

# **REPORT ON AUTONOMOUS RESEARCH INSTITUTES OF THE UNITED NATIONS**

*Prepared by*

*Norman Williams*

**Joint Inspection Unit**



**Geneva**  
**1987**



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LIST OF ACRONYMS AND ABBREVIATIONS

ACC:	Administrative Committee on Coordination
APDC:	Asian and Pacific Development Centre
CELADE:	Latin American Demographic Centre
CEDEM:	Cuban Demographic Centre
COPA:	Cross-Organizational Programme Analysis
CSDHA:	Centre for Social Development and Humanitarian Affairs
ICAP:	Central American Institute for Public Administration
IDEP:	African Institute for Economic Development and Planning
ILPES:	Latin American Institute for Economic and Social Planning
INSTRAW:	International Research and Training Institute for the Advancement of Women
UNIDIR:	United Nations Institute for Disarmament Research
UNITAR:	United Nations Institute for Training and Research
UNRISD:	United Nations Research Institute for Social Development
UNSDRI:	United Nations Social Defence Research Institute

## I. RECOMMENDATIONS\*

1. Although this report concentrates on the funding, budgeting and administration of the autonomous research institutes it also gives some specifics on other matters without providing an in-depth analysis of each of these, e.g. on the lack of agreement on the defined role of an autonomous research institute. The absence of uniform constitutionality among these institutes would seem to argue that the legal office of the United Nations should develop some type of standardized format for the institutes to assist in harmonizing their terms of reference, their juridical status, their relations with United Nations bodies, their funding requirements, their financial directives, and their legislative responsibilities.

2. Concentration on funding, the essential element of the report, manifests the need for better financial management of these institutes through the creation of Reserve Funds equivalent to approximately 2.5 years of expenditure. These funds would serve as a cushion against irregular contribution patterns by donors especially in this period where expanded resource needs are coupled with an apparent malaise among contributors often termed "donor fatigue".

3. Several institutes are facing serious financial difficulties, in particular UNITAR, UNIDIR and IDEP. For UNITAR a basic and realistic approach must be designed to enable it to overcome its difficulties. UNIDIR, should be absorbed within the operational capability of the Department for Disarmament Affairs because of the similarities in the work undertaken and the close relationship it maintains with this Department. Contributions to IDEP were received this year covering 50 per cent of its expenditures, and if the necessary financial measures suggested to member states can be implemented this institution should have no further difficulties. On the other hand, if these practical approaches cannot be implemented, then the United Nations may have to redeploy and assign the functions of this institute to the pertinent Secretariat Units, if this is possible, or alternatively, resolve its dissolution in another manner.

### Recommendation No. 1 - Need for financial stability

The institutes which have not yet done so should be requested to take immediate steps to set up a reserve fund equivalent to at least 2.5 years of expenditures in order to create a cushion against irregular funding patterns.

### Recommendation No. 2

As a general rule autonomous research institutes should be funded through voluntary contributions; however the regional institutes should be funded through regular assessed contributions of member governments. Except for the regional institutions, the United Nations pledging conferences should become the central funding mechanism for autonomous research institutions. UNDP funding should be limited to specific research and training projects and should be time-limited in nature. Support from the UN regular budget, where it exists, should be reconsidered and allowed only in exceptional cases for limited periods.

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\* As an experiment, the Inspector has placed his recommendations at the beginning of the Report to accommodate busy delegates, particularly those from small delegations who often lack time to read JIU Reports in their entirety.

Recommendation No. 3 - Income generating activities

Institutes which have not already done so should consider the possibility of offering income-generating activities to their users in order to strengthen their financial viability. These activities could comprise:

- advisory or consultancy services on a fee basis
- studies, training courses or other tasks undertaken on behalf of United Nations agencies or multi-bi trust fund agencies under United Nations system auspices.

Recommendation No. 4 - UNITAR

In order to alleviate UNITAR's long standing financial difficulties and in addition to the measures decided by the General Assembly in Resolution 41/172, the Secretary-General and the Director of the Institute should reconsider pursuing the practical approach envisaged in JIU/REP/79/18, paragraph 62 (d). This approach advocates, as an exceptional measure, that the United Nations University should cede a portion of its Endowment Fund, corresponding to the amount required to cover UNITAR expenditures for a period of three years. This amount would allow UNITAR to create a working reserve fund to cushion against irregular voluntary contributions.

Recommendation No. 5

It should be proposed to the UNDP Governing Council to have Member States of the African Region pay their assessed contributions to IDEP from their IPF's. If this should be approved and implemented the continuity of the Institute would be assured.

Recommendation No. 6

Because of its continued financial difficulties and the consequent impairment of its role and its capability to produce more and better results, UNIDIR should cease to operate as an autonomous research institute and its functions should be given to the Department for Disarmament Affairs.

## II. GENERAL OBSERVATIONS

4. In response to a suggestion from the Office of the Under-Secretary-General for Administration and Finance of the United Nations to examine the arrangements for autonomous research institutes vis-à-vis the United Nations, the present study proposes to take an independent look primarily into the administration and finances of these organizations. The suggestion to study this topic came at a time of considerable institutional "malaise" concerning the status, functions and viability of some United Nations autonomous research and training institutes, in particular, the financial difficulties confronting some institutions and the fact that the very continuation of one or more of these was in jeopardy. The report should be read in the context of the need for the United Nations to continue playing its role, as mandated by the Charter, to administer prudently the finances contributed by Member States and to perform its duties in the most economical and efficient manner.

5. The Inspector felt that the present times of financial stringency and institutional uncertainty were particularly appropriate for a study which might reach some conclusions on the financial and administrative viability of such institutions and make some recommendations aimed at increasing their cost-effectiveness. This exercise should also be seen against the background of the deepening of the United Nations financial crisis which has led the Secretary-General to adopt far-reaching measures affecting the overall functioning of the Organization. Given these circumstances the Inspector decided to issue this study as a contribution for the consideration of the Secretary-General in his pursuit of solutions to the United Nations financial problems.

6. The sequence followed in this presentation gives a brief insight as to the creation of the autonomous research institutes, a brief outline as to their mandates and other particulars related to their functions, outputs and other specific features such as the coordination and cooperation that exists between some of the institutes and the United Nations. The thrust of the report which relates to the budgeting, the finances, and the cash reserves is contained in the main body of the report and supported by the Annex.

7. It was considered by the Inspector that a detailed in-depth review of each institute would be subject matter for a separate report at a later date, if so wished by Member States. For the present, this report covers the following autonomous institutions: UNITAR, UNSDRI, UNRISD, UNIDIR, INSTRAW, CELADE, ILPES and IDEP. The total budget of these represented an annual amount of more than US\$ 16 million in 1986. These institutes all have formal links either with the United Nations itself and/or with a Regional Economic Commission. The Asian and Pacific Development Centre (APDC) is not covered by the study since it has now become an intergovernmental organization in its own right and no longer has any formal reporting obligations to the United Nations (or ESCAP), although it still receives some UNDP funding.

8. The study does not cover the research and training institutes of the specialized agencies, nor the United Nations University, which was the subject of an earlier JIU report (JIU/REP/81/12), and its network of affiliated

institutes. Some of the points made in the report may however be relevant, mutatis mutandis to the situation of these institutions.

9. Previous JIU reports on some of the institutions covered made some interesting observations, which are still pertinent today; of these we mention JIU/REP/79/3 on the Latin American Institute for Economic and Social Planning (ILPES); JIU/REP/79/13 on the African Training and Research Centre in Administration for Development (CAFRAD); JIU/REP/79/18 on the United Nations Institute for Training and Research (UNITAR) and JIU/REP/80/10 on Assistance by the United Nations System to Regional Inter-Country Technical Cooperation Institutions.

10. The report on ILPES stressed the importance and the potential of its contribution to the Buenos Aires Plan of Action on technical cooperation among developing countries, and the willingness of the countries in the region to reinforce the resources of the institution in providing the services needed to implement the plan and other related activities in the region. JIU/REP/79/18 on UNITAR dedicated a full chapter to its funding problems. Paragraph 62 of that report stated: "Funding is obviously one of the principal problems of UNITAR. At present it is difficult to plan programmes and activities because of the uncertainty of the voluntary contributions. Undoubtedly, UNITAR, could be a more effective and efficient institution if this problem could be solved". The report further stated "If some type of formal arrangements could be made with the United Nations University in Tokyo, this would ease the problem somewhat". The Inspector's statement at that time still has validity today. JIU/REP/79/13 and JIU/REP/80/10 describe in detail the need to establish linkages between these autonomous institutions, the Regional Commission and donor agencies, for the basic purpose of guaranteeing their continuity; therefore in the final analysis, the fundamental problem of these institutions has been, and continues to be, their ability to overcome their funding problems.

11. In the course of the preparation of this study the Inspector visited several Institutes (UNITAR, UNRISD, UNSDRI, UNIDIR, etc.) and held meetings with many concerned United Nations officials both at Headquarters and in Geneva. In this connection he wishes to record his gratitude for the assistance received.

### III. DESCRIPTION

#### A. Origins

12. The first autonomous research institutions to be authorized by the United Nations General Assembly were the two institutions in Latin America, the Latin American Demographic Centre (CELADE) in 1958 and the Latin American Institute for Economic and Social Planning (ILPES) in 1962. Both were conceived as part of the Economic Commission for Latin America now (ECLAC) system and they still maintain close relationship with the Regional Economic Commission. The African Institute for Economic Development and Planning (IDEP), which is comparable to ILPES, was established in 1962. As for the situation in the Asian region, the Asian and Pacific Development Centre (APDC) came into being in 1980 when the following regional training and research institutions were merged: the Asian and Pacific Development Institute, the Asian and Pacific Development Administration Centre, and the Asian and Pacific Centre for Women and Development. Nevertheless the APDC is now a separate intergovernmental body, which does not form part of the United Nations system, notwithstanding the fact that it submits an annual report to the Regional Economic Commission and the Executive Secretary participates in the meeting of its General Council. For the reasons mentioned above, the Asian and Pacific Development Centre is not covered in this report.

13. The other United Nations autonomous institutes are geared more toward serving the international community as a whole. The coming into being of these institutes ranges from the early sixties to the early eighties, (UNRISD, 1963; UNITAR, 1965; UNSDRI, 1968 and UNIDIR, 1980; INSTRAW was established in 1974 but became fully operational only in 1982).

14. Table I summarizes the essential information on the mandates, functions and organization of the institutions covered by this study

15. Some institutions have been engendered by the splintering of existing United Nations Departments. This is the case of UNRISD and UNSDRI, which are out-crops of, and whose activities are in general closely linked with those of the United Nations Department of International Economic and Social Affairs, the Crime Prevention and Criminal Justice Branch of the Centre for Social Development and Humanitarian Affairs (CSDHA). UNITAR, INSTRAW, UNIDIR and the regional institutions cannot be linked to any pre-existing unit.

16. The reasons given for setting up an autonomous research institution outside the Secretariat may be several such as the possibility of conducting more independent research or of tackling more sensitive or controversial topics than would otherwise have been possible under the Secretariat's umbrella; the availability of voluntary contributions tied to the setting up of an institute for specific research; the interests of the prospective host country of the institute, especially in cases where the host country is willing to be the major contributor.

17. At this point we do not wish to comment on the rationale of setting up autonomous institutions outside the main Departments but would simply point out here that research is being conducted in numerous United Nations Departments - e.g. UNDTCD, DIESA, UNCTAD, etc. - where the need for an independent autonomous research structure does not seem to have been felt and whose functioning is within the general framework of the respective departments. We would also like to refer the reader to the recent cross-organizational programme analysis entitled: "Economic and social

research and policy analysis in the United Nations system" (document E/AC.51/1986/7) which was submitted to the 26th Session of CPC. This study stresses the fact that research is carried out by a large number of secretariat units and research institutes in response to a wide variety of mandates throughout the system, but particularly in the United Nations itself. According to the study the nature, function and role of research need to be better defined. In its report to the General Assembly (see document A.41/29 Chapter III) the Group of High Level Intergovernmental Experts (Group of 18) made similar comments, related specifically to the United Nations, on the lack of coordination, risks of duplication in the Secretariat offices and units responsible for research and analysis in social and economic matters and called for increased responsiveness "to the changing realities at the global and regional levels".

18. Concerning the quantum of research outputs, the above-mentioned study also aptly points out that "the total number of documents produced during a biennium, which reflects roughly the number of mandates and requests for reports, is extremely large and could be estimated only very approximately. There is no central depository of research outputs or a central bibliographic system, and a multitude of catalogues, reports and lists of documents needed to be scanned. A conservative estimate is that, for the system as a whole, around 2,500 documents with economic and social content are produced during a biennium" (Paragraph 38 of the cited document).

#### B. Mandates

19. All institutes - with the notable exception of UNRISD - were set up following a decision by an intergovernmental body: the General Assembly and ECOSOC in the case of the global institutes, the Regional Economic Commissions in the case of the regional institutes. UNRISD, which was the first global institute to be established, came into being through a Secretary-General's bulletin (ST/SGB) only. Although a background document had been submitted to an earlier session of the General Assembly, there was never a decision taken by the General Assembly on the creation of this institution.

20. The terms of reference, statutes, or description of mandates of the institutions are either included in the resolutions of the intergovernmental bodies which set them up or simply in the ST/SGB (UNRISD, UNSDRI). UNITAR, which is a "United Nations agency" rather than an autonomous institute, was set up following a General Assembly resolution and its Statute is consigned in a separate document. UNITAR's status is somewhat different from the other autonomous institutions as it is the only Institute which has full membership in the Administrative Committee on Coordination (ACC).

21. By and large the mandates of these institutes have not undergone much change over the years except for APDC which is now no longer part of the system and UNIDIR which was first set up within the framework of UNITAR but became independent in 1984. Some of the mandates appear vaguely worded especially those of UNSDRI, although this vagueness is not considered an impediment in the implementation of their work programme. The Inspector does however believe that there might be some advantage in undertaking a review of the terms of reference of the Institutes with a view to their possible harmonization. (See also paragraph 23 below).

TABLE I. UN AUTONOMOUS RESEARCH INSTITUTIONS - VITAL DATA

Inst. tute	Date Established	Mandate (CA Res.)	Main Functions	Type of Activities	Board reports to	Budget	Sources of Funding	Staffing
UNITAR	1965	CA Res. 1974 (XVIII)	Enhance the effectiveness of the UN in achieving the major purposes of the organization - peace and security, socio-economic development.	Training for diplomats and government officials, for officials and experts of the UN system. Research on peace, socio-economic development issues and on the adequacy of UN system to meet its objectives.	Board of Trustees adopts work programme and budget, meets annually and reports to the General Assembly.	UNITAR has two types of resources: a) General Fund resources which reached a peak of approximately 3 million US\$ in 1983; because of financial crisis have now dropped to approximately 1.6 million. b) Special Purpose grants which have not been affected by the crisis (US\$ 2.4 million in 1986).	Voluntary contributions. Because of the financial crisis the UN made a one-time grant of US\$ 1.5 million in 1984 to balance the UNITAR General Fund budget in 1985 and 1986.	The staff of the Institute funded through the General Fund stood at approximately 40 (14 professionals) in 1984. Reduced to about 20 (6 professionals) at the end of 1986.
UNRISD	1963	Doc. A/5391 and ST/SCE/126	To conduct research into problems and policies of social development and relationships with economic development.	Carries out studies which are important for work of UN Secretariat, regional institutes and national institutes. Work coordinated also with specialized agencies.	Board meets yearly approves work programme and budget and reports to the Commission for Social Development. Members are nominated by CSD and confirmed by ECOSOC.	Expenditures of 1.3 million US\$ in 1985.	Voluntary contributions. (UN provides rent-free premises, house-keeping and reproduction services, office equipment etc.).	Approximately 16 in 1985. (8 professionals) Slight increase foreseen in 1986.
UNSDRI	1968	ECOSOC Res. 1086 B and ST/SCE/134	To encourage, coordinate and conduct research on adult criminality and juvenile delinquency.	Various research projects and studies plus information, documentation and library services.	The work programme and activities of the Institute are monitored by the Adhoc Advisory Group on UNSDRI work programme and directions and by the Centre for Social Development and Humanitarian Affairs. There is no proper Gov. Body.	Annual expenditures about US\$ 550,000.	UN Trust Fund for Social Defense funded by voluntary contributions. Premises and office equipment are offered by Host Government. Trust Fund now contains a financial reserve which could cover two years of UNSDRI activities.	In 1985: 7 professionals 2 consultants 6 GS

Institute	Date Established	Mandate (GA Res.)	Main Functions	Type of Activities	Board reports to	Budget	Sources of Funding	Staffing
UNIDIR	1980 1984	GA Res. 34/ 83 M (Within the framework of UNITAR)  GA Res. 39/ 148 H (independent)	To undertake independent research on disarmament and related problems by: - providing more diversified and complete data on international security, armaments. - promoting participation in disarmament efforts, etc.	- Research (publications) aimed at "all those who have responsibility in the disarmament field"; (diplomats, journalists, students) - Conferences and seminars in cooperation with other institutions - small fellowship programme.	Institute works in close relationship with the Department for Disarmament Affairs. The SGs Advisory Board on Disarmament Studies functions as Board of Trustees to the Institute Annual report to the GA.	Expenditure in 1985: About US\$ 420,500.	Voluntary contributions A subvention (US\$ 140,000 in 1985) "may" be provided from the UN RB - must not exceed 1/2 of the assured income of the Institute. Subvention is used to cover staff costs.	2Ds (Director D-2 and Deputy D-1) 2GS and about 6 staff-years of consultants services in 1985. Also various outside research contracts.
INSTRAW	1976 1985	ECOSOC Res. 1998 (IX) GA Res. 5920 (XXX) GA Res. 39/249.	To stimulate and assist through research, training, collection and dissemination of information the advancement of women and their integration in development process. Institute operates through networking with organizations of UN system, and outside, including NGOs.	- Research studies - preparation of training modules, fellowships. Activities are described in a well-structured Programme Budget and Medium Term Plan.	Board of Trustees reports to ECOSOC.	The Budget for 1984-1985 was US\$2.9 million.  Allotments for the INSTRAW Trust Fund are managed by OFS in New York.	Voluntary contributions from Governments. Financing is also being sought from non-governmental sources.	9 professionals and some 15 local support staff in 1985.
AEDC	1980	ESCAP Res. 206 (XXXVI) and 191 (XXXV).	This Centre is an intergovernmental institution (since July 1983) 18 member nations have signed the Charter of AEDC. The interim statute (1980-1983) gave a role to ESCAP in monitoring the setting up of the Institute. But since 1983 AEDC is totally independent (the staff is not UN staff).	- Research - Training	General Council composed of all members. Management Board, elected by Council. No formal reporting requirements to ESCAP.	Assessed contributions of members, voluntary contributions from Governments not members of the Centre. UNDP contributed US\$ 4 million in the initial years.		

Institute	Date Established	Mandate (CA Res.)	Main Functions	Type of Activities	Board reports to	Budget	Sources of Funding	Staffing
CELADE	1958	ECOSOC Res. 571 (XIX) CEPAL Res. 346 (AC.88)	Socio-demographic research. Research and training of demographic analysts, advisory services to Governments.	Main areas of work are: - analysis of demographic trends - population and development - teaching and training - dissemination of information.	CELADE is an autonomous institution which is part of the CEPALC system. "General orientation" is provided by the Committee of High Level Government Experts of CEPALC.	About US\$ 3.3 million in 1985.	1/6 from the UN RB large contributions from UNFPA, and voluntary contributions from national agencies (Netherlands and Canada).	7 Inter. Prof. 17 L 34 GS
ILPES	1962	CEPAL Res. 199 (IX) 371 (XVII)	ILPES was conceived as an autonomous institute for planning economic development in the CEPAL region.	The general activities consist in the provision of training, research and advisory services.	ILPES is a subsidiary body of CEPALC, it acts as the Technical Secretariat for the CEPALC system of Conference of Ministers of Planning. Global orientation is provided by the ILPES Technical Committee. There is also a Technical Sub-Committee.	About 3.9 million in 1985. Trend now is for lesser support from UNDP and more direct support from the 37 Member Governments (i.e. assessed contributions). ILPES also earns money by providing "advisory services" to Governments. In 1985 approx. 1/4 of income is from UN RB. Over the last 4 years the Inst. used up its reserves in order to maintain its regular operations. Efforts are being made to reconstitute the reserves.	- UN RB (1/4) - Member Governments (40%) - UNDP - Voluntary Contributions - Advisory services	About 40 (P and GS) in 1985.
IDEP	1962 1979	ECA Conference, 58 (V)	Purpose of IDEP is training of senior Government officials responsible for economic development and planning.	- Training courses - Seminars - Advisory services - Establish documentation to be disseminated to researchers, institutions etc. - Research only in support of training activities.	IDEP is a subsidiary body of ECA. Governing Council is chaired by ECA Exec Sec. Annual report is submitted to Conference of Ministers.	About US\$ 1 million in 1985.	Contributions from African Governments (1/4) and UNDP and other voluntary sources (3/4).	8 P (UNDP fin.) and 47 GS in 1985.

37. More precisely, the Institute's research and training activities are aimed at strengthening the national capability of developing countries in the areas of research and training for the advancement of women by, e.g.:

- assisting in the development of appropriate policies and institutional frameworks;

- promoting the systematic consideration of issues related to women in the planning and programming process and in technical cooperation activities;

- enlarging the existing data bases and information system on women and development.

38. INSTRAW's research and training activities are closely interrelated and an effort is being made to use the results of research programmes in the organization of training workshops, in the preparation of training modules, and in the fellowships programmes. In 1986, 15 seminars and workshops were conducted with the participation of 530 trainees. One fellowship and one internship were granted, and 48 research reports and publications were issued.

39. UNIDIR has a very small staff consisting of a Director, an Assistant Director and two general service staff. The Institute relies heavily on project-related short-term contracts in the implementation of its research programme. For each research project, of which there may be around 8-10 a year, individual experts or research organizations are employed to carry out the project. "Steering groups" composed of personalities known for their expertise may sometimes be constituted to assist in the carrying out of major studies. In addition, every year the Institute organizes 3-4 conferences and seminars, sometimes in cooperation with other institutes and universities, on subjects related to the research programme of the Institute. There is also a small fellowship programme (3 per year).

40. UNITAR provides training of various types to government officials and diplomats, particularly from developing countries, working in fields related to United Nations system activities and to officials and experts of the United Nations system.

41. The Institute also conducts research and studies related to the functions and objectives of the United Nations, giving appropriate priority to the requirements of the Secretary-General of the United Nations and of other United Nations organs and the specialized agencies.

42. The main training activities include the following:

- (a) training for international cooperation and multilateral diplomacy, which concentrates on training in multilateral diplomacy for members of Permanent Missions to the United Nations in New York and Geneva;

- training for other governmental officials involved in international cooperation, particularly training in international law, in multilateral diplomacy and in international negotiations;

- advisory assistance to diplomatic training institutions in developing countries;

- training for officials and experts of the United Nations system.

(b) training for economic and social development, which emphasizes particularly the training of trainers and concentrates on:

- training for development managers;

- training in the modernization of public administration, particularly in least developed countries;

- training in the management of public enterprises;

- training for finance management.

43. Research activities focus on the following priority areas:

(a) Research on the United Nations and on issues of concern to it, particularly research on peace and security issues, research on economic and social development issues, and research on institutional issues concerning the adequacy of the United Nations system to achieve its objectives.

(b) Research on the future of the main developing regions of the world, in terms of challenges faced by these regions and the adequacy of policies being implemented or contemplated in response to those challenges. In this context, UNITAR operates a research office in Santiago, Chile, which focuses on research on the future of Latin America.

(c) Research on energy and natural resources issues which led the Institute to establish the UNITAR/UNDP Information Centre for Heavy Crude and Tar Sands in 1981 in New York and the UNITAR/UNDP Centre for Small Energy Resources, in 1984 in Rome.

44. Because of the financial constraints affecting the General Fund of the Institute, both training and research activities have had to be reduced in recent years. Similarly the staff of the Institute funded through the General Fund had to be cut from approximately 40 (including 14 professionals) in 1984, to about 20 (6 professionals) at the end of 1986.

45. UNRISD's mandate is to conduct research into problems and policies of social development. It does not have any specific training or educational responsibilities. The Institute concentrates its research on global questions that are of major concern to the United Nations and the international community and on what can be done practically at the local, national and international levels to speed up the achievement of United Nations development goals. UNRISD research is particularly focussed on the impact of development processes on different social groups and on the study of practical policy alternatives.

46. UNRISD cooperates closely with national research institutions, especially in developing countries, and with other international and national organizations and agencies in carrying out its research. The Institute concentrates on new approaches to the analysis of development issues and to the collection and analysis of relevant data and the testing of their practical applicability and utility.

47. The Institute currently carries out research in four major interrelated areas:

- Food systems and society
- Popular participation
- Improvement of socio-economic development data and of methods of analysis and monitoring
- Social process of refugee integration.

48. The main outputs of the Institute are the publication of the results of research activities. Reports and research notes are mainly published by UNRISD itself. Some co-publications with commercial publishers or other research institutions have also been issued. In 1986, some 15 reports and research notes were issued. There is also a small fellowship programme.

49. UNSDRI's basic mandate is to encourage, coordinate and carry-out research on the phenomenon of adult criminality and juvenile delinquency, especially in the context of the development process. As such, it conducts research, issues reports and publications and organizes and supports field studies, in collaboration with the countries concerned and with a network of affiliated regional institutions operating in the social defense area. UNSDRI aims to put at the disposal of policy makers the results of international expertise and research, through the dissemination of research results and the organization of participation in international workshops and conferences.

50. Activities carried out in recent years have dealt inter alia with drug abuse, juvenile social maladjustment in developing countries, the economic crisis and crime, delays in the administration of justice, kidnapping. The Institute focuses on two distinct types of activities:

- the promotion, co-ordination and conduct of comparative, cross-cultural research at the inter-regional level, with particular emphasis on action-oriented research and the needs of the developing countries; and
- the provision of technical support and the conduct of field activities primarily in developing countries in response to specific country priorities and needs.

51. In addition to its various research and studies, the Institute's activities include information, documentation and library services. UNSDRI also publishes a World Directory of Criminological Institutes and some 2-3 publications per year. The work programme, and the Institute's activities in general are monitored and evaluated on a regular basis by the ad hoc Advisory Group on UNSDRI Work Programme and Directions and by the Centre for Social and Humanitarian Affairs (CSDHA). The Institute prepares its work programme taking into account the short and medium-term plans of the Crime Prevention and Criminal Justice Branch, CSDHA and in consultation with that Unit.

E. Co-operation among institutes

52. Since 1966, meetings of the directors of United Nations Institutes for Training, Research and Planning have been held annually on the proposal of the United Nations Secretary-General as Chairman of the Administrative Committee on Co-ordination. The directors of these institutes were then invited to meet "with a view to studying methods of furthering co-operation among their organizations" in an informal and frank atmosphere. The Economic and Social Council in Resolutions 1138 (XLI) and 1175 (XLI) had stressed the importance of co-ordinating programmes and activities among these institutions; and between them, on the one hand, and the United Nations and other agencies on the other. At the first annual meeting, held in Geneva, various institutional and operational arrangements were discussed. The Executive Director of UNITAR was elected Chairman and UNITAR was requested to assume responsibility for the Secretariat of future annual meetings. No official resolution or decision was taken at that time. Nevertheless it was agreed that the Chairman may, however, report to the Administrative Committee on Co-ordination as appropriate on the discussions held and in some cases undertake inquiries at the request of the other directors.

53. The following institutes normally attend these meetings:

- Economic Development Institute of the World Bank (EDI), Washington, D.C.
- International Centre for Advanced Technical and Vocational Training (ILO) Turin
- International Institute for Educational Planning (IIEP), Paris
- International Institute for Labour Studies (IILS), Geneva
- International Monetary Fund Institute, Washington, D.C.
- United Nations Institute for Disarmament Research (UNIDIR), Geneva
- United Nations Institute for Training and Research (UNITAR), New York
- International Research and Training Institute for the Advancement of Women (INSTRAW), Santo Domingo
- United Nations Research Institute for Social Development (UNRISD), Geneva
- United Nations Social Defence Research Institute (UNSDRI), Rome
- African Institute for Economic Development and Planning (IDEP), Dakar
- Asian and Pacific Development Centre (APDC), Kuala Lumpur
- Latin American Institute for Economic and Social Planning (ILPES), Santiago.

54. In addition, the following United Nations departments and programmes are regularly invited to attend the meeting: The United Nations Department of International Economic and Social Affairs, the United Nations Department of Technical Co-operation for Development and the United Nations Development Programme. Other United Nations and non-United Nations organizations are regularly invited to attend the meeting as observers. These include the United Nations Industrial Development Organization, the United Nations Institute for Namibia, the United Nations University, the CCAQ Sub-Committee on Staff Training, the Commonwealth Secretariat and the Development Centre of the Organisation for Economic Co-operation and Development (OECD).

55. Since its inception in 1966, the Annual Meeting of Directors of United Nations Institutes for Training, Research and Planning has been held in Geneva, under the chairmanship of the Executive Director of UNITAR. Each year, one or two main themes of current interest are discussed in an informal atmosphere with sharing of views and ideas rather than presenting statements of position. Discussions have included such topics as the evaluation of training, publications policies, training and research methods, new training technologies, the staffing and financing of the institutes, the creation of new United Nations organizations and their relationship to the institutes, and ways of assisting training and research institutions in developing countries. In addition, every meeting includes an agenda item allowing for an in-depth exchange of information on new developments in the respective institutions. These exchanges have enabled the directors to benefit from each other's experiences, to establish mutual links, to organize joint and complementary activities, to exchange training materials and publications and to be made aware of activities undertaken by similar institutions set up outside the United Nations system. It should be mentioned that because of UNITAR's financial crisis, it was not possible to hold the meeting scheduled for Summer 1986.

56. The Inspector considers the issue of cooperation and coordination to be of considerable importance especially in view of the fact that on the one hand the majority of autonomous research institutes are small and on the other many units scattered across the United Nations Secretariat are also involved in research. The Inspector concurs on this point with the already mentioned COPA on research which states in paragraph 34 that: "This fragmentation in the organization of research further attests to the ambiguities that attach to the legitimacy and role of research in a number of organizations of the United Nations system".

57. In order to clarify this role, more attention should be devoted to issues of co-operation and co-ordination between individual institutes, between the institutes and Secretariat Units where research is undertaken and with the United Nations University. The COPA on this point concludes with a view to which we fully subscribe:

"The autonomous research institutions of the United Nations system were created to provide new insights into policy issues and to work on problems requiring a long-term basic research effort. A closer relationship, at all levels, should be established between these institutions and the research units of the organizations of the system. The reports on economic and social issues submitted to intergovernmental bodies should reflect the work of the research institutes. There are currently simple but basic questions of flows of information that remain to be solved. Also, while respecting the autonomy of the United Nations University and the research institutes, ways could be found to relate their programmes of work to a central agenda for research and research priorities in the United Nations system" (paragraph 67).

F. Budget and Finance 1/

58. The main focus of our study is contained in this section. Table I shows that in terms of annual expenditure the largest institute is UNITAR (with a budget of US\$ 4.7 million in 1986) followed by the two Latin American regional institutes - each with a budget above US\$ 3 million, and by INSTRAW (US\$ 2.9 million). The smallest are UNSDRI and UNIDIR - both close to US\$ 0.5 million. UNITAR's General Fund budget was in the US\$ 3 million range in 1983 but had to be drastically reduced as a result of the funding crisis. Due to the present unstable financial situation and future uncertainty some institutes are in the process of setting up a financial reserve to cushion them against shortfalls in resources. UNSDRI, for example, has now succeeded in setting up reserves representing approximately two years of activity of the Institutes. INSTRAW is also pursuing the same policy with favourable results.

59. As a general rule, the autonomous research institutions are financed from voluntary contributions which are either the result of pledges made mostly at the United Nations pledging conferences or on the basis of contributions from UNDP in the form of funding for specific projects or in the form of bilateral special purpose grants for an activity which is of particular interest to the donor. There are, however, several exceptions to this general pattern. The most peculiar formula is the one applicable to UNIDIR: according to its statute a contribution from the United Nations regular budget "may" be provided but must not exceed one-half of the assured income of the Institute. The Latin American regional institutes also received some contributions from the United Nations regular budget (1/6th in the case of CELADE and about 1/4th in the case of ILPES). ILPES and IDEP are partly financed through assessed regular contributions from their member Governments. Although this is functioning relatively smoothly in the case of ILPES, IDEP is experiencing increasingly serious difficulties in maintaining Government contributions at the expected level. According to a decision of the ECA Conference of Ministers (433 (XVII)), US\$ 1.6 million should be collected annually. However, in recent years, contributions from Governments have actually declined from \$600,000 in 1979 to \$255,000 in 1985, thus increasing the dependency of the Institute on UNDP funding. The Inspector recognizes that, unlike CELADE and ILPES, IDEP has never received United Nations regular budget funding. Recent attempts to secure a limited number of regular budget posts - the ECA Conference of Ministers had recommended 7, reduced to 4 by ECOSOC resolution 1985/62 - have not met with General Assembly approval. Unless the financial viability of IDEP can be secured, the Inspector feels that serious consideration will have to be given to its continuation. A form of solution to the problem, could be to propose to the Governing Council of UNDP to make contributions mandatory for each of the African countries through the utilization of their IPF's for the corresponding assessment quota.

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1/ The Annex provides more detailed information on the income and expenditures of the institutes covered in this report.

60. In exceptional circumstances the United Nations has had to provide direct support in the form of loans or grants to the budget of some institutes (UNRISD, and more recently UNITAR) which were experiencing financial difficulties. In addition, the United Nations provides rent-free premises, house-keeping and reproduction facilities to some institutes (UNRISD, UNIDIR, ILPES). Other institutes are provided with free premises and certain services by the host governments (UNSDRI, INSTRAW). UNITAR has its own premises.

61. The limited involvement of United Nations regular budget resources in the financing of the Institutes and the aborted attempts to increase the levels of such financing naturally have cast a shade of uncertainty at one time or another on the financing prospects of several institutes. UNRISD experienced a crisis in the early eighties and UNITAR is hard hit at present. UNSDRI is very much dependent on the contribution of its host government and UNIDIR is similarly dependent on the contributions of 1 or 2 major donors. IDEP, since its inception 25 years ago, has been able to function largely because of regular UNDP contributions to its budget. The financial situation of the two Latin American institutes, in contrast, appears to be much sounder.

62. The difficulties of UNITAR have been the subject of considerable debate in the General Assembly and within the United Nations Secretariat. Although the Assembly has periodically reaffirmed the continuing importance and relevance of the mandate of the Institute (see General Assembly resolutions 39/177, 40/214 and 41/172) its very existence is still in jeopardy, primarily because it has ceased to attract sufficient voluntary contributions to maintain it as a viable entity. On the basis of resolution 41/172 a further attempt is currently being made to re-structure the Institute.

63. The Executive Director of UNITAR briefed the Inspector on a financial Plan, which consists of the disposal of UNITAR's premises under advantageous conditions; through this exercise the Institute should get immediate additional resources, and a better guarantee of sound funding. If this effort does not materialize and if the other measures recommended in resolution 41/172 are not successful in setting UNITAR on a sounder footing, inevitably the Secretary-General, with the concurrence of the General Assembly, will have to phase out the Institute distributing its functions to pertinent departments in the United Nations and redeploying the personnel in the manner he sees fit.

**ANNEX**  
**INCOME AND EXPENDITURE OF UNITED NATIONS**  
**AUTONOMOUS RESEARCH INSTITUTES**  
(In United States dollars)

**A. IDEP**

	1984	1985	1986
<b>Income:</b>			
Assessed contributions	357,178	255,470	No data available
UNDP	<u>750,000</u>	<u>750,000</u>	
Total Income	1,107,178	1,005,470	
<b>Expenditure</b>			
	<u>1,202,944</u>	<u>1,207,734</u>	
Excess (shortfall) of Income Over Expenditure	<u>(95,766)</u>	<u>(202,264)</u>	
Cumulative Balance			
Source: Data provided by IDEP			

**B. UNITAR**

	1984	1985	1986
<b>Income:</b>			
General Fund	2,412,845	1,910,721	1,570,614
Special Purpose fund	1,773,266	2,077,618	2,264,234
Subvention from UN regular budget		<u>600,000</u> <sup>1/</sup>	<u>900,000</u> <sup>1/</sup>
Total income	4,186,111	4,588,339	4,734,848
<b>Expenditure:</b>			
General fund	2,345,140	2,407,365	2,273,729
Special purpose fund	<u>1,795,574</u>	<u>1,991,630</u>	<u>2,415,190</u>
Total expenditure	<u>4,140,714</u>	<u>4,398,995</u>	<u>4,688,919</u>
Excess (shortfall) of Income Over Expenditure	45,397	189,344	45,929
Less subvention from UN regular budget		(600,000)	(900,000)
Real shortfall		(410,656)	(854,071)
Cumulative balance available 1 January	16,455 <sup>2/</sup>	(677,633) <sup>2/</sup>	(574,307) <sup>2/</sup>
Source of data: UNITAR financial reports.			
<b>Notes:</b>			
<sup>1/</sup> Represents the grant of up to US\$ 1.5 million approved by General Assembly resolution 39/177 and decision 40/451.			
<sup>2/</sup> General Fund only.			

C. UNIDIR

	1982-1983	1984	1985-1986
Income	543,144	290,963	No data available
Expenditure	<u>723,621</u>	<u>304,908</u>	
Excess (shortfall) of Income Over Expenditure	<u>(180,477)</u>	<u>(13,945)</u>	
Cumulative balance at end of year	<u>(137,949)</u>	<u>(151,894)</u>	
Source: Data provided by UNIDIR			

D. INSTRAW

	1984-1985	1986
Income	1,697,656	732,481
Expenditure	<u>2,522,358</u>	<u>980,053</u>
Excess of Income Over Expenditure	<u>(824,702)</u>	<u>(247,572)</u>
Cumulative balance at end of year		<u>1,072,274</u>
Source: Data provided by INSTRAW		

E. UNRISD

	1984	1985	1986
Income	1,623,330	2,061,521	1,483,891
Expenditure	<u>1,365,719</u>	<u>1,338,855</u>	<u>1,463,890</u>
Excess (shortfall) of Income Over Expenditure	<u>257,611</u>	<u>722,666</u>	<u>20,000</u>
Cumulative balance of 1 January Operating reserve	<u>150,000</u>	<u>980,277</u> <u>200,000</u>	<u>1,000,277</u> <u>200,000</u>
Source: Data provided by UNRISD			

F. UNSDRI

	1984	1985	1986
Income	687,058	579,727	740,051
Expenditure	<u>524,159</u>	<u>514,821</u>	<u>734,772</u>
Excess (shortfall) of Income Over Expenditure	<u>162,899</u>	<u>63,906</u>	<u>5,279</u>
Cumulative balance	<u>1,202,814</u>	<u>1,266,720</u>	<u>1,271,999</u>
Source: Data provided by UNSDRI			

G. CELADE

	1984	1985	1986
<b>Income:</b>			
Assessed contributions	487,450	552,450	367,500
Special purpose fund	<u>2,631,500</u>	<u>2,631,500</u>	<u>2,444,585</u>
Total	<u>3,118,950</u>	<u>3,183,950</u>	<u>2,812,085</u>
Expenditure	3,118,867	3,118,867	2,584,592
Excess of Income Over Expenditure	<u>83</u>	<u>65,083</u>	<u>227,493</u>
Cumulative Balance			
Source: Data provided by CELADE			
Notes: 1986 figures checked by the Inspector at CELADE and CEPAL in Santiago de Chile			

H. ILPES

	1984	1985*	1986*
<b>Income:</b>			
Assessed contributions	501,500	1,500,000	1,500,000
UNDP	650,000	350,000	
UN Regular budget	585,000	600,000	700,000
Other voluntary contributions	<u>1,350,700</u>	<u>1,531,200</u>	<u>2,002,000</u>
Total	3,087,200	3,981,200	4,202,000
Expenditure	3,087,200	3,981,200	4,202,000
Excess of Income Over Expenditure			
Cumulative Balance			
Source: Document LC/IP/R.51 (CT 6/4)			
Notes: *Estimated			

