware and knowledgeable about the policy requirements and are able to advise you adequately prior to any selection decision.



9. The diligent and prudent use of financial and human resources is a shared organizational responsibility so we count on your support for the implementation of the policy and we thank you for your cooperation.

Cc: Lisa Buttenheim, ASG/OSO, DOS
Marta Helena Lopez, ASG/OHR, DMSPC
Chandramouli Ramanathan, ASG/Controller, DMSPC
Christophe Monier, Director/BTAD, DMSPC

United Nations  Nations Unies
INTEROFFICE MEMORANDUM MEMORANDUM INTERIEUR

TO: Distribution list

11 April 2023

A:

REFERENCE: DMSPC-2023-01295

THROUGH:

S/C DE:

FROM: Catherine Pollard, Under-Secretary-General
DE: for Management Strategy, Policy and Compliance



SUBJECT: **Accountability resulting from compensation awarded by Tribunals in
OBJET: connection with ST/AI/2023/1 on Downsizing or restructuring resulting in
termination of appointments**

1. The purpose of this memorandum is to inform you of the important changes introduced by ST/AI/2023/1 on Downsizing or restructuring resulting in termination of appointments and to bring to your attention your new roles and responsibilities as head of entity under this policy. A copy of the administrative instruction as well as the policy guidance is attached to this memorandum for information and reference.
2. This new administrative instruction (ST/AI/2023/1), promulgated on 20 January 2023 was the result of extensive consultations with stakeholders and sets out the new framework for entities to follow when faced with downsizing or restructuring processes.
3. The new framework differs from current practice in a number of ways that have been reflected in the policy, notably:
 - a) the discontinuation of a central authority who will facilitate the possible selection of downsized staff members to available positions outside the affected entity; and
 - b) the requirement for affected staff to apply for available positions using the staff selection system.
4. In relation to these changes, it is important to note that the United Nations Dispute Tribunal and the United Nations Administrative Tribunal ("the Tribunals") have unambiguously stated that:
 - a) downsized staff members are to be reviewed on a priority and non-competitive basis before any other applicants, and that
 - b) if they meet the requirements for the position, they have to be selected in accordance with staff rules 9.6 and 13.2.
5. Consequently, there is no discretion for the Organization not to select downsized staff members who are suitable for available positions. Under the new policy, heads of entity will have shared organizational responsibility to ensure that the procedure for consideration and selection outlined in the administrative instruction is strictly

followed. From past experience, we know that failure to implement it as stated in the administrative instruction may result in litigation. When the Organization is found at fault, the Tribunals have awarded significant financial compensation over and above the normal termination indemnity due to staff members under the Staff Regulations and Rules.

6. In order to establish a clear link between accountability and decision making, it has been decided that any compensation that the Tribunals award as a result of lack of compliance with the procedure for consideration and selection for positions outside the downsizing entity will have to be borne by the entity who makes the decision that leads to litigation and results in the payment of damages and/or compensation. Termination indemnity costs associated with the abolition of post or reduction of staff will continue to be the responsibility of the downsizing entity.

7. I would also like to take this opportunity to inform you that following a 2020 Staff Management Committee agreement reached during the preparation of the administrative instruction that recognizes the sensitivity and responsibility that terminations of appointment for abolition of post or reduction of staff entail, the Secretary-General has decided that the authority to terminate staff for this reason under staff rule 9.6 (c) or staff rule 13.2¹ of ST/SGB/2023/1 cannot be subdelegated by the head of entity. Therefore, should you have taken steps to subdelegate this authority, please be sure:

- a) you make necessary changes in the portal and that,
- b) moving forward, all terminations of appointment for abolition of post or reduction of staff are personally authorized by you.

8. The Office of Human Resources will be providing policy briefings to the Management Client Board and the Management Committee to fully explain the new roles and responsibilities, including financial responsibility, of heads of entities under the new policy. Several briefing sessions have already been held since the date of promulgation of the new administrative instruction with the Chiefs of Human Resources and/or Administration in all entities as well as with the hiring managers community to alert them of the new changes. For operational guidance, queries can be sent to DOS HR Advice. Our policy team in the Office Human Resources will continue to assist providing authoritative advice as needed.

9. Thank you for your support and cooperation in the implementation of the policy.

Enclosure:

- Administrative Instruction on downsizing (ST/AI/2023/1)
- Policy Guideline, Downsizing or restructuring resulting in termination of appointments

¹ Previously under staff rule 9.6 (e) or staff rule 13.1, included in the Secretary-General's delegation of authority and additional delegation of authority in Human Resources to heads of entities.

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Ms. Regina Pawlik, Executive Secretary for the International Civil Service Commission (ICSC)
Mr. Geir Pedersen, Special Envoy of the Secretary-General for Syria (OSE Syria)
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Mr. Courtenay Rattray, Chef de Cabinet, Executive Office of the Secretary-General (EOSG)

Rear Admiral Guillermo Pablo Ríos, Head of Mission and Chief Military Observer for the United Nations Military Observer Group in India and Pakistan (UNMOGIP)

Mr. Christian Ritscher, Special Adviser to head the Investigative Team to support domestic efforts to hold ISIL (Da'esh) accountable for acts that may amount to war crimes, crimes against humanity and genocide committed in Iraq

Mr. Knut Roesandhaug, United Nations Assistance to the Khmer Rouge Trials (UNAKRT)

Ms. Valentine Rugwabiza, Special Representative of the Secretary-General for the Central African Republic and Head, United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic (MINUSCA)

Mr. Carlos Ruiz Massieu, Special Representative for Colombia and Head of the United Nations Verification Mission in Colombia (UNVMC)

Major General Aroldo Lázaro Sáenz, Head of Mission and Force Commander, United Nations Interim Force in Lebanon (UNIFIL)

Ms. Christian Saunders, Under-Secretary-General, Office of the Special Coordinator on Improving the UN Response to Sexual Exploitation and Abuse (OSC-SEA)

Major General Benjamin Olufemi Sawyerr, Acting Head of Mission and Force Commander of the United Nations Interim Security Force for Abyei (UNISFA)

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Resident Coordinators



Administrative instruction

Downsizing or restructuring resulting in termination of appointments

The Under-Secretary-General for Management Strategy, Policy and Compliance, pursuant to section 4.2 of Secretary-General's bulletin [ST/SGB/2009/4](#), and for the purpose of implementing staff regulation 9.3 (a) (i) and staff rules 9.6 (c) (i), (d) and (e) and 13.2 (c) and (d), hereby promulgates the following:

Section 1 Scope

1.1 The purpose of the present administrative instruction is to provide a framework for Secretariat entities to:

(a) Manage the anticipated termination of appointments resulting from the abolition of posts or the reduction of staff associated with the downsizing or restructuring of an entity;

(b) Manage the retention of staff members affected by such downsizing or restructuring in a position for which they are suitable.

1.2 The present administrative instruction shall apply only to those downsizing or restructuring exercises that may lead to terminations resulting from the abolition of posts or the reduction of staff.

1.3 In accordance with staff rule 9.6 (b), separation resulting from the expiration of appointment shall not be regarded as termination.

Section 2 Activation of policy: establishment of a Staff-Management Group

2.1 Following a preliminary assessment of the situation and any managerial decisions that may have been taken to minimize the impact of the downsizing or restructuring exercise on serving staff members, including, but not limited to, agreed terminations in line with staff regulation 9.3 (d), subject to availability of funds, a head of entity¹ may determine that it is likely that the appointment of some staff members will need to be terminated. In such cases, the head of entity shall formally inform all affected staff in the entity and their staff representatives that the provisions of the present administrative instruction are applicable

* Reissued for technical reasons on 15 February 2023.

¹ "Head of entity" has the meaning set forth in footnote 1 of Secretary-General's bulletin [ST/SGB/2019/2](#) (as may be superseded).



and establish a Staff-Management Group, as defined below, without undue delay. Staff representatives may also call upon the head of entity to establish the Staff-Management Group.

2.2 The Staff-Management Group shall be established with representation from both management and staff in equal numbers. Management and staff will nominate their own representatives without undue delay. The management representation will normally include one human resources specialist.

2.3 The role of the Staff-Management Group is to advise the head of entity on all aspects of retention within the entity of staff members whose appointments are affected by the downsizing or restructuring. The Staff-Management Group shall start its work without undue delay. The failure or inability of the Staff-Management Group to advise the head of entity, including because of deadlock or impasse, shall not prevent the head of entity from taking any decision within her or his authority.

2.4 The head of entity shall provide the Staff-Management Group with the information required for the proper exercise of its functions. This information will include, at a minimum, data from the staffing tables on the posts to be abolished or the staffing levels to be reduced, staff affected and available positions for retention within the entity, as well as the expected timeline for the conclusion of the exercise.

Section 3

Mitigation measures

3.1 The Staff-Management Group shall set the schedule of work in accordance with the timeline set by the head of entity for the conclusion of the downsizing or restructuring exercise and may make recommendations to the head of entity regarding the application of mitigation measures. These mitigation measures may be in addition to or in lieu of those that may have already been taken by management at the time of the assessment of the situation to create opportunities for staff members to be assigned to available positions within the entity.

3.2 Mitigation measures include, but are not limited to:

(a) Non-renewal of temporary appointments, except for those relating to essential functions that cannot be carried out by existing staff members on fixed-term, continuing or permanent appointments;

(b) Non-renewal of fixed-term appointments of staff members who have not been recruited in accordance with established procedures under staff rules 4.15 and 4.16 and who, as a result, hold an appointment with service limitation. This measure shall not be used to separate, by non-renewal, staff members who, at the time of their appointment, did not require selection through a central review body in accordance with the staff selection system in place.

3.3 The mitigation measures shall be applied, at a minimum, to the organizational unit (unit, section, service, division, etc.) within the entity affected by the downsizing and, at a maximum, to the whole entity.

3.4 The head of entity shall make final decisions on any mitigation measures recommended by the Staff-Management Group.

3.5 If the application of mitigation measures renders it unnecessary to terminate the appointment of staff members, the head of entity shall dissolve the Staff-Management Group.

Section 4

Comparative review

4.1 If the termination of appointments is anticipated as a result of downsizing or restructuring, notwithstanding the application of any mitigation measures, the Staff-

Management Group shall carry out a comparative review as set forth below. The Staff-Management Group will make recommendations on the scope of the comparative review to the head of entity, who may limit the scope based on one or more relevant criteria, including organizational units, job family, category, level or duty station in the case of locally recruited staff. All staff on fixed-term, continuing or permanent appointments who encumber posts falling within the scope decided upon by the head of entity after his or her consideration of the recommendation of the Staff-Management Group shall be included in the comparative review.

4.2 The purpose of the comparative review is to determine the order of preference in which staff members will be considered for retention based on a determination of the following:

- (a) The placement of the staff members in retention subgroups determined by the Staff-Management Group pursuant to sections 4.4 to 4.9 below;
- (b) If necessary, the ranking of the staff members within such a retention subgroup.

4.3 For purposes of such comparative review, length of continuous service shall be assessed as follows:

- (a) Service will be deemed to be continuous from the start of the initial appointment in the United Nations common system, provided that the staff member was not separated from service and reappointed after the initial appointment, as such separation breaks the continuity of service in accordance with staff rule 4.18;
- (b) Periods of special leave with pay do not break the continuity of service and count towards length of service;
- (c) Periods of special leave without pay do not break continuity of service, however, periods of special leave without pay of a duration of 30 days or more will not count towards length of service;
- (d) Periods of service in part-time employment shall be counted on a prorated basis;
- (e) Service will be counted through the date of the establishment of the Staff-Management Group.

Placement in retention groups

4.4 Placement in a retention group is determined by an assessment of three criteria: competence, integrity and continuous service. The minimum criterion for:

- (a) **Competence** is met when the staff member has received an overall rating of “successfully meets performance expectations” or higher in each of the five latest performance evaluation cycles, or in all the performance cycles if the staff member has not yet completed five years of service, prior to the date of the establishment of the Staff-Management Group;
- (b) **Integrity** is met when the staff member has had no disciplinary measure imposed under staff rule 10.2 (a) in the five years prior to the date of the establishment of the Staff-Management Group. For staff members with fewer than five years of service, all years will be considered. The review to determine whether the staff member meets the integrity requirement will be based on the date of the imposition of the disciplinary measure(s), regardless of the expiration date of any such measure;
- (c) **Continuous service** is met by all active staff members. Length of continuous service is calculated in accordance with section 4.3 above.

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4.5 Staff members shall be placed in the following groups based on the criteria set out in section 4.4:

- (a) Group 1: Staff members meet the criteria for competence, integrity and continuous service;
- (b) Group 2: Staff members meet only the criteria for integrity and continuous service;
- (c) Group 3: Staff members meet only the criteria for competence and continuous service;
- (d) Group 4: Staff members meet only the criterion for continuous service.

4.6 Within each group, staff members will be placed in a subgroup corresponding to their type of appointment, in the following order:

- (a) Permanent appointment;
- (b) Continuing appointment;
- (c) Two-year fixed-term appointment after recruitment through a competitive examination for a career appointment;
- (d) Fixed-term appointment.

4.7 The matrix below reflects the order of the retention subgroups, which determines the order of preference in which staff members will be retained.

<i>Retention group</i>	<i>Retention subgroup</i>	<i>Type of appointment</i>
1	1.1	Permanent
	1.2	Continuing
	1.3	Two-year fixed-term after recruitment through competitive examinations for a career appointment
	1.4	Fixed-term
2	2.1	Permanent
	2.2	Continuing
	2.3	Two-year fixed-term after recruitment through competitive examinations for a career appointment
	2.4	Fixed-term
3	3.1	Permanent
	3.2	Continuing
	3.3	Two-year fixed-term after recruitment through competitive examinations for a career appointment
	3.4	Fixed-term
4	4.1	Permanent
	4.2	Continuing
	4.3	Two-year fixed-term after recruitment through competitive examinations for a career appointment
	4.4	Fixed-term

Ranking within a retention subgroup

4.8 If staff members within each retention subgroup must be ranked pursuant to section 4.11, the ranking will be based on a score calculated as follows:

(a) One point for each full month covered by a performance evaluation report considered under section 4.4 (a) with an overall rating of “exceeds performance expectations”;

(b) One point for each full month of continuous service on a permanent, continuing, or fixed-term appointment.

4.9 If staff members within the same retention subgroup receive an equal number of points, the Staff-Management Group will determine the ranking for such staff members based on the following tiebreakers:

(a) Nationality: for retention against posts subject to geographical distribution, staff members who are nationals of an unrepresented or underrepresented country will be ranked higher than staff members who are nationals from countries that are within range or overrepresented. For the purposes of this provision, reference is made to the nationality of the staff member recognized by the United Nations and the representation level of the country at the organizational level;

(b) Gender: the staff members of the gender that has not reached parity² at each level within each category in the entity will be ranked higher;

(c) Mobility: for retention against posts subject to international recruitment, staff members who have more geographic movements will be ranked higher than staff members with fewer movements. For the purposes of this provision, a movement is defined as the appointment, transfer, reassignment or temporary assignment of a staff member to a different duty station for a period of one year or longer during the period of continuous service under review;

(d) In the event that more than one of the tiebreakers listed in the present section 4.9 is applicable, greater weight will be given to nationality, gender and mobility, in that order.

Conduct of the comparative review

4.10 The Staff-Management Group shall review the records of staff members falling within the scope of the comparative review to determine their placement in the retention subgroups.

4.11 If the number of staff members at a given level within a category in a retention subgroup exceeds the number of available positions at that level within the category in the downsizing entity, the Staff-Management Group shall determine the ranking of the staff members within the retention subgroup.

4.12 The Staff-Management Group will inform staff members of their placement in a retention subgroup and, if calculated, their score and rank within the subgroup. Staff members will be informed in the same notice of the deadline by which they may seek a second review of their placement in a retention subgroup or their ranking score from the Staff-Management Group. Staff members may submit additional facts and documentation for consideration as part of their request for a second review by the Staff-Management Group.

4.13 Following consideration of the additional facts and documentation submitted for second review, the Staff-Management Group shall finalize the list of staff

² In accordance with the system-wide strategy on gender parity, parity is considered to be within the margin of 47–53 per cent.

members in order of retention, based on the retention subgroups and ranking scores, if applicable, for submission to the head of entity, who will make retention decisions in accordance with section 5 below.

Section 5

Retentions, separations and terminations

Retention within the entity and separations

5.1 The executive office or local human resources office of the entity concerned, in consultation with the managers as needed, shall make recommendations to the head of entity on the retention of staff members, if applicable. Retention of staff members through reassignment to positions within the downsizing entity shall be based on the order reflected in the list submitted by the Staff-Management Group and based on an assessment of the suitability of each of such staff members for available positions in the downsizing entity.³

5.2 The suitability of an affected staff member for reassignment to available positions within the downsizing entity shall be determined by comparing the category, level and qualifications of the affected staff members with the minimum educational requirements, experience and skills, including the language requirements for such positions.

5.3 Recommendations for reassignment will be made as follows:

(a) In the first instance, by matching affected staff members with available positions for which they are found to be suitable. Staff members temporarily assigned or temporarily promoted to serve in a higher-level position shall be considered only for positions at their original level within their category;

(b) When there are equally ranked candidates on the list considered for a position, the tiebreakers will decide the order of consideration for reassignment. When none of the tiebreakers are applicable, the head of entity shall have discretion to make the reassignment decision subject to justification on how the selected candidate better meets the requirements of the position than the other candidate(s) and subject to documenting such justification;

(c) When a staff member is not found to be suitable for any of the positions at a given level in each category, a record detailing the assessment showing the lack of suitability will be kept by the entity. The next ranked staff member in the retention group or subgroup will then be reviewed for potential reassignment;

(d) When there are more staff members than positions at a given level, and upon expression of interest, the affected staff members may be considered for positions at one level lower in their category, once the staff members at positions one level lower in that category have been reassigned. If a staff member is reassigned to a position at a lower level than the position that they held before the downsizing or restructuring exercise, that staff member shall, to the extent possible, be reassigned at the step of the lower level that provides a net salary that is at least equal to the net salary received at the higher level. When that is not possible, the step of the lower level for which the net salary is the closest to the net salary received at the higher level will be assigned.

³ An available position within the downsizing entity is either any unencumbered position in the entity or any of the encumbered positions within the scope of the comparative review that can be used to retain staff members, regardless of type or length of funding of the position and provided it is classified either through a classified job description, or if a classified job description is not available, through the corresponding generic job profile.

5.4 Staff members in the General Service and related categories and National Officers in posts subject to local recruitment will be considered for reassignment only to positions within their entity at their duty station in accordance with staff rule 9.6 (f).

5.5 Staff members in the Field Service category and the Professional and higher categories or internationally recruited staff in the General Service and related categories will be considered for reassignment to positions within their entity, whether such positions are within or outside their current duty station.

5.6 The head of entity shall make decisions on the recommendations for the retention of staff and will be accountable for decisions on retention, separations and terminations.

5.7 The head of entity, through the local human resources or executive office, will inform retained staff members of the position to which they will be reassigned and send notices of non-renewal of appointment to those staff members holding a fixed-term appointment with an appointment expiration date that coincides with the date of abolition of the post or reduction of staff who cannot be retained in accordance with the provisions of section 5.6. These staff members shall be separated from service on the date specified on their letter of appointment in accordance with staff rule 9.4. The head of entity will notify the Staff-Management Group of the reassignment and non-renewal decisions and provide it with the reasons for the decisions on retention when these are inconsistent with the order reflected in the retention groups and subgroups submitted by the Staff-Management Group.

5.8 Heads of entity who have been delegated the authority to reassign staff to other entities shall reassign staff holding appointments without limitations, who cannot be retained in the downsizing entity, to available positions in other entities in accordance with the authority delegated to them. Such reassignment shall take place after the reassignments in the downsizing entity have been concluded and before consideration is given for selections outside the downsizing entity, in accordance with section 5.10 below.

Terminations

5.9 The head of entity shall, in accordance with staff regulation 9.3 (c) and staff rule 9.7, give notice of termination to staff members who were neither identified for retention in the downsizing entity nor given notice of the non-renewal of their fixed-term appointment. Staff members shall normally be permitted to serve out the notice period. If found suitable and selected for a job opening or a temporary job opening before the proposed date of termination, the termination decision shall be rescinded.

Selections outside the downsizing entity

5.10 Staff members in retention group 1 who hold appointments without limitation who were not retained in the downsizing entity or assigned to another entity pursuant to section 5.8 and were informed that their appointments would be terminated before their expiration dates pursuant to section 5.9 (“downsized staff members”) shall be considered before any other candidates when they apply for positions at their original level or one level below within their category in other entities. Staff members temporarily assigned or temporarily promoted to serve in a higher-level position shall be given such priority consideration for positions at their original level or one level below within their category only.

5.11 This priority consideration shall apply to applications for job openings, excluding generic job openings, and for temporary job openings, which are submitted:

- (a) Within one month after the date of notification of termination in the case of fixed-term appointees;

(b) Within three months after the date of notification of termination in the case of staff members holding a permanent or continuing appointment.

5.12 In addition, this priority consideration shall apply to applications for job openings, excluding generic job openings, and for temporary job openings, which are submitted before the date of notification of termination, provided that the deadline for applying for the job opening or temporary job opening has not expired by the date on which the one or three-month period of priority consideration has begun in accordance with section 5.11 above.

5.13 Upon selection for a job opening, the staff member will not be entitled to priority consideration for any other positions applied for, even if the applications were submitted during the period of priority consideration. When selected for a temporary job opening, the provisions of sections 5.21 through 5.23 apply.

5.14 If, as a result of an application submitted in accordance with sections 5.11 and 5.12, staff members are selected after separation from service, they shall be reinstated, and the intervening period between separation and reinstatement shall be charged to annual leave, and if annual leave is not available, to special leave without pay.

5.15 The hiring manager of the job opening or temporary job opening outside the downsizing entity, to which staff members have applied, shall check at the closure of the job opening or temporary job opening, whether there are any downsized staff members among the candidates. If that is the case, and the downsized candidate is pre-screened on the basis of the minimum requirements of the job opening, the hiring manager will review the applications of downsized staff members for suitability before any other candidates are considered. For both job openings and temporary job openings, the head of entity shall ensure that no selection, including roster selections, is made before determining that there are no candidates who are downsized staff members and thus eligible for priority consideration.

5.16 In considering the suitability of downsized staff members for both job openings or temporary job openings outside the downsizing entity, hiring managers may either conduct a desk review or administer a non-competitive assessment to determine solely whether the downsized staff member meets the technical requirements and competencies of the job opening or temporary job opening. If assessments are used, they will be scored on a pass or fail basis. When there is more than one downsized staff member among the list of applicants, there will be no ranking of candidates based on overall scores except as provided in section 5.18 below.

5.17 If there is only one suitable candidate who is a downsized staff member, the head of entity shall select that candidate.

5.18 If, for a position, there are two or more suitable candidates who are downsized staff members, the head of entity shall, in accordance with staff rules 9.6 and 13.2, select first any such staff member holding a permanent appointment, followed by any such staff member who has a continuing appointment, then by any such staff member who has been recruited through competitive examinations for a career appointment serving on a two-year fixed-term appointment and then by any such staff member holding a fixed-term appointment.

5.19 When there is more than one suitable candidate who is a downsized staff member with the same appointment type, the head of entity shall, in accordance with staff rule 9.6 (e), make the selection for the position with due regard being given in all cases to relative competence, integrity and length of service. When the position is subject to the principle of geographical distribution, due regard shall also be given to nationality in the case of downsized staff members with less than five years of service

and in the case of downsized staff members who have changed their nationality within the preceding five years.

5.20 Prior to considering any other candidate in accordance with the staff selection system, hiring managers are required to document in writing those requirements of the job opening or temporary job opening that, in their assessment, the candidate who is a downsized staff member failed to meet and to retain any supporting documentation that justifies their decision and substantiates their compliance with sections 5.10 through 5.19 above.

Special considerations for temporary job openings

5.21 When a downsized staff member is selected for a temporary job opening during the period of priority consideration as set out in section 5.11, the staff member will be temporarily assigned to the new position and return to the downsizing entity at the end of the assignment.

5.22 In these instances, downsized staff members selected for temporary job openings will be given priority consideration for job openings and temporary job openings outside of the downsizing entity for the entire duration of such temporary assignment.

5.23 If the staff member is not selected for a job opening or another temporary job opening during the period of temporary assignment, and the staff member's appointment continues beyond the period of the temporary assignment, the staff member's appointment will be terminated under staff rule 9.6 (e) or 13.2 at the end of the temporary assignment upon return to the parent entity. However, if the temporary assignment extends until or beyond the expiration date of the staff member's appointment that was to be terminated, the termination notice will be withdrawn. The appointment will be extended through the duration of the temporary assignment, if applicable, and upon return to the downsizing entity at the end of the temporary assignment, the staff member separated from service.

Special considerations for job openings

5.24 For positions of one year or longer, heads of entity shall proceed with selections of candidates who are downsized staff member without submitting the case through the central review bodies. Candidates who are downsized staff members who are selected for positions outside the downsizing entity will not acquire roster membership against the position for which they have been selected.

5.25 Downsized staff members who are selected for a position in the same category at a lower level than their original level at the downsizing entity shall be placed, to the extent possible, at the step of the lower level that provides a net salary that is at least equal to the net salary received at their original level. When that is not possible, the step of the lower level for which the net salary is the closest to the net salary received at their original level will be assigned.

Notification to the Staff-Management Group

5.26 The head of the downsizing entity shall inform the Staff-Management Group of the outcomes for the candidates who were considered for selection outside the entity at the end of the relevant period of priority consideration in accordance with sections 5.11 and 5.12.

5.27 The head of the downsizing entity shall dissolve the Staff-Management Group when all staff members who were considered for the comparative review have been retained, assigned, separated from service or had their appointment terminated.

ST/AI/2023/1

Section 6

Relationship of this framework with the staff selection system

No provision in this instruction should be understood to limit the ability of staff members to apply for and be selected for positions within their category at a higher level or in a different category under the staff selection system.

Section 7

Final provisions

The present administrative instruction shall enter into force on the date of its issuance.

(Signed) Catherine Pollard
Under-Secretary-General for Management Strategy,
Policy and Compliance

Policy Guideline

Downsizing or restructuring resulting in termination of appointments

OHR/PG/2023/1 – 20 January 2023

Purpose

1. This document outlines the guidance for those involved in the implementation of the administrative issuance ST/AI/2023/1 titled 'Downsizing or restructuring resulting in termination of appointments', hereinafter referred to as the 'downsizing AI'. It provides additional information that may be useful in implementing the provisions of the AI. It provides practical advice, information, step-by-step processes and explanations. It is not intended to promulgate any new rules or policies or to amend, supersede, or otherwise, in any manner, override the rules and policies of the Organization. Rules and policies can be found in the *Charter of the United Nations*, the staff regulations, rules, and duly promulgated administrative issuances of the Organization.

Principles

2. When downsizing and restructuring take place, it is important that the policy provisions be applied in a fair and consistent manner. The application of the policy should be guided by the following principles:
 - a. Minimize impact on staff by ensuring that restructuring targets are not exceeded;
 - b. Keep the number of terminations to a minimum;
 - c. Keep lines of communication open between staff, staff representatives and management; and
 - d. Provide information and career support to affected staff at all stages of the process.

Those involved in the review and decision-making process need to abide with the highest ethical and professional standards and ensure that all actions are justified and documented.

Scope

3. The downsizing AI establishes the scope of the policy. The following are examples of situations that may lead to terminations of appointments and would normally be within scope. The list is not

exhaustive but provides guidance on determining if a situation may trigger the application of the policy:

- a. Change in mandate likely to require a reduction / restructuring / relocation of posts;
 - b. Approval or submission of a budget proposal requiring a reduction / restructuring / relocation / outsourcing of posts;
 - c. Legislative amendment to a draft or approved budget to require a reduction / relocation of posts
4. On the issue of restructuring, it should be noted that some entities may undergo post-neutral restructuring exercises that entail abolition of posts in one geographical location and the creation of the same or similar posts in another location. If the abolition of posts in the original location entails terminating the appointments of any staff members in the entity (including those who are locally recruited and cannot be moved to the new location), this scenario would be within the scope of application of the administrative instruction. Another scenario that would be in scope is when there is a budget reduction that leads to abolition of posts that were created for projects of a finite duration, or when a budget cut requires abolition of posts before the expiration date of the appointments of those encumbering the posts.
 5. On the other hand, when the restructuring or reduction of staff can be achieved by other methods such as normal attrition (separations due to retirements or expiration of appointments) or reassignment of staff members within the entity, such situations would fall outside the scope of the downsizing AI. Heads of entities (HoEs) normally have the authority to reassign staff members laterally within their respective entities to suitable positions in accordance with their delegated authority when restructuring or abolition of posts take place. Note that the normal expiration of fixed-term appointments following the end of a project of finite duration would also be out of scope. For these restructuring or downsizing processes outside the downsizing policy, please refer to the resources section at the end of this document for support and advice
 6. When the restructuring involves reclassification of positions or the addition of new functions to existing positions, a reclassification exercise and the assignment of staff members to these reclassified positions may need to be conducted in accordance with the administrative instruction on the system for the classification of posts.

Preliminary assessment by the head of entity

7. As the scope of implementation of the downsizing AI is limited to downsizing or restructuring situations that may result in terminations of appointments as a result of abolition of posts or reduction of staff, it is extremely important that HoEs make a preliminary assessment of the circumstances of their specific downsizing or restructuring situations to determine whether the provisions of the

downsizing AI are applicable. Taking stock of the entity's workforce early on in the process, through a comprehensive planning that analyzes the priorities of entity and its future needs including workforce capabilities, ensures that the entity's downsizing is aligned to its business goals. The result of this analysis will better inform the preliminary assessment.

8. When an entity is required to downsize or restructure, the local human resources or executive office, in coordination and cooperation with senior management in the entity, reviews both the existing staffing table and the proposed organizational structure to identify posts (encumbered and vacant) that will be abolished, created, or reclassified and to make a preliminary assessment of the extent of the downsizing/restructuring.
9. As indicated earlier, the review of the staffing table may reveal that the downsizing/restructuring may be accomplished by the application of measures that are within the delegated authority of the HoE. These measures include but may not be limited to:
 - a. No retention of staff members beyond mandatory age of separation;
 - b. Suspension of external recruitment ¹ to potentially impacted positions and other unencumbered suitable positions, except for essential recruitment;
 - c. No extension, renewal or approval of new secondments and/or temporary assignments except in areas required to maintain operations and for functions that cannot be carried out by existing staff members;
 - d. Achievement of the required budget reduction by implementation of non-staff cost savings (i.e. cuts in travel or training costs) ; and/or
 - e. Call for volunteers for an early separation programme.
 - f. Implementation of an entity-wide freeze on recruitment processes, especially for new recruitments except for critical functions which may be deemed as essential to the downsizing process.
 - g. The HoE may take these measures to limit the impact of the downsizing on serving staff members before the formal approval or confirmation of the abolition of posts, reduction of staff, or the change or termination of existing mandates. The application of mitigation measures is particularly effective at this stage when the scope of the posts abolished is very small (for instance, when it affects staff members in the single digits) and the application of some of these measures (such as the offer of an early separation programme) combined with some other measures, allows the head of entity to retain the majority of staff without the need to go through the whole process laid out in the administrative instruction. The scope of

¹ External recruitment is the advertising and filling of positions by candidates not recognized as internal in the staff selection system. Suspension of external recruitments can be proposed by the Head of the downsizing entity for approval by the Under-Secretary-General for Management Strategy, Policy and Compliance.

mitigation measures shall always be applied, at a minimum, to the organizational unit (Unit, Section, Service, etc.) affected by the downsizing but they may also be proposed for application to the whole entity in order to maximize the number of potential retentions within the entity. Mitigation measures may be taken in anticipation of the reduction of staff, including before budget cuts or staff reductions are officially approved.

10. If, having taken these measures, there are still fewer positions available than staff members or the HoE anticipates that even with the application of these measures the extent of the downsizing is such that there will still be fewer positions available than staff members, and thus the termination of appointments may be required, the head of the downsizing entity has to establish a Staff-Management Group (SMG) in accordance with the downsizing AI. Note that HoEs are not required to implement any measures within their purview before they inform staff of the downsizing and set up the SMG. The requirement is for HoEs to assess the situation and then inform staff and staff representatives and convoke the SMG as soon as it is clear that the situation may lead to terminations.

Establishment of the Staff-Management Group

Timing and communication

11. The HoE is obliged to establish the Staff-Management Group (SMG) promptly and without undue delay. This entails calling staff representatives for a meeting to inform them of the situation that has prompted the downsizing/restructuring that may lead to terminations, asking them to nominate representatives to serve on the SMG and nominating the management representatives. Each side will nominate their respective representatives to serve on the SMG. Elected staff representatives in the entity shall put forth their nominees. Should there be no local staff representative body established in the entity, staff should reach out to their respective staff union focal points to request help with the nomination of their representatives, which may include representation from outside the duty station. Note that the administrative instruction does not prevent management or staff from nominating representatives from other entities. Both sides must put forth their nominations without undue delay.
12. While there is no prescriptive rule about the minimum number of members required to represent each side, ideally the SMG should have no less than two representatives from either side. A gender-balanced and geographically diverse representation is ideal. Representatives should also be given the necessary release time to discharge their functions to complete the exercise.
13. Given the technical nature of the work to be performed, it is advisable to have human resources representation on the SMG and management should strive to provide this representation, whenever possible. When there is no human resources representation on the SMG, management should provide a focal point for requests of human resources data as needed by the SMG.

14. Since time is of the essence, the HoE should establish the SMG ahead of the formal approval or confirmation of the abolition of posts, reduction of staff, or the change or termination of existing mandates in anticipation of the decision(s) that may be taken.
15. Staff representatives may also call on the HoE to urgently establish the Staff-Management Group if the establishment of the SMG is unnecessarily delayed. HoEs are advised to keep a record of the date when they inform staff and staff representatives formally that the provisions of the downsizing policy have been activated as well as the date of the establishment of the SMG and to keep the channels of communication open with staff and staff representatives at all times. Transparency and good flow of information are essential for a successful exercise, and open communication with staff must start from the beginning of the downsizing/restructuring process and should continue until the conclusion of the review.
16. A good communication strategy involves:
 - a. Establishing regular schedules of communication and updates;
 - b. Sharing the information of the context of the downsizing;
 - c. Sharing the applicable policy provisions and guidelines that the SMG will use prior to the review of candidates.
17. Additionally, both HoEs and members of the SMG are strongly encouraged to familiarize themselves with the lessons learnt documents or applicable guidance maintained by the Department of Operational Support and avail themselves of the operational expertise in downsizing (please refer to the section on Resources at the end of this document for a list of points of contact). Mistakes and litigation can be avoided by reviewing these materials and consulting the expertise of those familiar with this type of exercise. Lessons learnt documents can be made available to HoEs and members of the SMG upon request once members have been duly appointed.

Confidentiality and conflict of interest

18. Because the SMG is responsible for conducting the comparative review and making recommendations on a number of sensitive issues that will affect staff and involve the safeguarding of personal details of staff members, members of the SMG must demonstrate the highest standards of conduct. Before the SMG members start their work, they should be reminded of the requirement, under staff regulation 1.2 (m) and staff rule 1.2 (qp), to resolve every conflict of interest in favor of the interests Organization and maintain confidentiality in the performance of their official duties and to demonstrate the integrity, independence and impartiality required and expected of them. To this end, members of the SMG could be required to sign a statement acknowledging their awareness of their duties under the staff regulations and rules. SMG members must not disclose information shared with them in the course of the performance of their functions and must report any real or perceived conflict of interest arising from their membership in the group. If it is not possible to identify staff

and/or management representatives from the entity, note that the provisions of the downsizing AI do not preclude nomination of Secretariat staff or management representatives outside the entity.

It is essential that SMG members are free of real or perceived conflicts of interest. If at any point after the start of their work, members of the SMG find that they have to participate in the consideration of cases where a real or perceived conflict of interest may arise, for instance when they are in a familial relationship with the candidate or any other instance where they would not have or be perceived to have the required impartiality, in accordance with staff regulation 1.2 (m) they shall disclose this actual or possible conflict to the HoE, recuse themselves and refrain from reviewing that case or involving themselves in recommendations that place them in a conflict of interest.

Roles and responsibilities

19. Once the SMG has been established, the HoE will submit to the SMG, as early as possible, information on the background and context for the downsizing or restructuring (including the expected timeline for conclusion based on the expected date of formal approval or confirmation of the abolition of posts, reduction of staff or budget, or the change or termination of existing mandates). Since each downsizing situation is unique, the SMG has the flexibility to establish its own work methods and timelines, in accordance with the timeline set by the HoE for the conclusion of the downsizing or restructuring exercise. In setting its timeline, the SMG shall take into consideration the potential requirement to review its decisions pursuant to requests by staff members as set forth in Section 4.12 of the Administrative Instruction.
20. The local human resources or executive office will provide the SMG with the preliminary assessment of the staffing situation including, at a minimum, information extracted from the staffing tables on the posts to be abolished or the staffing levels to be reduced, and available positions for placements and staff affected. When necessary, the local human resources or executive office will also request the reclassification of positions under the new organizational structure.
21. The HoE shall inform the SMG of any mitigation measures that they have implemented during the preliminary assessment phase (see above).
22. The first task of the SMG is to establish its schedule, subject to the timeline set by the HoE, to consider additional or alternative mitigation measures to the measures taken by the HoE and to recommend such measures, if any, to the HoE.
23. The SMG's recommendation may include the type, scope, order, and timing of mitigation measures. The main role of the SMG is to provide recommendations to the HoE, and so as much as possible, the SMG should endeavor to work by consensus at all times. Disagreements should be documented in relaying recommendations to the HoE.
24. Concurrently, the HoE shall set up an entity-wide communication strategy as soon as the SMG is constituted to cover all stages of the downsizing exercise and to keep staff informed about developments. As part of the communication campaign, and in order to maximize chances of

placement outside the entity, all staff members shall be advised to apply, in Inspira, for vacant positions in other entities in accordance with the staff selection system. Staff members should be reminded of the fact that priority consideration for positions outside the entity, however, may only be granted for positions applied after the termination notice is given and the staff member has been identified as a “downsized candidate”. Additionally, priority consideration will also be given to applications that the downsized staff member may have submitted before the date of notification of termination, provided that the deadline for applying for the job opening or temporary job opening has not expired by the date on which the one or three-month period of priority consideration begins.

25. The HoE will also request that the Staff Counsellor and other relevant offices such as the Office of the United Nations Ombudsman and Mediation Services be available during the downsizing exercise to provide support to staff.
26. The HoE will provide the necessary human resources capacity to carry out the downsizing exercise, including the conduct of reviews, the provision of local human resources or executive office personnel to advise staff members on available options, and the provision of training and/or career support programmes to staff. This is intended to prepare staff for career opportunities within and outside the entity.

Comparative review

27. If termination of appointments is still anticipated despite the application of mitigation measures, the SMG will conduct a comparative review in accordance with the provisions of the downsizing AI. Staff members who have taken agreed termination as part of the mitigation measures will not be included in the comparative review and will be separated.
28. The conditions under which the comparative review will be carried out are set out in the downsizing AI. In order to increase transparency, it is worthwhile to emphasize the timelines, conditions and criteria to staff prior to the start of the review.
29. Performance evaluation is an integral part of the comparative review. Some staff members may not have performance evaluations for the last five years prior to the start date of the review, however. In these situations, the HoE should instruct all supervisors to ensure that any pending/overdue performance documents involving staff under their supervision are completed prior to the start of the composition of the SMG. This would ensure that staff members have all their performance documents available for review. Only performance documents finalized prior to the start of the comparative review should be considered. In the event of missing performance evaluations, staff members could be assigned to retention group 1, but would not be awarded points unless there is a performance evaluation document indicating that the performance exceeds expectations. Performance evaluations below meeting expectations should always be submitted in the form of a performance evaluation report. Information on the manner in which performance evaluation is incorporated into the comparative review should be communicated to all staff prior to the start of the review.

30. In case of appeals or litigation, the SMG is likely to be asked to provide documentation on the recommendations made on the order of retention, so it is important that all decisions taken on the ranking of candidates are properly documented and aligned with the criteria previously communicated to staff and the policy provisions.
31. To ensure transparency in the comparative review process and to facilitate the review, the SMG may request staff members to provide additional or a full list of required information at the outset of the review. A template for this purpose is provided in Annex I. The use of this form is at the discretion of the SMG. The template is only provided for guidance and may be altered or not used at all.
32. In the case of transferred staff members under *the Inter-Organization Agreement concerning Transfer, Secondment or Loan of Staff among the Organizations applying the UN Common System of Salaries and Allowances* the SMG, the human resources office of the downsizing entity may also need to reach out to the organization where the staff member served previously to confirm some of the information of the staff member. This may include, but will not be limited to, confirmation on performance ratings, absence of disciplinary measures or continuity of service.
33. Staff members on special leave, including special leave without pay, are considered to be in active service so if they are affected by the downsizing or restructuring, they will be reviewed alongside other staff members at the time of the comparative review.
34. At the conclusion of the review, the SMG will inform staff members of their placement in a retention subgroup, and if applicable, their rank and score within the retention subgroup. When informing staff of their placement, the SMG must indicate the deadline by which staff members may seek a second review, if necessary. Staff members should be advised, by the SMG, to submit any supporting documentation they may deem necessary to substantiate their request for a second review to the SMG.
35. The SMG will make the final determination of the placement in the retention subgroup and ranking score, if applicable, and submit it to the HoE.

Retention by reassignment to positions within the downsizing entities

36. The local human resources or executive office, in consultation with the managers, as needed, will make recommendations to the HoE on the reassignment of staff members to positions in the downsizing entity. The recommendation will be based on the order of retention determined by the SMG and the determination of suitability of staff members to positions within the downsizing entity, after consideration of the staff member's complete PHP. If a staff member is not found to be suitable for any available positions at a given category and level, the staff member with the next highest score in the retention group will be considered. If a staff member is deemed to be not suitable for a position, a record should be kept detailing that assessment in terms of that staff member's profile in the PHP against the requirements of the position. Note that the downsizing policy allows for reassignment of candidates on positions in their category at one level below their original level only once it has been

determined that there are no positions for which they are suitable at their original category and level and after the affected staff member has expressed an interest in being reassigned to a position one level below their original level. For reassignments within the entity, there is no need to have roster membership in the category at the lower level in order to be considered for positions at the lower level.

37. The local human resources or executive office may take into consideration the staff member's preference and interest as well as organizational priorities in making reassignment recommendations to the HoE. In the interest of business continuity, HoEs should attempt, when possible, to reassign staff members to positions in the same organizational unit (Division, Section, Unit) where they were working prior to the downsizing exercise provided that they continue to meet the educational, experience, skills and language requirements of the position.
38. The HoE, through the local or human resources or executive office, shall inform retained staff members of the positions to which they have been reassigned and will also inform the SMG of the staff members who have been retained in the entity. All other staff will be given termination notices or given notice that their appointments would not be extended beyond the expected expiration of appointment if the separation date coincides with their appointment expiration date².
39. In the event that a retained staff member separates from the downsizing entity after being reassigned to a position in the downsizing entity, the position vacated by the separating staff member may be used to reassign a candidate who was proposed for termination or separation in accordance with the ranking order of the comparative review, and provided the candidate is suitable for the position and the staff member is still an active staff member.

Selections outside the downsizing entity

40. Staff members in retention group 1 who hold appointments without limitation who are given notice of termination ("downsized staff members"), will also be informed that, for a period of time from the date of their termination notice, they will be considered on a priority basis before any other candidates when they apply for job openings³ and temporary job openings at their category and level, or one level below, in other entities. Priority consideration will not be given when candidates apply for positions at a higher level within the same category or at any level across categories. Neither will priority consideration be given to those who separated upon appointment expiration.
41. This policy gives a one-month window for priority consideration for staff members with fixed-term appointments and a three-month period for staff members with permanent or continuing appointments, unless the downsized staff member is selected during this time for a temporary

² As of the date of publication of this document, entities are reminded that there is no sub delegation for terminations of appointment under Staff Rule 9.6 (c) below the head of entity.

³ A job opening will be any vacancy announcement published to fill positions that are immediately available for a period of one year or longer. This excludes generic job openings whose purpose is to create roster membership and are not published to fill immediate vacancies. No priority consideration will be given to applications to generic job openings.

assignment, in which case the priority consideration will extend throughout the period of the temporary assignment. At the time of the release on temporary assignment, the downsizing entity will be responsible for adjusting the original termination notice as applicable. The downsizing entity will also ensure that any extensions of fixed-term appointment that need to be processed do not exceed the end date of the temporary assignment. Downsized staff members will be reminded in their termination letter of the requirement to apply for positions if they want to be considered on a priority basis and of the period of time during which they will be considered on a priority basis. The following procedures will be used for consideration of these staff members for available positions outside the affected entity:

- a. Upon receipt of the written notice of termination of appointment, the downsizing indicator will be enabled in Inspira. The downsizing indicator will be made visible via Inspira to hiring managers and recruiters for staff members' job applications to new job openings or temporary job openings that are still open between the date of the written notice of termination and one or three months from that date, depending on the staff member's appointment type. Additionally, the flag will also appear on applications that the downsized staff member may have submitted before the date of notification of termination, provided that the deadline for applying for the job opening or temporary job opening has not expired by the date on which the one or three-month period of priority consideration begins.
- b. The activation of the downsizing indicator will denote that the downsized staff members fall in the retention group 1 for possible selection outside the entity and must be given preferential consideration for job openings and temporary job openings. This means that hiring managers must first review all applicants for whom the downsizing indicator has been activated. Only if there are no suitable downsized staff members for a given job opening or temporary job opening can other applicants be considered.
- c. The suitability of downsized staff members who have applied to job openings or temporary job openings outside the downsizing entity has to be determined and documented. Hiring managers may either conduct desk reviews or non-competitive assessments to determine whether downsized staff members are suitable for the job opening or temporary job opening. Note that if hiring managers decide to use assessments, they must first establish evaluation criteria required to determine what constitutes a pass or fail result. Any downsized staff member that passes the assessment will be deemed suitable.
- d. If only one downsized staff member is deemed suitable, HoEs shall select this applicant.
- e. If there are two or more suitable downsized staff members, then the head of entity shall, in accordance with staff rule 9.6 and 13.2, select first any such staff member holding a permanent appointment, followed by such staff member who has a continuing appointment, then by such staff member who has been recruited through competitive examinations for a career appointment serving on a two-year fixed-term appointment and then to such staff member holding a fixed term appointment.
When there is more than one suitable downsized staff member with the same appointment type, the head of entity shall, in accordance with staff rule 9.6 (e), make the selection for the

position with due regard being given in all cases to relative competence, integrity and length of service. When the position is subject to the principle of geographical distribution, due regard shall also be given to nationality in the case of downsized staff members with less than five years of service and in the case of downsized staff members who have changed their nationality within the preceding five years. HoEs must show how these criteria have been used to make the final selection decision in the documentation of the review but note that there is no requirement that relative competence between the suitable downsized staff members with the same appointment be determined in the same manner as it was for the purposes of comparative review.

- f. When a downsized staff member is selected for a job opening, the downsizing indicator will be removed from the remaining applications submitted by that staff member and the termination notice will be rescinded by the head of the downsizing entity.
 - g. If the downsized staff member is selected for a temporary job opening, the downsized staff member will be released to the entity that issued the temporary job opening. If the staff member is not selected for a job opening or another temporary job opening during the period of temporary assignment, and the staff member's appointment continues beyond the period of the temporary assignment, the staff member's appointment will be terminated under staff rule 9.6 (e) or 13.2 at the end of the temporary assignment upon return to the parent entity. However, if the temporary assignment extends until or beyond the expiration date of the staff member's appointment, which was to be terminated, the termination notice will be withdrawn. The appointment will be extended through the duration of the temporary assignment, if applicable, and upon return to the downsizing entity at the end of the temporary assignment, the staff member will be issued a notice of non-renewal and be separated from service.
 - h. Downsized staff members selected for temporary job openings will be given priority consideration for the entire duration of their temporary assignment.
42. If there are no suitable downsized staff members for a job opening or temporary job opening, the hiring manager will review the rest of the applicants. Note that no roster selection may be made in the case of job openings before it is ascertained that there are no downsized staff members eligible for priority consideration.

In addition, hiring managers will be required to explain the reasons why any downsized staff members who applied to the job opening or temporary job opening do not meet the requirements of the position. Since HoEs are ultimately accountable for all selection decisions, hiring managers must include details on the review process of downsized staff members in the transmittal memo to the HoE.

Once the HoE acknowledges the proposed course of action/selection decision, all downsized staff members will be notified of the outcome. If a HoE selects a downsized staff member for a job opening, the selection can be made without reference to a central review body, regardless of the roster status of the candidate. Job openings and temporary job openings will be closed whenever a downsized staff member is selected. Upon selection for a job opening, the downsizing indicator will be removed in

Inspira from any applications that the staff member may have submitted during the period of priority consideration. Note also that downsized staff members who are selected for positions outside the entity will not acquire roster membership against the position they have been selected for by virtue of their selection outside the entity.

Conclusion of the downsizing exercise

43. Downsized staff members who have not been retained in the downsizing entity or selected for any positions outside the entity will be terminated at the end of their notice period. The HoE of the downsizing entity will inform the SMG of the number of downsized staff members that have found new appointments under the provisions for retention outside the entity under the downsizing AI at the end of the notice period given on the termination letters of staff members who could not be retained in the entity.
44. When the HoE has informed the SMG that all affected staff members in the downsizing entity have either been retained, separated from service or had their appointment terminated, the SMG will provide a written report on lessons learned to the HoE and to the Under-Secretaries-General of the Department of Management Strategy, Policy and Compliance and the Department of Operational Support. The HoE shall then dissolve the SMG. The compendium of lessons learnt from prior exercises will be maintained by the Department of Operational Support and will be available to any members of future SMGs.

Resources

45. The Department of Operational Support offers the following services:
 - a. The Division of Special Activities (DSA) in the Department of Operational support oversees a range of specialized or cross-cutting operational capacities. The Client Support and Special Situations Section (CSSSS) in the Division supports special situation operational requirements, including transitions, restructurings and liquidation and can be approached for operational support and guidance in downsizing situations as well as for a copy of lessons learnt from prior downsizing exercises.
 - b. The Human Resources Services Division (HRSD) serves as the initial contact point for entities for operational support and advises on all areas of human resources management. Entities may request advice and support from HRSD via e-mail at DOS-HR-Advice@un.org.



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46. The Department of Management Strategy, Policy and Compliance provides policy leadership in all management areas as follows:
- a. The Global Strategy and Policy Division within the Office of Human Resources can be approached by HRSD for authoritative policy guidance and interpretation on any HR topic.
 - b. DMSPC is also responsible for monitoring, evaluation and accountability mechanisms to oversee the exercise of increased delegated authorities. The Business Transformation and Accountability Division (BTAD) can be approached for questions related to accountability.
47. The Ombudsman's Office provides a wide array of conflict resolution and mediation services that can be used to preempt the escalation of issues to the formal appeals mechanisms. HoEs are ultimately accountable for the outcome of the downsizing process, and issues and concerns should be brought to the attention of the HoE in the first instance.
48. Below are a number of related policy provisions that those involved with downsizing processes should familiarize themselves with:
- a. ST/SGB/2023/1/ on Staff Regulations and Staff Rules, including provisional Staff Rules, of the United Nations
 - b. ST/SGB/2019/2 on Delegation of authority on the administration of the staff and financial regulations and rules
 - c. ST/AI/2023/1 on Downsizing or restructuring resulting in termination of appointments
 - d. ST/AI/2010/4/Rev. 2. on Administration of temporary appointments
 - e. ST/AI/2010/3/Rev. 2 on Staff Selection System
 - f. ST/AI/1998/9 on System of Classification of Posts