REVIEW OF MANAGEMENT AND ADMINISTRATION IN THE INTERNATIONAL TELECOMMUNICATION UNION (ITU)

Prepared by

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Geneva 2016

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EXECUTIVE SUMMARY

Review of management and administration in the International Telecommunication Union (ITU)
JIU/REP/2016/1

The present review of management and administration in the International Telecommunication Union (ITU) is one of a series of reviews of participating organizations undertaken by the Joint Inspection Unit (JIU). The Unit conducted its first review of management and administration in the ITU in 2001; and assessed at the request of the Plenipotentiary Conference the effectiveness of the ITU regional presence in 2009.

In the present report, the Inspectors made 12 formal recommendations: one is addressed to the Member States through the Plenipotentiary Conference and the Council; and 11 are addressed to the Secretary-General, focusing on suggestions for improvement in management areas. The formal recommendations are complemented by informal recommendations, which are additional suggestions for reinforcing the management framework and related practices at ITU.

Main findings and conclusions

ITU is a relatively compact headquarters-based specialized agency with a limited regional presence. Among its main responsibilities are the coordination of the shared global use of the radio spectrum, the promotion of international cooperation in assigning satellite orbits, the improvement of communication infrastructure in the developing world and the establishment of worldwide standards that foster the interconnection of communication systems. ITU operates in a fast-changing environment and faces competition, especially from the private sector, in several domains of its core activities. Therefore, it is crucial that ITU ensure its relevance and secure its place in the rapidly evolving information and communications technology (ICT) universe.

The present review highlights the complexity of the structure and the governance of the Union and its management framework. Three Sectors, each managed by a Bureau headed by an elected official, carry out the substantive work of ITU, while the General Secretariat, under the authority of the Secretary-General, provides overall management and support. This set-up may generate challenges and risks in terms of coherence, accountability and reporting lines, effective corporate coordination, duplication and overlap of management and administrative functions, among others.

In the management area, in addition to the General Secretariat, each Bureau undertakes several management and administrative support functions. The Inspectors recommend that an in-depth analysis be made of the efficiency and the effectiveness of management functions and administrative support services within all components of the Union, taking into account the specificities and needs of each Sector, prior to the elaboration of the ITU budget for the biennium 2018-2019 (**recommendation 2**); they urge ITU management to finalize a coordination and cooperation strategy, as requested by Member States in resolution 191 (Busan, 2014) (**recommendation 3**). In the Inspectors' view, ITU would benefit from the review of its framework of management committees to ensure better synergy and complementarity (**recommendation 1**) and from the consolidation of the core elements of accountability into a stand-alone accountability framework, and from the further development of a corporate risk management policy (**recommendations 4 and 6**).

The financial situation of ITU has been the focus of attention in recent years, especially in the light of the requirements for financing the after-service health insurance and the project to renovate its headquarters. Taking into account the characteristics of the ITU funding

model, the Inspectors request the Secretary-General to produce a comprehensive plan to improve the stability and the predictability of the financial base of the Union, integrating both options for increasing revenues and cost-saving proposals (**recommendation 5**).

Five recommendations focus on the area of human resources. **Recommendations 9 and 10** are aimed at consolidating the regulatory framework for human resources processes and developing a comprehensive policy on the use of non-staff personnel. The improvement of the geographical and gender representation in the Professional category and above can be achieved through the elaboration of action plans with specific targets, indicative timelines and monitoring measures, together with regular reporting to the Council (**recommendations 7 and 8**).

To further strengthen information technology and information management within ITU, **recommendation 11** calls for an updated information technology and information management strategy to bring under one umbrella all aspects of information and knowledge management (documents management, records management, knowledge management and ICT management).

On the basis of the findings from interviews and the responses to surveys by ITU Member States and other stakeholders, **recommendation 12** aims to ensure that the role of the regional presence in achieving "One ITU" is mainstreamed in the Strategic Plan of the Union and appropriately cascaded down into the operational plans of each Sector.

The Inspectors stress that, in order for the recommendations contained in the report to be successfully implemented, strong and continuous commitment is required from the governing bodies and the executive management in all parts of the Union, as well as its staff members.

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Recommendations

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Recommendation 1

The Secretary-General should review the framework of the management committees to ensure synergy and complementarity and avoid duplication in their mandates, notably by updating the existing, or creating new, terms of reference as necessary.

Recommendation 2

The Secretary-General should conduct an in-depth analysis of the efficiency and the effectiveness of management functions and administrative support services in all components of the Union, taking into account the specificities and needs of each Sector, and report the results and proposals to the Council in the context of the elaboration of the ITU budget for the biennium 2018-2019.

Recommendation 3

The Secretary-General should finalize and present for endorsement by the Council at its 2017 session a coordination and cooperation strategy in areas of mutual interest to the General Secretariat and the three Sectors, as requested by Member States in resolution 191 (Busan, 2014), and report annually to the Council on its implementation.

Recommendation 4

The Secretary-General should further develop and consolidate the core elements of accountability into a stand-alone accountability framework, present it to the Council for endorsement at its 2017 session, and report annually on its implementation.

Recommendation 5

The Secretary-General should develop a comprehensive plan to improve the stability and the predictability of the financial base of the Union, integrating options for increasing revenues and cost-saving proposals, and present it to the Council for endorsement at its 2017 session.

Recommendation 6

The Secretary-General should finalize and present to the Council for endorsement at its 2017 session, and regularly update thereafter, a risk management policy comprising all the elements of a systematic and comprehensive corporate risk management framework, and report annually to the Council on its implementation.

Recommendation 7

The Secretary-General should develop and present to the Council for endorsement at its 2017 session an action plan with specific targets, indicative timelines and monitoring measures aimed at improving geographical representation in the Professional category and above within each component of the Union, and report annually to the Council on its implementation.

Recommendation 8

The Secretary-General should present to the Council for endorsement at its 2017 session an action plan to complement the Gender Equality and Mainstreaming Policy, with specific targets, indicative timelines and monitoring measures to improve gender balance, especially at senior management level, within each component of the Union, and report annually to the Council on its implementation.

Recommendation 9

The Secretary-General should develop and present to the Council for endorsement at its 2017 session a comprehensive policy on the use of non-staff personnel and provide to the Council an annual consolidated and analytical report on its implementation within each component of the Union.

Recommendation 10

The Secretary-General should ensure that human resources processes, such as recruitment, appointment and promotion, are covered by formal procedures included in the regulatory framework and are consolidated by the end of 2017 into a comprehensive human resources handbook.

Recommendation 11

The Secretary-General should present to the Council for endorsement at its 2017 session an updated version of the Information Technology and Information Management Strategy, encompassing all dimensions of information management and report annually to the Council on its implementation.

Recommendation 12

The 2018 Plenipotentiary Conference should ensure that the role of the regional presence in achieving "One ITU" is mainstreamed in the Strategic Plan of the Union, and the Council should ensure that this role is appropriately cascaded down into the operational plans of each Sector.

CONTENTS

ABBREVIATIONS

BDT	Telecommunication Development Bureau
BR	Radiocommunication Bureau
CEB	United Nations System Chief Executives Board for Coordination
CWG-FHR	Council Working Group on Financial and Human Resources
CWG SP-FP	Council Working Group on the elaboration of the draft Strategic and draft Financial Plan
ERP	enterprise resource planning
FRMD	Financial Resources Management Department
HRMD	Human Resources Management Department
IAU	Internal Audit Unit
ICT	Information and communications technology
ICTC	Information and Communications Technology Committee
IMAC	Independent Management Advisory Committee
IPSAS	International Public Sector Accounting Standards
ISC-TF	Intersectoral Coordination Task Force
ISCT	Inter-Sectoral Team on Issues of Mutual Interest
ITU-D	Telecommunication Development Sector
ITU-R	Radiocommunication Sector
ITU-T	Telecommunication Standardization Sector
MCG	Management Coordination Group
TSB	Telecommunication Standardization Bureau

I.   INTRODUCTION

1.   As part of its programme of work for 2015, the Joint Inspection Unit (JIU) conducted a review of management and administration in the International Telecommunication Union (ITU) as one of a series of similar reviews of United Nations system organizations included in its revised strategic framework for 2010-2019.[1] Previously, JIU had reviewed ITU on two occasions: in 2001, it had produced 16 recommendations to improve management and administration practices in order to support the reform process launched at that time;[2] and, in 2009, following the decision by the Plenipotentiary Conference (resolution 25, Rev., Antalya 2006), JIU had conducted an evaluation of the effectiveness of the ITU regional presence, which had resulted in 19 recommendations.[3] The present report is a fully fledged management and administration review, which includes references to the recommendations made in the previous JIU reports and the measures taken for their implementation, where appropriate, showing improvements in certain areas and highlighting the remaining areas of concern or new challenges.

A.   Objectives, scope and methodology

2.   The main objective of the report is to provide an independent review of the regulatory frameworks and related practices concerning the management and administration of ITU. It is designed to identify opportunities for further improvements in the areas of organizational structure and governance, executive management and administration, strategic planning, financial and human resources management, information and communications technology (ICT) management and oversight mechanisms.

3.   The present review is timely and relevant, as the new executive management team assumed ITU leadership in January 2015 and expressed interest in such an independent assessment. Its scope does not include the substantive dimensions of the work carried out by ITU or by its various components. The complexity of the structure of the Union and its management framework at times represented a challenge for producing organization-wide assessments.

4.   The Inspectors used a range of evaluation techniques to triangulate their findings and to issue well-supported conclusions and recommendations. The report analyses information and data received as of December 2015; relevant comments and additional information received from ITU management during the finalization of the report were also taken into account.

5.   In accordance with the JIU internal standards and guidelines and its internal working procedures, the preparation of this report included:

- A desk review and an in-depth analysis of ITU parliamentary documents and the internal documentation issued by the General Secretariat and the Bureaux (e.g. service orders, internal memorandums, minutes and summary records of various committees, etc.);

- Interviews with the five elected officials of the organization: the Secretary-General, the Deputy Secretary-General and the Directors of the Radiocommunication Bureau, the Telecommunication Standardization Bureau and the Telecommunication Development Bureau;

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[1] A/66/34, annex 1.

[2] JIU/REP/2001/3: Review of administration and management in the International Telecommunication Union.

[3] JIU/REP/2009/3: Effectiveness of the International Telecommunication Union regional presence.

- Interviews with officials representing the corporate management functions and heads of substantive and technical units of the General Secretariat and the Bureaux and with six Regional Directors. Their inputs complemented information received through the JIU corporate questionnaire completed by the General Secretariat;

- Views of Member States were sought via a series of interviews with members of the Council and observers and through two separate online surveys addressed to the ITU Council Member States and, subsequently, to all States Members of the Union;

- Inputs from non-State members were gathered by interviews with representatives of several Sector Member entities and by a survey addressed to all Sector Members and Associates as well as Academia;

- Interviews with the representatives of three regional telecommunications organizations who attended the 2015 Council session, namely, the Asia-Pacific Telecommunity, the Regional Commonwealth in the Field of Communication and the African Telecommunications Union;

- Meetings with the Independent Management Advisory Committee (IMAC) and a videoconference with the external auditor (Corte dei Conti, Italy);

- Interviews with staff representatives, supplemented by the responses received via a JIU online staff survey that attracted an outstanding participation (63.3 per cent, annex VII).

6. The report contains 12 recommendations: one is addressed to the Plenipotentiary Conference and the Council and 11 are addressed to the Secretary-General. To facilitate the handling of the report, the implementation of its recommendations and the monitoring thereof, annex VIII contains a table that identifies those recommendations which require a decision by the legislative/governing bodies or which can be acted upon by the Secretary-General. These formal recommendations are complemented by informal recommendations, which constitute additional suggestions for reinforcing the management framework and related practices at ITU, with reference to the standards and good practices of the United Nations system.

7. In accordance with article 11.2 of the JIU statute, the present report was finalized after consultations among the Inspectors so as to test its conclusions and recommendations against the collective wisdom of the Unit. The Inspectors wish to express their appreciation to all who assisted them in the preparation of the report, in particular those who participated in the interviews and willingly shared their knowledge and expertise. The cooperation provided by ITU management during the review process was commendable.

B. Background

8. ITU is one of the oldest intergovernmental organizations (in 2015 it marked its 150th anniversary). Its origins date back to 1865, when the International Telegraph Union was founded by the International Telegraph Convention with the mandate to oversee and ensure the interoperability of the national telegraph networks of a number of countries.[4] Over the years, the organization has evolved following the innovation of technologies and has accumulated expertise to draw up international standards for telephony and radio communication. In 1932, the International Telegraph Convention was merged with the International Radiotelegraph Convention (1906) to produce the International Telecommunication Convention. The organization was renamed the International Telecommunication Union (1934), taking into account its expanded range of responsibilities. It brought to its structure pre-existing independent committees, such as the International

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[4] International Telegraph Convention, 1865, consolidated Treaty Series edited and annotated by Clive Parry LDD, vol. 130.

Telegraph Consultative Committee, the International Radio Consultative Committee and the International Consultative Committee on Long-distance Telephone Communications, which are considered as predecessors of the Telecommunication Standardization Sector (ITU-T) and the Radiocommunication Sector (ITU-R).

9. Subsequent growth in the membership of ITU and expansion of its activities resulting from technological developments led to a major push for structural reforms within the Union. In 1992, two legal instruments were adopted with a clear hierarchy between them: the Constitution and the Convention (further referred to as the Basic Instruments).[5] Both have been in effect since 1994. The collection of the basic texts also comprises the General Rules of conferences, assemblies and meetings of the Union as well as the resolutions, decisions and recommendations adopted by the Plenipotentiary Conference. Apart from the Constitution and the Convention, the two other treaty instruments of the Union are the Administrative Regulations (International Telecommunication Regulations and Radio Regulations).

10. The preamble of the Constitution sets out the mandate of the Union: "to facilitate peaceful relations, international cooperation among peoples and economic and social development by means of efficient telecommunication services".[6] In its response to the JIU questionnaire, ITU management described the organization as "the intergovernmental body responsible for coordinating the shared global use of the radio spectrum, promoting international cooperation in assigning satellite orbits, improving communication infrastructure in the developing world, and establishing the worldwide standards that foster seamless interconnection of a vast range of communication systems. From broadband networks to cutting-edge wireless technologies, aeronautical and maritime navigation, radio astronomy, oceanographic and satellite-based monitoring as well as converging fixed-mobile phone, Internet and broadcasting technologies, ITU is committed to connecting the world."

11. ITU has 193 Member States. Since its creation, it has also served as a platform offering opportunities for Governments, regulators, industry, academia and civil society to collaborate and interact in the field of ICT and coordinate global telecommunication networks and services. More than 700 private sector entities are categorized as Sector Members or Associates, and some 100 entities as Academia. A number of ITU Sector Members are among the most prominent companies dealing with telecommunications technology worldwide.

12. ITU is a relatively compact headquarters-based organization with fewer than 800 regular staff and a limited regional presence. In 1947, it became a United Nations specialized agency.[7]

13. ITU operates in the fast-changing ICT environment and faces strong competition from a number of other entities, especially in the private sector, in several domains of its core activities. This makes it crucial for ITU to secure its place in the worldwide ICT universe and adapt itself to rapidly evolving external factors.

14. According to a statement by the ITU Secretary-General, the 2014 Plenipotentiary Conference set out a shared vision that Member States have committed to achieve by 2020 to ensure, in collaboration with all stakeholders, that ICT enables and accelerates growth and development and benefits everyone on the planet.[8] One of the biggest challenges for the organization is that of bridging the so-called "digital divide": with the rapid advances in technology, the gap between those with access to the latest ICT and those who have limited or

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[5] Constitution of the International Telecommunication Union (hereafter the Constitution) and Convention of the International Telecommunication Union (hereafter the Convention).

[6] The purposes of the Union are further listed in article 1 of the Constitution.

[7] Agreement between the United Nations and the International Telecommunication Union, 1947.

[8] As stated in the introduction to the basic texts (2015 Edition).

no access has been widening over the past decades. ICT has long been recognized as a key cross-cutting enabler for bridging the digital gap and achieving the three dimensions of sustainable development: economic growth, environmental protection and social development. In that context, the 2030 Agenda for Sustainable Development adopted by the General Assembly recognized the role of information and communications technology;[9] and the outcome document of the high-level meeting of the General Assembly on the overall review of the implementation of the outcomes of the World Summit on the Information Society held in December 2015 made reference to the role of ITU.[10] The present review gathered from Member States and other categories of the membership an overall positive assessment of the performance of ITU as living up to their expectations.

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[9] See General Assembly resolution 70/1, Goal 9 (c).
[10] See General Assembly resolution 70/125.

II.   STRUCTURE AND GOVERNANCE

15.   The 1992 Basic Instruments established the present structure of the Union, comprising: (a) the Plenipotentiary Conference; (b) the Council, which acts on behalf of the Plenipotentiary Conference within the limit of the powers delegated to it by the latter; (c) the world conferences on international telecommunications; (d) the Radiocommunication Sector (ITU-R), including world and regional radiocommunication conferences, radiocommunication assemblies and the Radio Regulations Board; (e) the Telecommunication Standardization Sector (ITU-T), including the world telecommunication standardization assemblies; (f) the Telecommunication Development Sector (ITU-D), including world and regional telecommunication development conferences; and (g) the General Secretariat.[11] The three Bureaux: the Radiocommunication Bureau (BR), the Telecommunication Standardization Bureau (TSB) and the Telecommunication Development Bureau (BDT) serve as the secretariat to each respective Sector. Each Bureau is headed by a Director elected at the Plenipotentiary Conference.[12]

16.   The Plenipotentiary Conference is the supreme legislative body of the Union. It is composed of 193 Member States and is convened every four years. As the policymaking body, the Plenipotentiary Conference adopts, inter alia, the strategic and financial plans, examines and approves the accounts, elects 48 Member States to serve on the Council, 5 elected officials and 12 members of the Radio Regulations Board.

17.   The Council convenes annually and acts as the governing body of ITU in between the sessions of the Plenipotentiary Conference. It carries out oversight on the management of ITU, notably the human and financial resources, decides on major organizational changes in the General Secretariat and in the Bureaux and exercises financial control over the General Secretariat and the Sectors. During its sessions, the Council sets up the Standing Committee on administration and management, which deals with management and administrative issues. The Council is currently supported by seven Council working groups/committees.[13]

18.   The governing bodies of the Sectors are the world conferences/assemblies that provide guidance on their substantive activities. Regional conferences address questions of a regional nature. The Advisory Groups composed of Member States and Sector Members review the strategies, priorities, programmes and activities of each Sector, oversee financial matters and examine operational plans prepared by the Bureaux. Study Groups and Working Parties that assemble experts from national administrations and industry around the world conduct the technical work within the purview of each Sector.

19.   The Secretary-General, assisted by the General Secretariat, is entrusted with a wide range of tasks, including, inter alia, to (a) be responsible for the overall management of the resources of the Union; (b) coordinate the activities of the General Secretariat and the Sectors; (c) coordinate the implementation of the strategic plan adopted by the Plenipotentiary Conference; (d) appoint and supervise staff; and (e) allocate the budget resources. It is

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[11] Article 7 of the Constitution: Structure of the Union.

[12] The structure and governance of the Union are mapped in annex I.

[13] As of 2015: Council Working Group on options for the Union's Headquarters premises over the long term; Council Working Group on the use of the six official languages of the Union; Council Working Group on international Internet-related public policy issues; Council Working Group on child online protection; Council Working Group on the World Summit on the Information Society: implementation of outcomes; Council Working Group on financial and human resources; and Committee for the preparation of the 150th anniversary celebrations.

specified that many of these tasks are to be undertaken in consultation with the Coordination Committee that consists of the five elected officials.[14]

20.   The structure of ITU governing bodies and the related management units reveals a complex governance architecture that is unparalleled in United Nations system organizations of comparable size and resources. It suggests a "federal" rather than the "unitary" model that is commonly found in the rest of the United Nations system. Such a model may contain inherent risks, including, among others, insufficient coherence between legal provisions and mandates of different constituent parts, blurring of accountability and reporting lines, practical challenges to effective organization-wide coordination, possible duplication and overlap of functions, etc.

21.   In its 2001 report, JIU made several recommendations with a view to moving the Union towards a more unitary structure. These were not embraced on account of a combination of historical reasons, political considerations and practical difficulties. During the preparation of the present report, contrasting views were gathered on the relevance and efficiency of the current structure of ITU. Some delegates informally pointed out the duplications and loopholes in the functioning of the Union and its components. However, it seems, both from interviews with the representatives of Member States and through the wide-ranging surveys addressed to the main stakeholders, that at present there is little inclination among the membership to embark on a review of the structure and governance of the Union that could imply major revisions of the basic legal instruments. Acknowledging this, the Inspectors focused their attention on practical improvement measures in the area of management and administration compatible with the current legal framework of ITU.

Basic legal instruments

22.   The institutional practice of regularly amending the legal framework prevailed for many years in ITU. When the sole International Telecommunication Convention was governing the Union, it used to be abrogated and readopted to introduce modifications submitted by Member States. The introduction in 1992 of two legal instruments, the Constitution and the Convention, was an attempt to streamline such a burdensome revision process. The expected results seem to have never been fully achieved, since both texts have undergone numerous amendments (274 to the Constitution and 450 to the Convention), resulting in significant legislative activity for Member States to adopt and ratify the amendments.

23.   According to the specific practice followed in ITU, amendments enter into force at a date set by the Plenipotentiary Conference between those Member States that have deposited their instruments of ratification (acceptance, approval, accession).[15] Hence, there are formally different versions of the Basic Instruments applicable among the Member States. The current practice of referring to the latest version of these texts as being applicable to the whole membership enables ITU to continue running (the Inspectors were informed of only one occasion of a Member State challenging the applicability of a provision not ratified by it). Yet, such a "legal polyphony" may expose the organization to significant risks of incoherence. It is worth noting that the 2010 and 2014 Plenipotentiary Conferences refrained from introducing amendments to the Constitution and the Convention and instead adjusted the legal framework through the adoption of resolutions and decisions. This practice appears to be more of a palliative than a long-term systemic solution. **The Inspectors call for further measures to ensure equal applicability of the Basic Instruments to the whole membership.**

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[14] See article 5 of the Convention: General Secretariat.
[15] See article 55 of the Constitution: Provisions for Amending this Constitution.

Coherence and coordination

24.   The current structure of the Union places coordination among its component parts as a key prerequisite for its efficiency and effectiveness. Despite the complex architecture described above, the majority of Member States, in interviews and surveys, considered that the mandates and the responsibilities of the various bodies were clearly delineated to avoid duplication and overlap. Traditionally, each Sector has been dealing with its own specific technical areas. However, the growing complexity of the ICT environment and the interconnectedness of ICT issues make it imperative today to act in unison ("One ITU") to achieve agreed objectives and goals and attain optimal results. Increasingly, ICT issues relate to more than one Sector. The Basic Instruments contain explicit provisions underscoring the need for close coordination among the three Sectors. This was regularly echoed by the subsequent resolutions of ITU governing bodies.[16] **The Inspectors stress that coordination is of crucial importance for the Union. It has to be consistently enhanced and monitored both by Member States and management and requires strong mechanisms of implementation and follow-up.**

25.   A new element was introduced in 2015 with the creation of an Inter-Sectoral Team on Issues of Mutual Interest (ISCT) jointly established by the Advisory Groups of the Sectors as a coordinating body, notably to "identify the necessary mechanisms to strengthen cooperation and joint activity … of common interest".[17] However, the ISCT is still in its early phase and has until now produced limited results, such as the designation of representatives and drawing up an indicative list of issues to be considered. The Inspectors are looking forward to more significant and concrete contributions from this body, which should assume a prominent role in coordination.

Conferences and meetings

26.   The structure of the Union, combined with the highly technical nature of its mandates, generates a large number of official meetings (see annex II) that necessitate significant resources. Table 1 provides some indicative data of the support required for the major conferences and assemblies. This situation not only poses challenges with regard to coordination, prioritization and preparation for meetings, but also in terms of financial implications for ITU.

Table 1: Major ITU conferences and indications of support requirements

	Meeting days	Documents	Pages	Translation services
Plenipotentiary Conference (2014)	15	408	6,306	ACEFRS
World Radiocommunication Conference (2012)	20	1,615	9,604	ACEFRS
Radiocommunication Assembly (2012)	5	209	1,042	ACEFRS
Radio Regulations Board (2014)	15	90	3,365	ACEFRS
World Telecommunication Standardization Assembly (2012)	8	400	5,377	ACEFRS
World Telecommunication Development Conference (2014)	10	802	4,860	ACEFRS

Source: prepared on the basis of information provided by the General Secretariat.

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[16] Article 12 and Article 17 of the Constitution. Resolution 191 (Busan, 2014): Strategy for the coordination of efforts among the three Sectors of the Union; resolution 25 (Rev., Busan, 2014): Strengthening the regional presence; resolution 57 (Rev., Dubai, 2012) of the World Telecommunication Standardization Assembly, among others.

[17] See TDAG15-20/30: ISCT preliminary terms of reference.

27.   Decisions by Member States on meetings of various governing and subsidiary bodies, and the documentation required, have obvious resource implications that should be carefully assessed and the relevant information presented to the stakeholders. The General Secretariat and the Bureaux should prepare an overall calculation of the costs involved in the organization of conferences and other events, such as conference services, staff resources assigned, travel and security, which are bound to be considerable (by way of example, the cost of one page of an official document is estimated by the General Secretariat at on average about CHF 1,000 taking into account editing, typesetting, translation, printing, etc.). This study should also take into account, to the extent possible, indirect costs, such as research, drafting, logistical arrangements, etc.[18] Some sectoral operational plans already contain relevant figures that could serve as the basis for a more elaborate document to provide Member States with a clear vision of the resources involved.

28.   **The Inspectors invite the various governing bodies of the Union to initiate a careful review and assessment of the number and length of ITU events, their procedures and documentation, with the objective of identifying areas where rationalization can be envisaged, and to draw up recommendations for putting in place cost-effective measures that may result in significant potential savings.**

Procedures of subsidiary bodies

29.   The rules on the functions of chair and vice-chair of the governing and subsidiary bodies (Council Working Groups, Sector Advisory Groups, Study Groups and Working Parties) are being discussed by Member States with a view to clarifying relevant aspects, such as the selection criteria of committee officials, their terms of tenure and geographical and gender diversity.[19] The need to update rules and regulations and to set up a system of regular rotation of chairmanship and "committee positions" in intergovernmental and expert bodies was underlined by many delegates. Interviewees mentioned, inter alia, the risks inherent in such functions being carried out by the same individuals over long periods of time. The need to give equal opportunities to representatives from different geographical regions was underscored. The Inspectors welcome the initial steps taken to address this situation by Council decision 584 (2015) and take note of the tasks assigned in this regard to the Council Working Group on Financial and Human Resources (CWG-FHR). They find, however, that the provision of exceptions granted to current officials may postpone significant changes.

30.   **Throughout its history, ITU has evolved keeping pace with technological progress which has impacted its operational requirements. The present structure of the Union was established almost 25 years ago. Since then, the ICT universe has expanded tremendously both quantitatively and qualitatively. The Inspectors encourage the Member States to recognize the importance of assessing whether the current set-up of the Union remains "fit-for-purpose" to successfully implement its mandates in the long run from a holistic and cost-effective perspective**.

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[18] An example would be the report by the external auditor of the United Nations Educational, Scientific and Cultural Organization (UNESCO) on the governance of the organization and its dependent funds, programmes and entities. See documents 197/EX/28 and 197 EX/28.INF Rev.

[19] Decision 11 (Rev., Busan, 2014) and Council resolution 1333 (2011) and decision 584 (2015).

III. MANAGEMENT

A. Executive management

31.   The present five elected officials (the Secretary-General, the Deputy Secretary-General and the Directors of the three Bureaux) were elected at the Plenipotentiary Conference in 2014 and assumed their responsibilities in January 2015. Delegates interviewed during the preparation of this review underlined a positive change in terms of the responsiveness of the current ITU executive management team, acknowledging a more open attitude in addressing Member States' concerns. This perception was echoed by members of the Council and focal points of Sector Members, Associates and Academia in their responses to the JIU surveys. They assessed ITU executive management as generally responsive to their requests and transparent in providing information on decisions and activities.

Executive management team

32.   According to article 26 of the Constitution, the Coordination Committee, comprising the five elected officials, shall act as an internal management team. This model differs from the majority of the United Nations system organizations, which are headed by a single elected official accountable to Member States for all aspects of the management of the organization. The Basic Instruments assign to the Secretary-General the role of legal representative of the Union and the overall management of the Union's resources.[20] At the same time, a high degree of autonomy has been assigned to the Directors of the three Bureaux.[21] In addition, as members of the statutory Coordination Committee, they are given, collectively, a key role in the management of ITU.[22]

33.   During interviews, the elected officials presented their arguments in favour of the present model designed to address the technical specificities of the Sectors, provide checks and balances and allow for diversity in leadership. Nevertheless, having five high-level independently elected officials in a modest size organization may impose constraints on managerial aspects, such as the need for additional consultations for consensus-building, and may lead to delays and inertia in taking action. It may expose the organization to potential risks, such as tension among the Sectors and with the General Secretariat, inconsistencies in management practices and lack of coherence among the activities of different components of the Union.

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[20] Article 11 of the Constitution: General Secretariat and article 5 of the Convention: General Secretariat.

[21] Articles 12, 15 and 18 of the Convention state the main responsibilities of the Directors of BR, TSB and BDT, respectively. Several articles of the Constitution and Convention refer to some other prerogatives of the Bureau Directors.

[22] The executive management of ITU has been in the focus of the Member States' attention in the past. The Plenipotentiary Conference (Marrakesh, 2002) called upon the Council to create a Working Group to consider the functions of the Coordination Committee, the tasks of the Deputy Secretary-General and the role of the other elected officials. Established in 2003, the Working Group reported on its work in 2005 (C05/41). The Plenipotentiary Conference (Antalya, 2006) launched a similar process and requested the Secretary-General to produce a Study on the management and functioning of the Union notably on the reporting structure; the role, accountability, number and tenure/term of elected officials, the functioning of the Coordination Committee, the election procedures; the responsibility, accountability and transparency of the advisory groups (C08/48). While both reviews produced concrete proposals intended to improve the effectiveness of ITU, no specific major action has been taken in this regard.

34.   The diversity in the geographical representation and gender balance among the elected officials was mentioned in interviews as deserving more attention. There have been disparities in representation among regions, with one being not represented since 2006**. Equitable geographical and gender-balanced representation is a cornerstone principle of United Nations system organizations. The Inspectors suggest that increased attention be given to these aspects when elections are held at the Plenipotentiary Conference, as foreseen by article 9 of the Constitution.** At the same time, other parameters, such as the managerial and technical competence of candidates, should remain indispensable.

35.   The Convention provides that elected officials are "eligible for re-election once only for the same post"; it is, however, silent on the issue of election to a different position. This has resulted in the extended tenure of some elected officials. In 2009, a system-wide JIU report advocated limits of two terms for executive heads, in order to encourage better regional representation and gender balance and to inject fresh vision into management and leadership, a particularly important dimension for ITU, which operates in a constantly changing environment.[23]

36.   The tasks and functions of the Deputy Secretary-General are mentioned in broad terms in the Constitution and the Convention.[24] A Council Working Group was set up during the period 2003-2005 to study the practice regarding the role and functions of the Deputy Secretary-General. No agreement has been reached on specifying in greater detail the tasks assigned to the Deputy Secretary-General. The Working Group concluded in favour of retaining flexibility, acknowledging "the fundamental issue of whether the Secretary-General should have the discretion to set the tasks of the Deputy Secretary-General or be constrained by the Basic Instruments."[25]

37.   In 2006, Member States supported the above-mentioned approach, recognizing, however, that to make optimal use of the position of the Deputy Secretary-General in the management of the Union, his tasks should be set out in order to create clear operational and management responsibilities.[26] The practice of preparing directives outlining specific responsibilities of the Deputy Secretary-General had been introduced in a document presented to the Coordination Committee in 1999 and was formalized in 2002.[27] Although successive service orders gradually granted increased authority to the Deputy Secretary-General, it remained limited to areas such as common services, the management of conferences and information services, and the coordination of intersectoral activities.

38.   However, these responsibilities do not amount to a strategic approach to the Deputy Secretary-General's function as the second top official of the Union. During the interviews, Member States' representatives were circumspect about the current instrument of delegation of authority to the Deputy Secretary-General as circulated to the 2015 Council, which defines responsibilities at different levels.[28] The Inspectors are of the view that this issue needs to be revisited. A possible option could be to confer broader responsibility for the day-to-day

[23] See JIU/REP/2009/8: Selection and conditions of service of executive heads in the United Nations system organizations.
[24] Article 11 of the Constitution (Number 77) states that, "the Deputy Secretary-General shall be responsible to the Secretary-General; he shall assist the Secretary-General in the performance of his duties and undertake such specific tasks as may be entrusted to him by the Secretary-General. He shall perform the duties of the Secretary-General in the absence of the latter". Article 5 of the Convention (Number 84) states the Secretary-General "may delegate the management of part of these resources to the Deputy Secretary-General".
[25] See C05/41: Report by the Chairman of the Working Group on resolution 108 (Marrakesh, 2002).
[26] See resolution 148 (Antalya, 2006): Tasks and functions of the Deputy Secretary-General.
[27] Service Order 02/14 and, subsequently, 07/01, 15/02.
[28] C15/36: Tasks and functions of the Deputy Secretary-General.

management of the General Secretariat to the Deputy Secretary-General under the authority of the Secretary-General. This would allow the Secretary-General more time to concentrate on the strategic positioning of the organization, and serve as the public voice and highest representative of the Union.

Management committees

Executive management

39.   As a statutory body, the Coordination Committee acts as an internal management team which advises and gives the Secretary-General practical assistance on all administrative, financial, information system and technical cooperation matters that do not fall under the exclusive competence of a particular Sector or of the General Secretariat and on external relations and public information.[29] The analysis of the documentation provided to the Inspectors on the 22 meetings of the Coordination Committee in the period 2012-2014 revealed a strong focus on human resources management, particularly the reclassification, creation and abolition of posts. **In the view of the Inspectors, the Coordination Committee should be a high-level forum where a clear vision and strategic positioning for the entire Union should be defined and a strong internal management culture be developed and maintained.** It may be recalled that, in previous studies on the management and the functioning of the Union, Member States reached a similar conclusion and recommended that the Coordination Committee be consistent with its mandate and devote more of its time to ensuring implementation of the strategic mission and purposes of the Union.[30]

40.   The statutory role of the Coordination Committee gives it important responsibilities in the area of management and administration. Article 6 of the Convention provides that the Coordination Committee shall endeavour to reach conclusions unanimously. Such a decision-making pattern may not always be conducive to proactive, efficient and effective management as highlighted in the 2001 JIU report. During the interviews, the elected officials stressed the current positive dynamics among the members of the Committee and considered that such a pattern of decision-making produces more mature and well-supported decisions and thus ultimately reflects the strength of the Union. Nevertheless, there is an inherent risk of slowing down the decision-making process and/or taking the lowest common denominator approach in building consensus.

41.   The Management Coordination Group (MCG) is the advisory body to the Coordination Committee tasked with exchanging information and views on various policies and activities and agreeing on coordinated approaches to carry them out.[31] Its composition was enlarged in 2015: in addition to the five elected officials, the Group includes all ITU officials at the D-2 level (three deputies to the Bureaux Directors, and the Chief of the Strategic Planning and Membership Department) as well as the Chiefs of the Human Resources and the Finance Departments (at the D-1 level). In the view of ITU management, the MCG provides a broader perspective from the different areas of the organization and brings more coherence to the management of ITU.

42.   The Inspectors reviewed the records of the meetings of the Management Coordination Group from January 2013 to June 2015 (24 meetings) and noted substantive and relevant content in the areas of internal management and procedures and programmes as outlined in its mandate. The documents that were presented and debated in the meetings were informative. In particular, the information-sharing on the status of work conducted by the Council

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[29] Article 26 of the Constitution: Coordination Committee.
[30] See C05/41.
[31] Management Coordination Group, document 97/10: Establishment of the Management Coordination Group, January 2015.

Working Groups and the Sector Advisory Groups is a good practice that should be systematized to foster coherence across the Union. Another good practice observed at the MCG was the systematic review of the list of tasks for action and the regular follow-up on previous decisions.

43.   The Inspectors believe that the residual ambiguity in the relationship between the Coordination Committee and the Management Coordination Group could be clarified. The MCG is described in its terms of reference as an advisory body. However, the records of its meetings contain references to decisions taken in various administrative and management areas, for example, travel policy, reclassification policy, the appraisal system, the creation of special financial funds, strategies for communication and branding, etc. ITU management indicated that the Group could deal with such matters without requiring direct intervention by the Coordination Committee. However, this is not fully aligned with its mandate as an advisory body. According to its terms of reference, the mission of the Group is to prepare advice and recommendations for consideration by the Coordination Committee, yet it was not clear how those were formally adopted at the level of the Coordination Committee.

Other management committees

44.   The General Secretariat has its own Management Committee that advises the Secretary-General and serves as a platform for information exchange on management policies and practices. Its brief terms of reference give it a key role in developing the operational plan and the budget of the General Secretariat, and a role in coordination among the components of the Union.[32] The Inspectors noted that the terms of reference of the General Secretariat Management Committee address issues similar to those of the MCG, using exactly the same wording. They encourage ITU management to take appropriate measures to avoid risks of duplication and overlaps in the management committee framework.

45.   Each Bureau also has its own Management Committee chaired by the Director and comprising staff in the Senior Counsellor category (D-1 and D-2) within the respective Bureau. These committees are not covered by terms of reference. Some officials implied that no formalization was required as the role of these committees in day-to-day management was self-evident. However, staff members participating in the JIU survey made a number of critical comments, for example, as regards the dissemination of information on decisions taken. Introducing terms of reference may help clarify the working procedures of the management committees and the modalities of dissemination of information on decisions.

46.   The following recommendation is expected to improve synergy and complementarity within the framework of ITU management committees.


Recommendation 1

The Secretary-General should review the framework of the management committees to ensure synergy and complementarity and avoid duplication in their mandates, notably by updating the existing, or creating new, terms of reference as necessary.

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[32] See ITU document 121-3Rev, revised in April 2007.

47.   Other statutory committees reporting to the Secretary-General address specific corporate functions and are composed of members from across the Union. Some are based on ITU regulations and rules (i.e., the Joint Advisory Committee, the Appointment and Promotion Board, the Appeal Board and the Contracts Committee) and some on service orders (i.e., the Classification Review Board, the ITU Publications Policy Committee, the Information and Communication Technology Committee (ICTC), the Committee responsible for the examination of the subsidy requests submitted by ITU recognized associations and clubs, and the Management Committee of the ITU Health Insurance Scheme).

Figure 1: Overview of the framework of ITU management committees
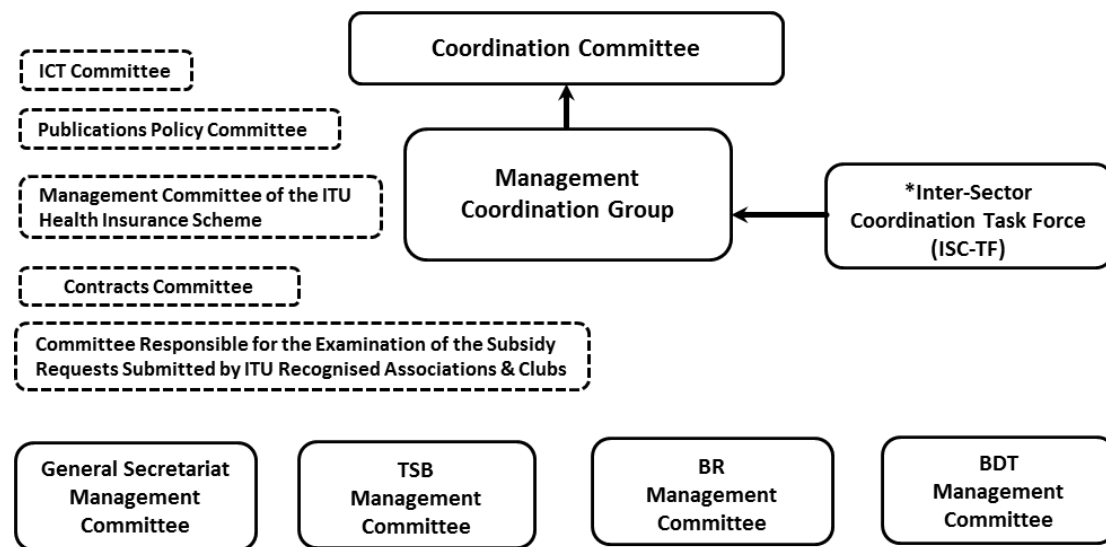
Consolidation of the 9 following groups: Resource Mobilisation; Web Editorial; Climate Change; Events Coordination; Communications; Emergency; Telecommunications; Gender; Bridging the Standards Gap; Accessibility.

Source: prepared by JIU (2015).

B.   General management and administration

48.   Under the direction of the Secretary-General, the General Secretariat is tasked with overseeing the corporate management functions and coordinating administrative support services to the Sectors with the objective of ensuring the most efficient and cost-effective use of its resources. The General Secretariat is currently composed of the following departments: the Office of the Secretary-General (Internal Audit and Legal Affairs Units, Ethics Office); Strategic Planning and Membership, Conferences and Publications, Financial Resources Management, Human Resources Management, Information Services, and TELECOM.[33]

49.   Overall, staff members who participated in the JIU survey assessed the quality of the services provided by the General Secretariat as positive. No major deficiencies were mentioned other than individual cases, notably with respect to responsiveness and timeliness.

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[33] See organization chart in annex III.

Table 2: Opinion of ITU staff members on the quality of support services (percentage)

	Very good	Good	Satisfactory	Poor	Very poor	Not a regular user
Finance	19.1	40.3	20.3	3.1	1.7	15.5
ICT	17.9	39.1	23.9	8.2	1.9	9
Travel support	26.8	32.1	17.4	2.4	1.0	20.3
Conference services	17.9	36.7	19.3	1.5	0.5	24.1
Document processing	16.2	39.4	18.4	2.9	0.7	22.4
Procurement	11.6	27.5	22.0	5.1	1.2	32.6
Building management	8.9	28.3	22.5	7.0	2.7	30.6

Source: JIU staff survey (2015).

50.   *Travel:* in 2014, ITU reviewed the rules governing official travel to align it with the United Nations travel policy adopted in 2013.[34] In addition, a revised policy was applied in 2015 pursuant to annex 2 to decision 5 of the 2014 Plenipotentiary Conference on efficiency measures, which further streamlined the procedures applicable to staff travel.[35]

51.   *Procurement:* the overall volume for the procurement of goods and services during 2015 is estimated at CHF 45 million. The procedures are governed either by Service Order 14/06[36] or the Basic rules for procurement of equipment for ITU technical cooperation and assistance project.[37] The responsibility for procurement lies with the Procurement Division, on behalf of all the Sectors and Departments of the Union, with some exceptions (i.e., library purchases, travel and Special Service Agreements). Procurement procedures vary according to the estimated expenses/revenues involved (less than CHF 20,000, less than CHF 50,000, between CHF 50,000 and CHF 100,000, and over CHF 100,000). Service Order 14/06 also includes the terms of reference of the Contracts Committee, which assists the Secretary-General in carrying out financial responsibilities and notably oversees contracts committing expenses equal to or above CHF 50,000.

52.   ITU is a member of the steering committee of the United Nations Global Marketplace,[38] the common procurement portal of the United Nations system which brings together procurement staff and the vendor community. ITU tenders with estimated expenses of more than CHF 20,000 are generally published on the United Nations Global Marketplace.

53.   Some management and administrative functions are also undertaken within the Bureaux, where dedicated staff or organizational units are responsible for human resources and financial management, conference services and documentation management, external communications and resource mobilization, as well as ICT support. The review gathered divergent views on these parallel arrangements. Representatives of the Bureaux considered these arrangements as an appropriate way to manage sectoral resources and to better support their activities, guaranteeing the Sectors' interests and specificities. On the other hand, some interviewees pointed out the risk of duplication of tasks and services. This situation may also

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[34] ST/AI/2013/3 and AMEND.1.

[35] Service Order 13/4: Conditions governing official travel and Service Order 15/09: Processing of travel authorizations forms, laissez-passer and visas and conditions governing travel payments.

[36] Service Order 14/06: Rules and procedures governing the placement of contracts.

[37] Basic rules for procurement of equipment for ITU technical cooperation and assistance project, approved by the Administrative Council in 1968 (revised in 1992).

[38] See www.ungm.org.

raise questions as the staff members concerned report to their line managers within the Bureau, as well as having a functional relationship with their counterpart department in the General Secretariat.

54. The streamlining of management-related functions and administrative and support services is a focus of attention at ITU, particularly at a time of budget constraints and efficiency measures. Drawing a clear line between the respective roles of the General Secretariat and the Bureaux to ensure efficiency, cost-effectiveness of processes and coherence should be among the priorities for the organization. Carrying out an in-depth study of management functions and administrative support services is advisable to assess their relevance from an efficiency and effectiveness perspective. The results should guide ITU executive management in the elaboration of the budget for the biennium 2018-2019, including by drawing conclusions as to whether the present model should be kept or changed. It should help to eliminate possible overlaps and duplication in the functioning of the different components of the General Secretariat and the Bureaux.

55. The following recommendation is expected to enhance the efficiency and effectiveness of management and administrative services within ITU.

Recommendation 2

The Secretary-General should conduct an in-depth analysis of the efficiency and the effectiveness of management functions and administrative support services in all components of the Union, taking into account the specificities and needs of each Sector, and report the results and proposals to the Council in the context of the elaboration of the ITU budget for the biennium 2018-2019.

Internal coordination

56. The Inspectors gathered examples suggesting the need for better coordination among the components of the Union in areas such as, for example, external communication, resource mobilization, event planning and relations with Sector Members. Interviewees underlined some progress in recent years; however, staff members, while providing a working-level perspective, pointed to the persisting difficulties in this regard (see figures 2 and 3).

Figure 2: Responses to the statement "I think there is sufficient coordination *within* the organizational units of the General Secretariat and the ITU Sectors/Bureaux"
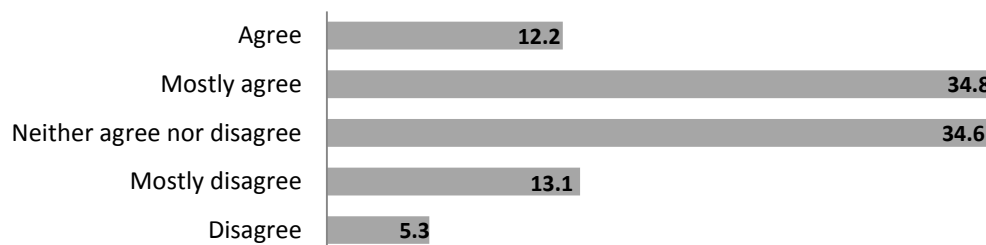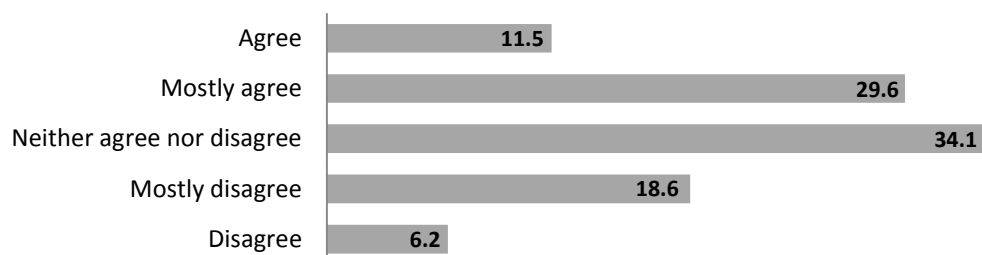
Figure 3: Responses to the statement "I think there is sufficient coordination *between* the organizational units of the General Secretariat and the ITU Sectors/Bureaux"

Category	Value
Agree	11.5
Mostly agree	29.6
Neither agree nor disagree	34.1
Mostly disagree	18.6
Disagree	6.2

Source: JIU staff survey (2015).

57.   While any organization may face the challenge of internal coordination, the ITU structure requires a greater emphasis in this regard. Member States have for many years emphasized the need to avoid the duplication of the Sectors' activities and ensure that work is carried out efficiently, coherently and with optimal use of resources. In particular, resolution 71 (Rev., Busan, 2014) on the Strategic Plan (2016-2019) and resolution 191 (Busan, 2014) included a call for a corporate coordination and cooperation strategy. The Secretary-General presented an initial report on the implementation of the latter resolution, in which he described the steps taken among the General Secretariat and the Sectors as well as the membership.[39] In the Inspectors' view, this should be expanded into a fully-fledged corporate strategy that would include more concrete measures and agreed objectives than those currently presented, and elaborate on the roles, responsibilities and the respective accountability mechanisms to reach these objectives.

58.   Over the years, several task forces, committees and working groups in specific substantive or management and administrative areas have been engaged in the strengthening of coordination among the components of the Union, with some success. In response to resolution 191 (Busan, 2014), ITU management reviewed the existing mechanisms and opted for a centralized approach by creating the Intersectoral Coordination Task Force (ISC-TF) to foster collaboration among the Bureaux and the General Secretariat.[40] ISC-TF is chaired by the Deputy Secretary-General and consists of Deputies to Directors of the Bureaux, Chief of the Strategic Planning and Membership Department, all intersectoral focal points for specific thematic areas, Regional Directors and chiefs of departments of the General Secretariat. Such a composition, according to ITU management, ensures broad expertise and knowledge from all areas of the Union and is expected to bring more concrete achievements.

59.   However, the document presented by ITU management to the Council contains a description of the mandate of ISC-TF only in general terms.[41] No further information on its terms of reference or working procedures was made available. A review of the minutes of its meetings shows that ISC-TF has started to lay the basis for increased collaboration in areas such as communication, event coordination and resource mobilization, including through the establishment of common work plans. It has also considered broader management issues, such as risk management and the follow-up to oversight recommendations.

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[39] See C15/38(Rev.1): Strategy for the coordination of efforts among the three Sectors of the Union.
[40] ISC-TF replaced the following thematic groups of diverse nature, namely: Climate Change, Emergency Telecommunications, Accessibility, Communications, Resource Mobilization, Gender, Events Coordination and Bridging the Standards Gap.
[41] See C15/38 (Rev.1).

60.   **In the Inspectors' opinion, it is important to detail the functions of the ISC-TF in order to differentiate it from existing bodies entrusted with coordination responsibilities. This would help to further enhance its impact and enable it to expand its activities to other areas, in the context of the corporate coordination and cooperation strategy which is to be developed.** In the same spirit, its modus operandi with the Inter-Sectoral Team on Issues of Mutual Interest, created by the Advisory Groups of the Sectors, should be integrated in the strategy, and the relations between the two mechanisms should be clearly framed to ensure synergy of efforts.[42]

61.   The following recommendation is expected to enhance the effectiveness of internal coordination within ITU.

Recommendation 3

The Secretary-General should finalize and present for endorsement by the Council at its 2017 session a coordination and cooperation strategy in areas of mutual interest to the General Secretariat and the three Sectors, as requested by Member States in resolution 191 (Busan, 2014), and report annually to the Council on its implementation.

Accountability framework and delegation of authority

62.   JIU has identified benchmarks for robust accountability frameworks in the organizations of the United Nations system.[43] In recent years, besides its internal control system, ITU has developed or enhanced some core elements that include: delegation of authority instruments, a financial disclosure policy, the revision of performance management tools, the inclusion of risk management in strategic planning, efforts towards the implementation of results-based management, the institutionalization of the Independent Management Advisory Committee, and the introduction of standards of integrity and ethical conduct for staff. These components are at various stages of maturity. Half of the staff members who participated in the JIU survey stated that ITU managers comply with the standards of accountability corresponding to their delegated authority and responsibility.

63.   ITU would benefit from the consolidation and strengthening of the above-mentioned components into a stand-alone formal accountability framework document, to better articulate all the dimensions and mechanisms for accountability in ITU. A number of organizations of the United Nations system, namely, the United Nations Secretariat, International Labour Organization, the United Nations Development Programme, the United Nations Population Fund, the United Nations Children's Fund, the United Nations Office for Project Services and the World Health Organization, have already put in place such a framework. Considering its structure, which provide various degrees of autonomy to the components of the organization, such a step should be of critical concern to ITU. In this context, the Inspectors welcome the review of all service orders undertaken by ITU management in 2015, which led to the abrogation of a series of outdated documents, thus clarifying the overall management and administrative framework.[44]

64.   The 2001 JIU report argued for a comprehensive framework or a single formal instrument defining the general principles on which the delegation of authority is based throughout the Union. Since then, the situation has improved with the issuance of a series of

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[42] The issue was discussed during the October 2015 session of the CWG-FHR.
[43] See JIU/REP/2011/5: Accountability frameworks in the United Nations system.
[44] See Service Order 15/06: Service Orders and office memoranda to be abrogated.

service orders and internal memorandums covering personnel and financial matters, travel authorization and placement of contracts. These documents complement the provisions of the basic texts and the Financial Regulations and Financial Rules, which also contain delegation of authority provisions in general terms.[45] The documents mostly grant authority to Bureaux Directors and chiefs of departments of the General Secretariat in the Senior Counsellor category (D-1 and D-2 levels). ITU management should study the option of lower-level delegated authority that could constitute an effective management mechanism, and entrust more managers with decision-making responsibilities, where appropriate.

65. ITU management indicated that the Directors of the Bureaux are empowered to sign cooperation agreements, protocols and memorandums of understanding, as well as project and partnership agreements relating to their Sectors. The review could not identify official documents giving such authorization, which seems to stem from practice rather than policy.

66. The following recommendation is expected to enhance accountability in ITU.

Recommendation 4

The Secretary-General should further develop and consolidate the core elements of accountability into a stand-alone accountability framework, present it to the Council for endorsement at its 2017 session, and report annually on its implementation.

Internal communication

67. In addition to the service orders and office memorandums, the main internal communication channel from management to staff is the ITU portal. It provides staff members at headquarters and in the field with online facilities to access information according to their profile defined by their function and their role in the hierarchy. The portal was described as an easy and transparent tool for gaining access to ITU-wide information and a key communication tool for management in the General Secretariat and the Bureaux. The Secretary-General also hosts information-sharing town hall meetings.

68. A significant number of respondents to the JIU staff survey underlined internal communication as an area in need of improvement. They called for a more open attitude from management, including more effective communication, greater transparency in management practices and a wider and more consistent dissemination of decisions. **The Inspectors believe that each component of the Union should reassess its internal communication mechanisms in order to ensure that appropriate decisions and information are not only shared with stakeholders but also cascaded down to mid-level management and the operational levels in a consistent manner to ensure alignment and coordination across ITU.** Transparent communication is a key requirement for effective management as it has a direct impact on the engagement of staff and their level of confidence in management.

69. The high participation rate in the JIU staff survey (63.3 per cent) and the quantity and quality of comments demonstrated that staff members were keen to express their opinions on key aspects of their work and on broader organizational issues. **ITU management should conduct staff surveys at regular intervals and use the results as an internal communication and management tool.**

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[45] See Service Orders 03/17: Delegation of authority in personnel matters at headquarters; 14/03: Delegation of authority for approval of travel authorization; 14/06: Rules and procedures for the placement of contracts; and 14/07: Delegation of authority for approval of expense commitments and invoices.

IV. FINANCIAL FRAMEWORK

A. Financial resources

70.   The Financial Plan adopted by the Plenipotentiary Conference establishes the four-year financial outlook for the Union. This corresponds to two biennial budgets prepared by the General Secretariat and the Bureaux and endorsed by the Council. However, since biennial budgets are formulated on the basis of estimated revenue and the deliverables and activities assigned by the Member States, it is of note that the total of the two approved biennial budgets can be different from the amount forecasted in the Financial Plan. Until the elaboration of the budget for the 2016-2017 biennium, funds from the Reserve Account have been used to compensate for this difference in order to balance the regular biennial budgets.

71.   The financial base of ITU remains modest in comparison to many other United Nations system organizations: the budget for the biennium 2012-2013 amounted to CHF 323.8 million.[46] Figure 4 presents financial data starting with the 2004-2007 financial period showing a slight decline in the amount of approved budgets. For example, the budgets for the period 2004-2007 amounted to a total of CHF 668.3 million, while CHF 654.8 million was recorded for the period 2012-2015 (a decrease of 3.27 per cent).[47]

Figure 4: ITU financial data from 2004-2007 to 2012-2015 in nominal terms (thousands of CHF)
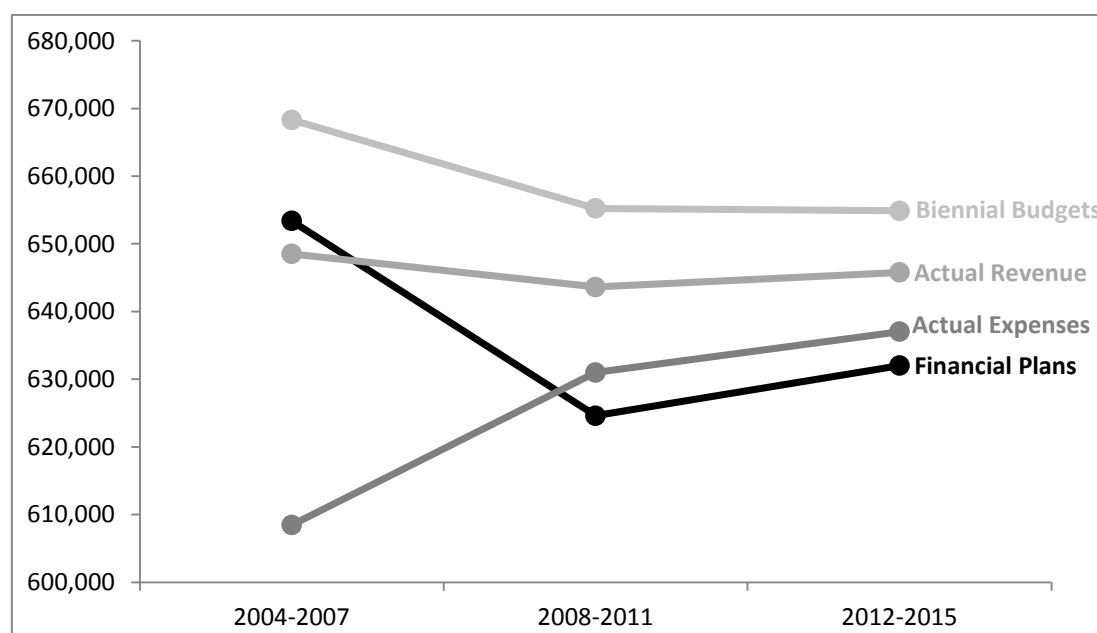
Source: prepared on the basis of information provided by the General Secretariat (see also annex IV (a)).

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[46] Most recent final figures available at the time of the finalization of this report.

[47] The decrease would be even more pronounced (at 5.77 per cent) by comparing the cumulative amount of the budgets for the period 2000-2003 (CHF 674.6 million) with the forecast for 2016-2019 (CHF 635.7 million).

72.   Over this period, the expenses of ITU have grown by 7.2 per cent from CHF 608.2 million (2004-2007) to CHF 637 million (2012-2015, estimates) but have remained consistently lower than budgeted amounts. ITU management asserted that the mandates and costs faced by the Union continue to expand, thereby increasing the need for additional resources to achieve agreed objectives and deliver the expected outputs, despite ongoing efforts to apply efficiency measures and reduce expenses. It further indicated its intention to reverse the trend of steadily increasing expenses so as to stay within the approved financial plan. Another noticeable point is the decline in revenue as actual revenues were consistently lower than those budgeted, which made it necessary for ITU management to align expenses by applying efficiency measures.[48]

73.   During the preparation of the present review, Member States and other stakeholders reiterated their concerns about the financial health of the Union, in particular in the light of the need to finance current and future liabilities and the investments required for the immovable assets. Taking into account these concerns, the Inspectors note the work initiated by the CWG-FHR in October 2015 to define a series of key financial indicators relevant for the Union. **The Inspectors call for further refinement of these indicators that would enable Member States and ITU management to enhance monitoring capacities and help clarify various aspects of the financial situation of the Union.**[49]

B.   Funding model

74.   In the Financial Plan 2012-2015, contributions from Member States represented over 68.25 per cent of ITU resources. This was complemented by the amounts paid by the Sector Members, Associates and Academia as membership fees (10.9 per cent) and by cost recovery (18.3 per cent) (see figure 5). Other sources of funding are negligible, with the exception of the Reserve Account, which has until recently been regularly used to balance biennial budgets.[50]

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[48] To fully assess the financial situation of ITU, the trends described in this section have also to be considered in the light of the inflation rates during the same period. Projections using the inflation rate of the Organization for Economic Cooperation and Development (OECD) reveal a 20 per cent budget diminution, a reduction of expenses by 12 per cent and a decline of income of 17 per cent between the bienniums 2004-2005 and 2014-2015. Real-term figures were estimated applying OECD inflation yearly rates averaged for each biennium from 2004-2005 to 2014-2015, as available on the OECD website. Budget amounts were considered at the beginning of each biennium, while revenue and expenses were considered at the end of each period.

[49] See CWG-FHR 5/6: Financial analysis using key indicators.

[50] Article 33 of the Convention stipulates that a reserve account shall be maintained to provide working capital to meet essential expenditures and to maintain sufficient cash reserves to avoid resorting to loans as far as possible. Furthermore, the Financial Regulations set out the principles governing its management. In 2015, the Reserve stood at CHF 26.3 million (C15/14) which was well above the minimum level of funds set by the Plenipotentiary Conference (at 6 per cent of the total annual expenditures).

Figure 5: Evolution of ITU financial resources by categories of income from the bienniums 2004-2005 to 2014-2015, in nominal terms (thousands of CHF)
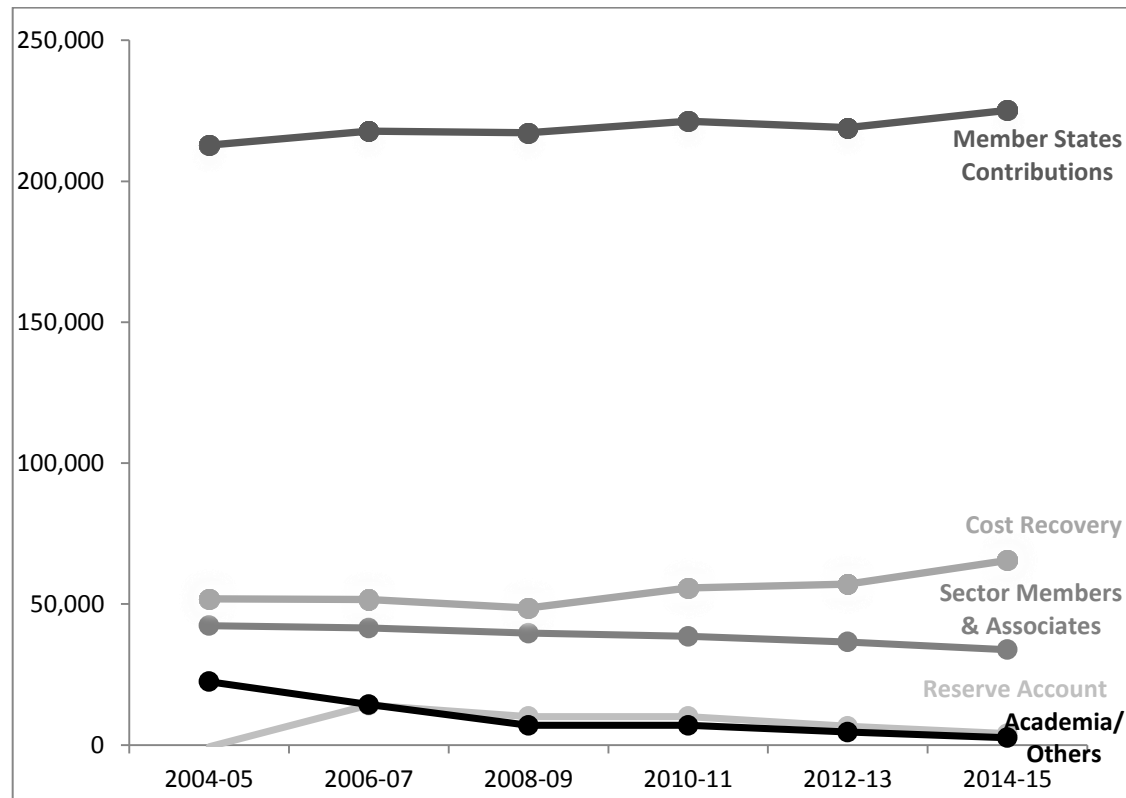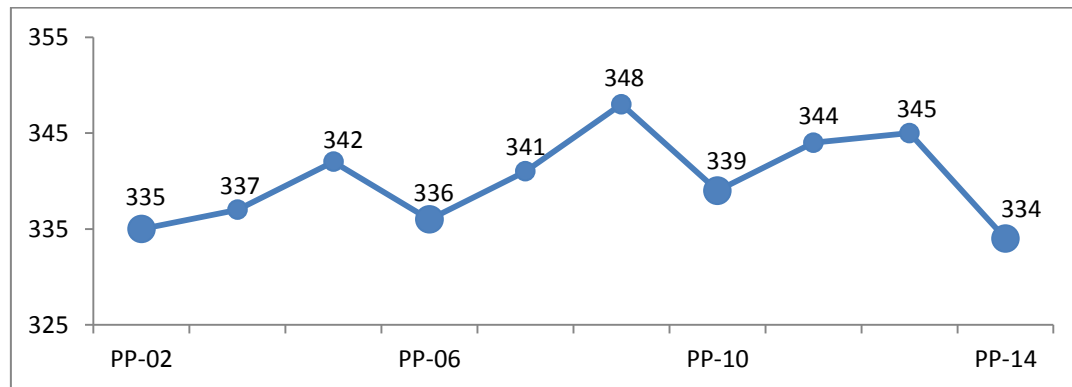

Source: prepared on the basis of information provided by the General Secretariat.

Contributions of Member States

75.   Member States finance the Union on the basis of a system of contributory units offering a choice of different classes. One of the main characteristics of the ITU funding model is to allow its Member States to adjust their financial commitments at each Plenipotentiary Conference for the next financial period. This funding model differs from the system of assessed contributions, where a scale of assessment is approved and revised regularly by the appropriate governing body.

76.   Over the past decade, the level of contributory units pledged by Member States at the Plenipotentiary Conferences has remained more or less stable and has been slightly lower than the number of contributory units actually made available during the subsequent biennial budgetary periods (Figure 6). For example, 334 units pledged at the 2014 Plenipotentiary Conference (which adopted the Financial Plan 2016-2019) reflect a decrease of 4 12/16 units when compared to the commitments in 2010 (Guadalajara). In fact, this represents an even more noticeable reduction of 10 5/8 units considering the number of units actually received (345 1/8) during the biennium 2014-2015. However, keeping in mind the past practice of some Member States to increase their contribution in the course of the bienniums, it is not yet clear if the adoption of the Financial Plan 2016-2019 marks a point at which the support of Member States to the organization starts to decline significantly, as argued by several interviewees. Analysis also shows some evolution in the profile of the main funders: some traditional contributors have reduced their share in recent years, while several emerging economies and Gulf countries have gradually increased their contributions.

Figure 6: Pledges by Member States at successive Plenipotentiary Conferences and number of contributory units made available in subsequent bienniums since 2002

Source: prepared on the basis of information provided by the General Secretariat.

Contributions of Sector Members

77.   The level of contributions of Sector Members is directly related to the number of the members in the various categories. Contributions from Sector Members have been steadily declining during the period under review (from CHF 42.3 million in 2004-2005 to CHF 36.5 million in 2012-2013, and the estimate for 2014-2015 is even lower at CHF 33.8 million). ITU management attributes this trend (a 13.7 per cent drop) to a series of factors, such as industry consolidation and a pronounced shift of the membership to the category of Associates, which pay reduced fees. A major drop in contributions occurred in the period 2007-2011, when the rules governing arrears in membership fees were strictly applied, leading to the exclusion of non-paying entities. The flexibility in the management of the Sectors' membership reintroduced in 2012 helped to slow down the decline and its negative consequences.

78.   ITU management has been analysing reasons for this trend and devising possible measures to stem the decline. This is in line with resolution 187 (Busan, 2014) which instructed the Council to review the structure, benefits and pricing methodologies for Sector membership. The General Secretariat has updated a document originally prepared in 2014 to support the work of the CWG-FHR, which is in the process of reviewing several items, such as a reform of the fees structure and the exemptions granted, the categories of membership and the benefits and rights associated with each of these categories.[51] In the opinion of the Inspectors, these efforts should be intensified with a view to finding innovative and sustainable solutions to broaden the membership of the respective Sectors and thus to expand the financial base of the organization. In fact, ITU has planned more revenue from Sector Members and Associates for the biennium 2016-2017: an assumption of a 5 per cent increase was made and is expected to be reached by active resource mobilization. ITU management indicated that the resources from Academia membership have a strong upward trend.

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[51] See CWG-FHR 5/17, 5/18 and 5/1 on the Comprehensive Report on the Rights, Obligations and Conditions for Participation of Sector Members, Associates and Academia.

Cost recovery

79. Cost recovery represents an important resource for ITU that is governed by resolution 91 (Rev., Guadalajara, 2010). Cost recovery implies project support-cost revenues, sale of publications and the recovery for products and services delivered such as satellite network filing. Cost recovery resources are not allocated directly to a Sector but are centrally managed and accounted to the total revenue of ITU, while budget appropriations are allocated according to each Sector's submissions.

80. Cost recovery resources would generally follow the expansion of services provided. The activities under cost recovery should not be considered as generating profit but a two-tier pricing policy is established whereby Member States, Sector Members and Associates pay a price based on cost recovery, whereas all others, i.e. non-members, pay a market price. ITU management indicated that cost recovery has been instrumental in compensating for the drop in contributions. Hence, the definition of cost recovery activities and the methodology for cost calculation require regular reviews and updates by management and endorsement by the Member States.

Improving financial stability

81. The majority of Member States (60 per cent) indicated, through interviews and surveys, that the current funding model generally ensures the mid-term financial predictability and sustainability of the organization. Only a few dissonant comments were recorded in favour of introducing changes in the funding modalities. Nevertheless, the Inspectors consider that the present model generates uncertainty for the long-term financial stability of the Union since the level of income is difficult to predict beyond the four-year horizon. This funding model could also impose constraints on programmes and projects developed by ITU as the level of commitment by Member States has to be reconfirmed every four years.

82. Introducing greater financial stability and predictability can help ITU to deliver its substantive mandated activities. It would also enable better planning to face some of its long-term financial challenges, such as the renovation of its headquarters or the financing of its liabilities. This would be in line with the request of the Plenipotentiary Conference that the Council study the possibility of establishing mechanisms to afford greater financial stability for ITU and to make recommendations in this regard.[52]

83. For many years, the Plenipotentiary Conference has stressed the need to increase the income of the Union. In 2014, it requested the Secretary-General to study and recommend to the Council, through the CWG-FHR, possible options for generating more revenues. This has not yet been translated into sufficient progress. Only a few concrete proposals have been made, but most of them have not been accepted owing to diverging views of Member States, for example, international numbering systems. After the 2014 Plenipotentiary Conference, ITU management set up an internal group (*Annex 2 of Decision 5 Group*) chaired by the Deputy Secretary-General and tasked it to study potential profit-making activities or services to be offered by ITU with a view to improving the financial situation.

84. As the revenue generation plans have not yielded sufficient results, Member States have favoured active implementation of efficiency and cost-saving measures for improving the financial outlook of ITU. In response, ITU management presented a balanced budget for the biennium 2016-2017 without using resources from the Reserve Account. This was made possible following ITU management efforts to restrict its expenditures, particularly through a series of cost-saving measures in areas identified at the Plenipotentiary Conference in 2010

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[52] See resolution 158 (Rev., Busan, 2014): Financial issues for consideration by the Council.

and 2014.[53] Since staff expenditures account for most of the expenses of the Union, one of the first actionable adjustments in successive budgets focused on the reduction of established posts and on maintaining a 5 per cent vacancy rate.

85. The efficiency measures target different processes and activities, such as financial and administrative support, human resources, event organization, documentation management, number of meetings and related support, among others. However, as stated in the JIU staff survey, cost containment and efficiency measures have put pressure on the workforce and may eventually lead to difficulties in delivering mandates and services. At the same time, officials interviewed acknowledged that there may be other avenues for efficiency measures (increased use of digital items over printed documentation, streamlining or externalizing administrative or transactional processes etc.). The Inspectors encourage ITU management to continue the critical analysis of its internal processes to identify further potential efficiency gains. They stress the need for a strategic and forward-looking approach to this matter. The first management report on the implementation of efficiency measures contained a compilation of actions undertaken or envisaged.[54] In the Inspectors' view, subsequent reports should elaborate further on the rationale supporting such measures, and the assumptions for the estimated savings and their impact on activities and service delivery so that Member States could provide guidance on priority areas where appropriate.

86. The implementation of the following recommendation is expected to enhance the financial base of the Union.

Recommendation 5

The Secretary-General should develop a comprehensive plan to improve the stability and the predictability of the financial base of the Union, integrating options for increasing revenues and cost-saving proposals, and present it to the Council for endorsement at its 2017 session.

C.   Financial management

87. The Financial Resources Management Department (FRMD) plays a central role in ensuring the sound management of ITU financial resources. It is described in the General Secretariat Operational Plan for 2013-2016 as providing strategic guidance on financial, budgetary, accounting and procurement policies, taking into consideration the specific needs of the departments and Bureaux, in accordance with ITU Financial Regulations and Rules.[55] FRMD monitors budget execution and provides quarterly reports to ITU management, which are also available to Member States through the ITU portal.

88. The financial plan and budget elaboration process follows internal guidelines applied by the finance controllers in the Bureaux and departments as well as FRMD in the preparation of the draft budget document, which is validated by the Coordination Committee. The budget is formulated and monitored centrally by FRMD; the financial accounting is also centralized. However, financial management is partially decentralized as finance controllers/officers with budget execution tasks are posted in other General Secretariat departments and within the three Bureaux, entrusted with financial monitoring and control functions on the resources

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[53] Annex 2 to the financial plans of the Union for the periods 2012-2015 and 2016-2019.
[54] See C15/45: Efficiency measures.
[55] See Operational plan of the General Secretariat2013-2016.

allocated to their entity. These officers are placed under the responsibility of their line manager or the Director of the Bureau. This may raise concerns in terms of harmonized and consistent practices, independence and the integrity of control procedures. In the study mentioned in recommendation 2 of the present report, these aspects need to be carefully analysed.

89.   Revenues are consolidated centrally in ITU. Figure 7 shows the disaggregated expenses by the main components of the Union over the recent bienniums.[56] It shows that the General Secretariat represented more than 55 per cent of all expenses in 2014-2015 (a percentage that has increased slightly since 2004-2005) as it employs most of the staff to provide a wide range of corporate support services to the Sectors. The expenses of the Sectors remained more or less stable. The expenses of ITU-R have diminished in relative terms in the overall Union expenses (from 22.5 per cent in 2004-2005 to 18.7 per cent in 2014-2015), while ITU-D has increased budgeted expenditure to 19.3 per cent. The share of the budget allocated to ITU-T practically remained the same (7.8 per cent).

Figure 7: Evolution of expenses of the main components of the Union from the bienniums 2004-2005 to 2014-2015 in nominal terms (thousands of CHF)
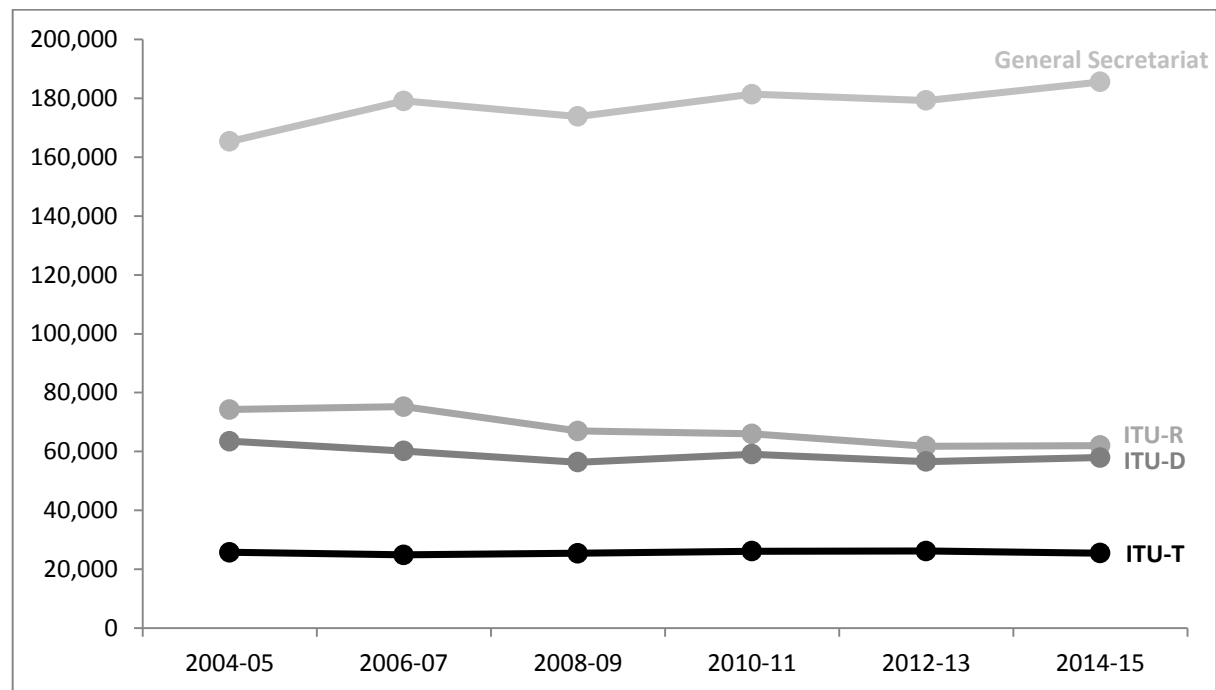
Source: prepared on the basis of information provided by the General Secretariat.

D.   Other financial issues

Extrabudgetary contributions and resource mobilization

90.   Extrabudgetary contributions currently represent a limited share of the overall ITU resources (8.7 per cent in 2014) and have been stable over the past few years (see annex IV (d)). These contributions are made either by Member States or by Sector Members to finance specific projects (funds-in-trust) or to supplement existing funding in a specific Sector without project-earmarking (voluntary contributions). In terms of financial management,

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[56] See also paragraph 113 for a description of the allocation of resources under results-based budgeting.

extrabudgetary contributions are followed up centrally by FRMD, but are managed under the responsibility of the programme managers in the Sectors. ITU-D captures 90 per cent of the funds-in-trust resources, while voluntary contributions are equally shared between the Sectors and the General Secretariat.

91.   The rules, procedures and financial arrangements for voluntary contributions and trust funds are specified in annex 2 to the ITU Financial Regulations. In an internal audit in 2011, certain difficulties were identified regarding policies and procedures in this area, such as the distinction among extrabudgetary contribution categories, follow-up action on pledges, file management and maintenance, etc.[57] ITU management is working to refine and clarify the differences between various categories of extrabudgetary resources and the procedures to be applied from a legal perspective, but also from the perspective of enhanced internal monitoring and control.

92.   At present, extrabudgetary resources are reported only globally in the annual Financial Operating Report. Separate reports on extrabudgetary resources are prepared on the basis of special requests from donors or project agreement requirements. **These reporting modalities should be enhanced to provide reliable and timely detailed quantitative data, as well as specific information on the actions taken with respect to the contributions. Such reporting would be more transparent and in line with article 34 of the Convention and may contribute in attracting additional funding.**

93.   At a time of budget constraints, many units are seeking additional resources and are approaching potential donors to support their project implementation or the organization of events. There was consensus among interviewees that the resource mobilization function could and should be streamlined. The Intersectoral Resources Mobilization Group[58] created in 2014 was disbanded and integrated into ISC-TF, and currently most of the internal work to support cross-ITU coordination on resource mobilization relies mainly on the Customer Relation Management Implementation Group.

94.   **In the opinion of the Inspectors, the current efforts would benefit from an established Corporate Resource Mobilization Strategy outlining the objectives of fundraising for the Union and its components, as indicated in a recent JIU report.**[59] This strategy should define the expected scale of extrabudgetary resources, the scope of activities covered, especially in connection with those included in the strategic and operational plans, and subsequent procedures to be followed to ensure a corporate approach, including roles and responsibilities in the General Secretariat, the Bureaux, the Regional and Area Offices and ITU Telecom. The principles governing sponsorship, which are currently under preparation, should also be embedded in this strategy.

After-service health insurance (ASHI)

95.   Since 2010, ITU financial statements have been drawn up in accordance with the International Public Sector Accounting Standards (IPSAS). ITU liabilities therefore have appeared more prominently in its financial statements and were emphasized by the external auditor as an area to be closely monitored in the medium term. The external auditor also stated that the financial health of the organization was ensured in the short term.[60] The amount reported for after-service health insurance reached CHF 512.7 million by the end of 2014, reflecting a sharp increase compared with previous years, which was driven by all-time low

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[57] See the internal audit report: Audit of voluntary contributions (SG-SGO/IA/11-20).

[58] See Service Order 14/08: Intersectoral Resource Mobilization Group.

[59] JIU/REP/2014/1: An analysis of the resource mobilization function within the United Nations system.

[60] C15/65 and C/14/105(Rev.1): Reports of the External Auditor.

discount rates (a crucial determinant when computing the present value of such a liability) and by the continuous growth of staff medical costs. As a result, a negative net asset of CHF 386 million in 2014 was reported by ITU.

96.   The initial measures taken by ITU management, such as the establishment of a dedicated fund for after-service health insurance (amounting to CHF 7 million in May 2015) and the phasing-out of the ILO health insurance scheme to move to a private insurance company in the Collective Medical Insurance Plan, were assessed as positive by many stakeholders, but raised concerns among the participants of the insurance plan. The Inspectors also noted that these measures go along with the enhanced reporting modalities to keep Member States informed, in particular on proposals to partially fund these liabilities. As recommended by the external auditor, ITU management indicated that a full actuarial study will be performed at the end of 2016 on the basis of data accumulated over three years since the implementation of the Collective Medical Insurance Plan. [61] Other international organizations, such as the International Civil Aviation Organization or the World Trade Organization, have conducted such comprehensive reviews to assess all relevant parameters and their possible evolution over time and envisage measures to constrain and finance these liabilities.

97.   It should be recalled that after-service health insurance liabilities have been a major concern across the United Nations system. The issue has been followed by the United Nations General Assembly for several years. A Working Group headed by the United Nations Secretariat in liaison with the Secretariat of the United Nations System Chief Executives Board for Coordination (CEB) and a specialized consultancy firm has been tasked to identify best practices in funding and managing such liabilities. The report presented to the United Nations General Assembly at its seventieth session contained a number of recommendations for managing after-service health insurance liabilities.[62] ITU management indicated that those developments are being carefully monitored. In that context, the individual features of each United Nations system entity (specificities of medical plans, characteristics of participating members, etc.) should be kept in mind when drawing a comparative analysis. ITU should primarily be guided by the results of the actuarial study when establishing its plan of action and concentrate on its own specificities to propose the most relevant action plan to its Member States.

Headquarters renovation

98.   Another financial challenge for ITU in the years to come relates to the renovation of its headquarters. At present, ITU owns and occupies three buildings in Geneva while the use of the site is granted under a renewable "*droit de superficie*" from the host country. The premises include the Varembe Building (1962), the Tower Building (1973) and the Montbrillant Building (1999). The three buildings were built to the construction standards of the time. It is of concern that both the Tower and Varembe buildings will soon fall short of compliance with the Swiss legal standards, making remedial measures a necessary requirement. Several options have been mentioned, including the relocation of the headquarters, the long-term rental of premises, the construction of replacement buildings and the renovation of the current premises, all of which would have a significant impact on the financial capacity of the Union.

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[61] CWG-FHR 5/7: Contribution by the Secretariat: Follow-up on the recommendations of the External Auditor, September 2015.

[62] A/70/590, see also the reports of the Advisory Committee on Administrative and Budgetary Questions: A/68/550 and A/70/7/Add 42.

99.   A Council Working Group was established following the Plenipotentiary Conference in 2014 to examine the options for the Union's headquarters premises over the long term.[63] It held two meetings in 2015 and one in 2016 to analyse options from a financial and an operational perspective. The recommendations of the Working Group focus on the replacement of Varembé with a new building that would host staff currently working in the Varembé and the Tower buildings as the most cost effective solution. This option includes the selling of the Tower with its surface rights to finance part of the necessary investment based on the readiness of the host country and the local authorities to make the necessary legal adjustments to permit the selling of surface rights and allow economic activity there.

100.   It is beyond the scope of the present review to promote one option over another. However, the Inspectors wish to draw attention to positive steps in the way ITU is addressing this important issue for its future. The dynamics among the participants in the Working Group was described as positive with a good attendance of delegates. The agreed set of guidance and observations transmitted to ITU management constitutes a good example of oversight from Member States directing further steps towards taking well-informed decisions. The dialogue and the interaction between ITU and the host country have also been commendable.

101.   ITU is to enter a major project that will heavily mobilize its time and resources. This will require strong management and appropriate project governance. The Member States should continue to exercise close oversight in this matter, at each stage of the project implementation process. In this context, the Inspectors welcome the recommendations of the Working Group suggesting the creation of a specific governance structure. To ensure cost-effectiveness and the relevance of selected solutions, it is essential that decisions be made on the basis of comprehensive and precise information not only on all financial elements (construction and refurbishment costs, rates for loans, commercial value of the Tower building, etc.), but also on all other potentially related aspects, such as working arrangements for staff, needs of delegates, space management, etc. In this regard, best practices, as identified in the 2014 JIU report on capital/refurbishment/construction projects in the United Nations system organizations, should be taken into account, as appropriate.[64]

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[63] See resolution 194 (Busan, 2014): Options for the Union's headquarters premises over the long term. Further information is available in Plenipotentiary Conference document PP14/57/Rev.1 and Council Working Group documents CWG-HQ 1/3, 2/2-3 and 3/3-5.
[64] JIU/REP/2014/3: Capital/refurbishment/construction projects across the United Nations system organizations.

V.   STRATEGIC PLANNING AND RISK MANAGEMENT

A.   Strategic planning

102.   In the United Nations system, strategic planning is defined as an instrument for identifying and mobilizing all resources available and for setting priorities for their optimal allocation to agreed goals and objectives endorsed by the governing bodies.[65] For ITU, strategic planning is a key function, considering its operational environment (constant advance of technology, competition of international and regional players, etc.).

103.   The ITU strategic planning process takes 16 to 18 months to be completed and is driven by the Council Working Group on the elaboration of the draft Strategic and draft Financial Plan (CWG SP-FP), which seeks the views of a wide range of ITU stakeholders. To prepare the 2016-2019 strategic plan, the CWG SP-FP held four meetings to consider contributions from Member States, Sector Members and Sector Advisory Groups, and inputs from the General Secretariat and the Bureaux. For the first time, the process included public consultations. In their responses to the JIU surveys, Member States expressed satisfaction with the opportunity to contribute to the strategic planning process and the establishment of thematic priorities. Yet, these consultations produced a limited number of proposals. **The Inspectors encourage Member States to participate actively in the work of the CWG SP-FP since the elaboration of the strategic plan is an opportunity to provide vision and guide the work of each component of the Union from a strategic perspective.**

104.   ITU management underlined positive developments in addressing the remarks on the lack of coherence and cohesion of planning expressed in the 2001 JIU report.[66] Currently, the main components of strategic planning are similar to those of other United Nations system organizations: (a) a four-year Strategic Plan and a Financial Plan adopted respectively in resolution 71 and decision 5 of the Plenipotentiary Conference; (b) a biennial budget prepared by the General Secretariat and the Bureaux and adopted by the Council; and (c) annual four-year rolling operational plans developed by each Bureau, with inputs from their respective Advisory Group, and the operational plan of the General Secretariat, with inputs from the Sectors' Advisory Groups, and approved by the Council.

105.   In this context, several difficulties are to be acknowledged. It appears that the current structure and functioning of the Union do not leave much room to improve the alignment of the strategic, financial and budgeting cycles with operational planning. ITU faces the challenge of bringing under one umbrella the objectives and activities of all its components, which work in different cycles (i.e., its governing bodies meet in different years and at different intervals). The annual four-year rolling operational plans have to cover periods included in the strategic and financial framework that are still to be adopted by the Union. Finally, the ITU planning cycle is not fully aligned with the quadrennial comprehensive policy review cycle, and ITU does not report on the indicators of that review.[67]

106.   The consolidation of previously separate plans into one document was a step towards building a more integrated vision for ITU. The comparative analysis of the strategic plans for the periods 2012-2015 and 2016-2019 outlines the inclusion of an ITU-wide perspective and strategic goals as well as intersectoral objectives.[68] The Inspectors welcome the linkage between the strategic goals of the Union and the objectives of each Sector, but note the absence of a sufficient rationale substantiating such linkage that would help to better

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[65] JIU/REP/2012/12: Strategic Planning in the United Nations system.
[66] JIU/REP/2001/3: paragraphs 65 to 100 and Recommendation 8.
[67] A/71/63-E/2016/8.
[68] See annex V.

understand the entire cascading architecture of objectives and goals.[69] In the strategic plan, the targets approved for each strategic goal are often beyond actions attributable to ITU, which complicates the assessment of its performance and achievements. A good practice observed in the elaboration of the 2016-2019 strategic plan was the analysis of the lessons learned from the implementation of the previous strategic plans. The fact that ITU has collaborated with other United Nations system organizations as a member of the Strategic Planning Network since 2013 is a positive development, as the network provides a forum for knowledge-sharing and exchange of best practices.

107. The study of planning and reporting documents confirmed some outstanding difficulties and suggests that the components of the Union may be at different stages of maturity regarding the implementation of results-based management, despite efforts to harmonize the structure of the operational plans. The process generates numerous and lengthy planning and reporting documents that are at times repetitive. The amount of detail and disaggregated data oftentimes affect the clarity of information conveyed to the stakeholders.

108. A perusal of the operational plans points to the trend of presenting a large number of events as outcomes and/or outputs of the Union. This may give a distorted view of the work of ITU and does not sufficiently demonstrate the added value and impact of its activities. In the operational plans, the statements of expected results do not always indicate clear targets and are linked to key performance indicators labelled in general terms, not sufficiently based on measurable elements. As a consequence, the reporting focuses on the description of activities where the achievements are often based on general statements, rather than on the impact of these activities. This contrasts with detailed figures on the allocation of resources by objectives and outputs presented with little rationale sustaining these estimations. **ITU management needs to critically analyse the key performance indicators and reassess whether they accurately measure the results of the work of the organization and its components.**

109. ITU management acknowledged that monitoring and evaluation are performed in a decentralized way (self-evaluation) in each Bureau and in the General Secretariat and are not coordinated. Only in the case of ITU-D did the Inspectors identify a defined procedure for supporting project/programme managers (Project Management Guidelines).[70] Aware of the need to introduce more clarity and consistency, Member States, in resolution 151 (Rev., Busan, 2014), instructed the Secretary-General and the Directors of the Bureaux "to develop a comprehensive performance monitoring and evaluation framework to support the ITU results framework." **The Inspectors stress the need for Member States to closely follow the reporting of each component of the Union, by engaging in a thorough review of the implementation of the strategic plan at the Council.** In that context, the intention of the General Secretariat to enhance the format and the content of the report on the implementation of the strategic plan is a welcome development.[71]

Results-based management

110. In 2010 and 2014, the Plenipotentiary Conference adopted resolutions in which it emphasized the importance of results-based management.[72] Officials interviewed stressed their commitment to implement results-based management and results-based budgeting, acknowledging that it was a "work in progress that requires a change in corporate culture". In

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[69] See table 4 of the Strategic Plan for the Union for 2016-2019.
[70] See ITU-D Project Management Guidelines, July 2013, pp. 23-26.
[71] CWG-FHR 5/26: Format of the annual Council report on the implementation of the ITU Strategic Plan and the Annual Activities.
[72] See resolution 151 (Rev., Busan, 2014): Implementation of results-based management in ITU.

the responses to the JIU survey, 60 per cent of the staff members indicated that they had a basic conceptual understanding of results-based management, even though the training received was assessed as insufficient. One third of the staff in the Professional category was convinced that ITU strategic planning was effective and well supported by results-based management, and less than one third was comfortable that ITU activities were measured with clear and meaningful indicators.

111.   The efforts of ITU management to mainstream results-based management appear to have been primarily focused on the planning process to harmonize existing approaches in the components of the Union and to more systematically integrate the results chain principle in its programmatic work. However, the principles of results-based management are meant to be mainstreamed in all aspects of the organization's undertakings, as underscored by the United Nations Development Group. Furthermore, the benchmarks proposed in the 2006 JIU report state that a comprehensive results-based management strategy should include three main pillars: (a) a planning-programming-budgeting-monitoring-evaluation-reporting cycle; (b) the necessary set of human resources management policies; and (c) the supporting corporate information management systems.[73]

112.   In the area of results-based budgeting, a revised cost allocation methodology was adopted by the Council (decision 535, modified in 2014) to guide the allocation of resources that are necessary to achieve the respective goals and objectives of the Union. The criteria to allocate resources are based on assessments made by the Sectors and departments, using time surveys to capture the human resources needed. This methodology consists of a four-step process to allocate the costs from the organizational units to the objectives and goals of the ITU.[74] A noticeable improvement is that the costs of the General Secretariat services are distributed to the Bureaux and to the intersectoral activities to more accurately reflect resource requirements. ITU management indicated that results-based budgeting performance is monitored and reported on a quarterly basis. The Inspectors are looking forward to the successful implementation of the new methodology to further mainstream results-based management and results-based budgeting in the organization.

B.   Risk management

113.   As an essential element of good governance and accountability, enterprise risk management is a systematic organization-wide approach supporting the achievement of strategic objectives by proactively identifying, assessing, evaluating, prioritizing and controlling risks across the organization.[75] During the review, the Inspectors heard recurring statements that risk management is a priority for ITU, which is addressing risk management in strategic and operational planning processes, with the inclusion of a dedicated section on strategic risks and mitigation measures in the strategic plan (2016-2019) and a risk analysis in the operational plans. While the identification of strategic risks was found pertinent and reflected some concerns expressed by Member States, the mitigation measures appeared to be rather general in nature and less robust.

114.   According to the records of the Coordination Committee and the Management Coordination Group, risk management is not reviewed on a regular basis. Moreover, despite

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[73] See JIU/REP/2006/6: Results-based management in the United Nations in the context of the reform process.
[74] The process is summarized in the appendix of the Council decision 535 (modified 2014).
[75] See JIU/REP/2010/4: Review of enterprise risk management in the United Nations system: benchmarking framework.

increased attention to this issue, ITU does not have a consolidated corporate risk management framework composed of elements such as a corporate risk statement to define the level of risk tolerance and the applicable benchmarks, and a risk manual/register to determine specific roles and responsibilities.

115.   In its response to the JIU questionnaire, ITU management emphasized that risk management and the management of internal controls are an integral part of the overall process of managing operations and, as such, "is the responsibility of ITU managers at all levels". This fragmented approach may result in inconsistencies in the way each component of the Union addresses risk management. The Inspectors are convinced that a more structured approach to enterprise risk management should be adopted. Noting the work undertaken in the context of the ISC-TF, they support the call from IMAC to develop and put in place a comprehensive ITU-wide risk management system.[76]

116.   **The Inspectors stress it is imperative that governing bodies exercise their role in overseeing an effective risk management process.** In their responses to the JIU survey, less than 50 per cent of the members of the Council considered that the main risks faced by the Union and its Sectors and the corresponding mitigation measures were well documented and communicated. The Inspectors believe that, when reviewing the implementation of the strategic and operational plans, members of the Council and members of the Sectors' Advisory Groups should pay utmost attention to risk management and ensure that it is aligned with the best practices of the United Nations system.

117.   The following recommendation is expected to enhance the effectiveness of risk management at ITU.

Recommendation 6

The Secretary-General should finalize and present to the Council for endorsement at its 2017 session, and regularly update thereafter, a risk management policy comprising all the elements of a systematic and comprehensive corporate risk management framework, and report annually to the Council on its implementation.

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[76] C15/22: Fourth annual report of the Independent Management Advisory Committee (2015).

VI.   HUMAN RESOURCES MANAGEMENT

118.   Since the adoption of its resolution 48 in 1994, the Plenipotentiary Conference has developed guidance in the area of human resources management. The Council Working Group on Financial and Human Resources (CWG-FHR) oversees related matters within this framework. The current reporting procedures cover most of the areas listed in annex I to that resolution. [77] The Inspectors found, however, that the reports were too descriptive; they encourage ITU management to further enhance the qualitative analysis to be presented to the Member States.

119.   The management of human resources is exercised through the Human Resources Management Department (HRMD) which contains two separate divisions: (a) the Administration Division, mainly dealing with issues related to salaries, entitlements, benefits, insurance, etc.; and (b) the Planning and Policies Division, in charge of policy development, staff development and issues such as classification and recruitment, among others. It should be noted that the level of expertise of staff members was positively assessed by representatives of Member States and by other categories of stakeholders during interviews and in the surveys.

120.   Personnel-related expenses represented 84 per cent of overall ITU expenditures in 2014. Table 3 shows that, while that percentage has slightly decreased since 2008 as a result of the measures taken by ITU management to stabilize and reduce staff costs, it remains significantly high.

Table 3: Overview of expenditures on personnel by main components of the Union (2008 vs 2014)

	2008	2014
ITU overall expenses (thousands of CHF)	146,424	165,208
ITU employees expenses[78] (thousands of CHF)	125,076	138,826
Percentage of employee expenses against all organizational expenditure	85.4 %	84 %
Percentage of employees expenses (General Secretariat)	83.1 %	84 %
Percentage of employees expenses (ITU-D)	81.6 %	75 %
Percentage of employees expenses (ITU-R)	92.1 %	91.2 %
Percentage of employees expenses (ITU-T)	91.4 %	89.2 %

Source: Financial operating report for the financial year 2014 (C15/50) and information provided by the General Secretariat.

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[77] The main reporting modalities are the report of the Secretary-General on the implementation of the Human Resources Strategic Plan and resolution 48, as well as the Human Resources Reporting and Statistics document submitted to the Council.

[78] Expenditures on personnel cover all remuneration paid to staff members on permanent posts and all staff recruited for conferences or holding short-term contracts, such as base salary, post adjustment, language allowance, non-resident allowance, dependency allowance and overtime, as well as other employee expenses (see note 23 of C15/50).

A. Workforce

121. In 2008, the Council reviewed and amended the Staff Regulations and Staff Rules in order to align its contractual framework with the International Civil Service Commission (ICSC) framework, which is based on three types of contracts: permanent/continuing, fixed-term, or short term/temporary, in the Professional category and above or in the General Service category. This contractual framework was promulgated in Service Order 09/09; at the same time, Service Order 09/06 regulated the use of short-term contracts, which had been widely used in the past.

122. Table 4 contains a comparative analysis of the staffing composition by category in 2010 and 2014. Overall, staffing has declined by 7 per cent (836 in 2010 to 780 in 2014). At the same time, there is a trend towards the professionalization of the workforce, as the ratio of staff in the Professional category compared to staff in the General Service category has increased from 44 to 50 per cent. One can observe a decrease in the ratio between permanent/continuing and fixed-term contracts: in 2010, permanent/continuing contracts represented 72.9 per cent while, in 2014, they represented 62.8 per cent. Finally, a decrease in the use of short-term staff occurred, as ITU management has refocused the use of these contracts predominantly for conference and event support.

Table 4: Overview of ITU staffing, 2010 and 2014, by main categories (in per cent)[79]

	2010	2014	2010/2014
Senior Counsellor category (D-1 and D-2)	19	22	+ 16 %
Professional category	321	369	+ 15 %
Professional category (short-term contracts)	47	24	- 49 %
General Service category	389	347	-11 %
General Service category (short-term contracts)	60	18	-70 %
Total	**836**	**780**	**-7 %**

Source: Human Resources Reporting and Statistics (as of December 2014) (CWG-FHR 4/11).

Geographical representation

123. Unlike a number of other United Nations system organizations, ITU has no formal policy on geographical representation within its workforce in the Professional category. The Inspectors noted that the Tripartite Group on Human Resources Management (predecessor of the CWG-FHR) considered in 2011 a proposal for the introduction of a methodology for calculating geographical representation, but did not reach any agreement on the matter.[80] This

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[79] The years in comparison were chosen to ensure comparability, taking into consideration the contractual modalities implemented in 2009. The ITU workforce is further detailed in annex VI. Figures presented in this section were taken from document CWG-FHR 4/11: Human Resources Reporting and Statistics (2008-2014), February 2015.

[80] See WG-RG-20/14 (Rev.1): Summary report of the Joint Meeting of the Council Working Group on the Financial Regulations and related Financial Management Issues and the Tripartite Group on Human Resources management.

has resulted in a pronounced imbalance in representation of Member States: only 101 out of 193 countries are represented (52 per cent). Moreover, 10 nationalities constitute almost half of the Professional workforce (47 per cent), with nationals from one country accounting for 13.8 per cent. Figures on recent recruitments and promotions did not suggest the prospect for a significant change in the diversity of the workforce in the near future. In the opinion of the Inspectors, defining an adequate methodology based on objective and relevant factors is needed for improving geographical representation.

124.   The need to secure the highest standards of efficiency, competence and integrity of staff members is emphasized in the Basic Instruments as well as the Staff Regulations and Staff Rules. These documents also stress the importance of recruiting on as wide a geographical basis as possible. In resolution 48 (Rev., Busan 2014), Member States underscored the need to improve geographical representation of the staff of the Union. ITU management indicated that this is an important factor considered in the appointment of staff in the Professional category and above.

125.   The Inspectors acknowledge the specificities of ITU, notably the fact that its funding model is not based on assessed contributions usually utilized to define desirable ranges of representation, and that the required professional expertise is not always readily available globally. Nevertheless, they strongly advocate for intensified efforts of ITU management to diversify geographical representation within each component of the Union, in particular from unrepresented countries. The establishment of an action plan with specific targets, timelines and monitoring mechanisms is a necessary first step.

126.   The following recommendation is expected to enhance geographical diversity at ITU.

Recommendation 7

The Secretary-General should develop and present to the Council for endorsement at its 2017 session an action plan with specific targets, indicative timelines and monitoring measures aimed at improving geographical representation in the Professional category and above within each component of the Union, and report annually to the Council on its implementation.

Gender balance

127.   The gender balance of ITU staff has long been identified as an area for improvement. The report of the United Nations Entity for Gender Equality and the Empowerment of Women (UN-Women) on the representation of women ranked ITU low compared to other organizations in the United Nations system.[81] Although women represent 53.1 per cent of staff, they are mainly hired in the General Service category and at junior Professional levels (P-1 and P-2). In other professional grades, women range from 22.2 per cent (at the P-5 level) to 40.8 per cent (at the P-3 level), while the Senior Counsellor category (at the D-1 and D-2 level) displays a totally imbalanced picture. Annex VI (a) contains a detailed comparison of the gender balance within the different components of the Union in 2010 and 2014 by categories and grades.

128.   The Inspectors noted the efforts to improve gender balance across the organization, with the creation in 2012 of a Gender Task Force and the adoption in 2013 of a Gender

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[81] See factsheet, available from www.unwomen.org/~/media/headquarters/attachments/sections/how%20we%20work/unsystemcoordination/data/un/2013-factsheet/itu.pdf.

Equality and Mainstreaming Policy (GEM).[82] ITU management described the measures taken to facilitate a gender-friendly working environment and to improve gender balance among the staff. These included the nomination of a high-level gender focal point, outreach activities, expanded training for current staff members, the revised composition of interview panels and of the Appointment and Promotion Board, as well as enhanced reporting statistics. Those efforts have so far produced modest results. Moreover, the figures on gender distribution in recruitment and promotions in the past four years did not indicate a significant positive trend. However, the Inspectors noted the progress made in the representation of women among professionals within the Telecommunication Standardization Bureau, from 22 per cent in 2008 to 40 per cent in 2014.

129.   There are reasons suggested by ITU management to explain the continuing gender imbalance. One of those is that ITU requires specialized technological expertise that has been traditionally male-dominated. However, that should not preclude a proactive attitude to address the concerns expressed by Member States.[83] The Inspectors therefore call upon ITU management to intensify its efforts, taking into account the lessons learned from the implementation of existing measures and their impact. In particular, the Gender Equality and Mainstreaming Policy should be complemented by an action plan with agreed targets and timelines that would allow the monitoring of gender-oriented measures, and promote the accountability of recruiting decision-makers as provided for in the policy. The terms of reference for the Gender Task Force should also be formalized.

130.   The following recommendation is expected to enhance gender balance at ITU.

Recommendation 8

The Secretary-General should present to the Council for endorsement at its 2017 session an action plan to complement the Gender Equality and Mainstreaming Policy, with specific targets, indicative timelines and monitoring measures to improve gender balance, especially at senior management level, within each component of the Union, and report annually to the Council on its implementation.

Non-staff personnel and consultants

131.   The Special Service Agreement is the contractual modality to hire on a temporary basis technical experts (local or international consultants) to bring in expertise to projects/programmes or to recruit staff when required for conferences and events.[84] Annex VI (c) contains figures on non-staff personnel in 2014 as compiled by ITU management. Total expenses amounted to over CHF 6 million. Various entities of the General Secretariat spent roughly CHF 2.4 million on consulting and translation services. BDT used about CHF 3.4 million; TSB nearly CHF 482,000; and BR approximately CHF 41,000.

132.   In a recent report, the external auditor noted a considerable increase in Special Service Agreements, which was confirmed by the information provided by ITU management. The external auditor questioned the rationale for the use of contractors for ordinary

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[82] In 2013, the Council adopted the ITU Gender Equality and Mainstreaming Policy, in which it endorsed the United Nations system-wide policy on gender equality and the Action Plan on Gender Equality and the Empowerment of Women. See also Service Order 14/09: Gender Policy in ITU.

[83] Reference was made in resolution 48 (Rev., Busan, 2014) to concern over the recruitment of women at the Professional Category and above, especially at the senior levels.

[84] This includes the temporary recruitment of translators, operators in documents processing units, additional logistics and security staff, as well as staff to support the remote participation facilities offered to participants in ITU conferences and meetings.

administrative work and not for filling temporary expertise gaps.[85] The Inspectors concur with the view that the use of such contractual modalities to cover permanent functions is not consistent with the United Nations policies and is not aligned to labour best practices. Moreover, it can represent an obstacle for recruiting qualified employees since these contracts have an uncertain status.

133. The Inspectors requested access to all files of persons hired under Special Service Agreements from September 2014 to March 2015. This represented 189 persons recruited to support various organizational units at headquarters and 186 experts in the field. To make an assessment, the Inspectors reviewed a sample of 30 files in each category. The files examined were generally well maintained and contained basic documentation, such as the request for additional staff from the recruiting unit, a curriculum vitae of the person hired and the authorization of payment from the hiring managers. The files consulted for recruitment at headquarters did not always include terms of reference for the work to be performed, and no evaluation reports were found. On the contrary, the files of consultants in the field systematically contained terms of reference and a brief evaluation report of the work performed. In both cases, the remuneration scheme often took the form of a lump sum agreement that included travel arrangements.

134. The recruitment of non-staff personnel is currently governed by a 2010 memorandum by the Chief of Administration and Finance Department, which contains guiding provisions focusing on remuneration but does not provide a corporate policy. ITU management should formalize a comprehensive policy on the use of non-staff personnel to clarify and harmonize the rules applicable to all related aspects, such as: criteria for use, type of functions admitted or excluded, maximum duration of contract, provisions for extension, provisions for conflict of interest, monitoring and evaluation of work performed, etc. This policy has been under consideration for many years, but is not yet finalized. This should be dealt with as a matter of priority, bearing in mind the significant financial resources spent in hiring non-staff personnel (see annex VI (c)). In the absence of a formal policy, the role of HRMD is limited to the verification of the required qualifications of the hired persons and to the checking of the remuneration granted against the corporate scheme.

135. In line with such a comprehensive policy, enhanced reporting modalities should be introduced. The information regarding the recruitment and conditions of employment of such categories of personnel is currently fragmented across ITU. The Inspectors noted that the various types of consultancy contracts used are based on product delivery, duration of services or daily rates, and as such are challenging to consolidate. The consolidation of precise figures, possibly in the already existing document presenting human resources reporting and statistics, would help ITU management to identify organizational needs and adjust its workforce as and where needed. Such a reporting system would enable the Council to exercise oversight on the use of non-staff personnel through regular reviews.

136. The following recommendation is expected to enhance transparency and accountability in the use of non-staff personnel at ITU.

Recommendation 9

The Secretary-General should develop and present to the Council for endorsement at its 2017 session a comprehensive policy on the use of non-staff personnel and provide to the Council an annual consolidated and analytical report on its implementation within each component of the Union.

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[85] See C15/65: Report of the external auditor on the audit of the financial statements for 2014.

B. Other human resources management issues

Human resources planning

137. The 2010-2015 Human Resources Strategic Plan contained general considerations on key human resources management dimensions for ITU, notably in terms of governance, organizational culture, staffing, career management and staff welfare.[86] In the opinion of the Inspectors, the plan was not sufficient for strategically managing human resources, which is of crucial importance, given that ITU mandates and services require constantly updated skills and expertise. Moreover, the Implementation and Action Plan (as presented in document TGHRM7-2) and the annual report of the Secretary-General on its implementation are mostly descriptive, and do not sufficiently indicate the actions taken to address the deficiencies or to move towards the needed strategic improvements, which are identified in the Plan.

138. The 2016-2019 Human Resources Strategic Plan is currently under preparation for submission and approval by CWG-FHR and, subsequently, the Council. **The Inspectors recommend that an in-depth evaluation be made of the implementation of the current plan, in order to use relevant findings and conclusions as an important input for preparing the next human resources strategic plan**.

Human resources policies and implementation

139. In its decisions 1107 and 1108, the Council provided for flexibility in the management of human resources, in particular in terms of the creation, abolition or reclassification of posts financed from the budget (with the exception of staff in the Senior Counsellor category). The Council no longer approves the staffing table, and managerial flexibility is used under the authority of the Secretary-General to redeploy, adjust and restructure according to operational requirements.[87]

140. Chapter IV of the Staff Regulations and Staff Rules provides guiding principles for recruitment, appointment, transfer and promotion only in broad terms. These are complemented by a number of service orders and by some provisions in the terms of reference of human resources-related statutory committees. To further document these procedures, HRMD drafted a series of guidelines, which are not part of the regulatory framework per se.

141. Figures 8 and 9 show that, while ITU staff rated positively the clarity and the comprehensiveness of the human resources management rules and procedures, the assessment regarding their consistent and transparent implementation was more nuanced. This was perceived by respondents as allowing for differences in treatment of individual cases, thus negatively affecting staff morale. The modest size of ITU, combined with the fact that it is mainly headquarters-based, has produced a specific corporate culture in the management of human resources, which was described as involving frequent direct interactions between individual staff members and senior managers. In this context, the challenge is to ensure effective management under consistent procedures and practices at all levels of the Union. The Inspectors stress the role of HRMD in terms of monitoring the practices of each component of the Union to ensure harmonized implementation of the rules and procedures.

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[86] See C09/56 and Corrigendum: Draft human resources strategic plan.

[87] The Inspectors reviewed a sample of reclassification files and found they contained sufficient rationale to support the decisions taken, notably on the basis of increased responsibilities or complexity of work pertinent to the position.

Figure 8: Responses to the statement "I think ITU has a clear and comprehensive set of rules and procedures in the area of human resources management"
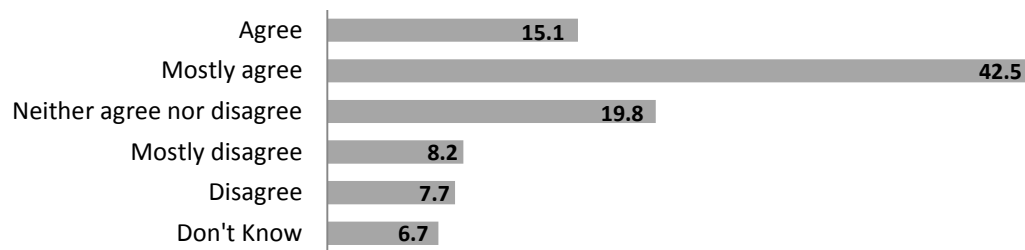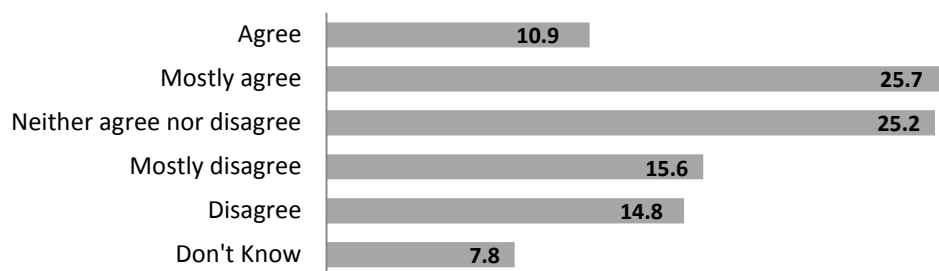
Response	Value
Agree	15.1
Mostly agree	42.5
Neither agree nor disagree	19.8
Mostly disagree	8.2
Disagree	7.7
Don't Know	6.7

Figure 9: Responses to the statement "I think that ITU human resources policies are implemented in a consistent and transparent manner"

Response	Value
Agree	10.9
Mostly agree	25.7
Neither agree nor disagree	25.2
Mostly disagree	15.6
Disagree	14.8
Don't Know	7.8

Source: JIU staff survey (2015).

142.   The Inspectors found that ITU management needs to expand its regulatory framework and consolidate it into a comprehensive human resources handbook. Considering several specificities of ITU human resources processes, such a measure would also be an opportunity to review some aspects of these procedures and bring them closer to generally accepted practices of the United Nations system. One example would be to introduce written tests and/or interviews as mandatory steps in the recruitment process, which is not currently the case.

143.   The following recommendation is expected to enhance transparency and accountability in the management of human resources.

Recommendation 10

The Secretary-General should ensure that human resources processes, such as recruitment, appointment and promotion, are covered by formal procedures included in the regulatory framework and are consolidated by the end of 2017 into a comprehensive human resources handbook.

Performance appraisal

144.   The current procedures governing the performance appraisal of staff members holding permanent/continuous or fixed-term contracts are similar to those in other United Nations system organizations, with some minor exceptions.[88] In the responses to the JIU survey, ITU staff considered the appraisal process as timely, transparent and objective, but questioned its use as a management tool (rewarding good performance or sanctioning underperformers, impact on career development, etc.).

145.   The staff appraisal system has been under review for several years without any final decision. The Coordination Committee and the Management Coordination Group agreed to implement an electronic appraisal system integrated in the enterprise resource planning system (ERP) and the ITU portal. A request for proposal to this effect was issued in 2015. However, the elements outlining the appraisal process remain under discussion. **The Inspectors call upon ITU management to finalize and implement the principles outlining the appraisal system, building on existing internal initiatives such as the revamping of the ITU competency framework and the mainstreaming of results-based management.** According to MCG minutes, ITU management intends to move away from a general personal performance assessment. Instead, each of the three main categories of staff members' plans (objectives, competencies, development) will be assessed separately using a three-level scale, "with the hope that it will motivate staff to perform better".

Mobility

146.   The Human Resources Strategic Plan includes a section on rotation and mobility. In the absence of a formal mobility policy, Service Orders 01/12 (Rev.1) and 12/05 on internal/external secondments provide a basis for staff mobility. In practice, mobility is not developed in ITU as it is a relatively small, highly specialized, headquarters-based organization affording little opportunity for geographical movement, and mobility across Sectors may be limited by technical considerations.[89]

147.   Nevertheless, mobility should be seen as an opportunity for the professional development of staff provided that it is accompanied by adequate measures such as induction programmes, support to staff, etc. At the same time, it is a possible way to improve the cohesion of the Union by providing a window into the Sectors' substantive work and culture to a broader staff. Temporary exchanges of staff could reinforce the capacity of Regional and Area Offices in the spirit of resolution 25 (Rev., Busan 2014), which calls for strengthening the regional presence to better represent the whole of ITU. In that context, the ongoing internal discussions and initiatives to explore innovative avenues for internal and external mobility (including the exchange of personnel with intergovernmental or regional institutions or governmental agencies, the rejuvenation of the Junior Professional programme or secondments to other United Nations system organizations) deserve further attention and formalization, as appropriate.

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[88] See Service Order 08/09: Performance appraisal system (2009).
[89] See Service Order 01/12(Rev.1): Secondments in case of fixed-term posts advertised (revised in January 2013) and Service Order 12/05: Policy on Secondment (2012).

Career development and training

148. The personal promotion scheme has been suspended since 2004.[90] Promotions are granted to staff members either through a competitive recruitment process for newly created or vacant posts or through the reclassification of their positions when specific conditions are met (increased complexity of work, available funding, etc.). The JIU survey collected many comments from staff concerned about limited career development opportunities. Constantly evolving requirements for specialized technical expertise coupled with financial constraints constitute obstacles that may impede staff career development. Still, it is worth noting that ITU provides more opportunities than some other United Nations system organizations for its staff to move from the General Service category to the Professional category.

149. There is currently no set of defined criteria to guide the decision to open a recruitment process to external candidates or to limit it to internal candidates. Hiring managers play a decisive role in this regard, together with HRMD. **In the opinion of the Inspectors, ITU management should develop a set of criteria better defining the rationales for internal versus external recruitment processes.** It would provide better career opportunities for staff members in line with the provisions of resolution 48 (Rev., Busan 2014) which established that "within available financial resources, and to the extent practicable, vacancies should be filled through greater mobility of existing staff" and that "reasonable promotion possibilities must continue to be offered to existing staff".

150. The ITU training budget for 2014 amounted to CHF 461,000, representing less than 0.5 per cent of the staff expenditures, which is lower than the usual ratio in the United Nations system and far below the expectations outlined in resolution 48 (Rev., Busan, 2014), which suggested a target of "three per cent of the budget allocated to staff costs". Three quarters of the training funds are managed centrally by HRMD to organize language training programmes and to support centralized training initiatives or individual training requests for the General Secretariat. The remaining quarter is decentralized within each Bureau's budget, but the Inspectors noted that they had not developed Sectoral training plans to identify expertise gaps and training needs. In addition, the Information Services Department has separate training funds.

151. ITU management described its efforts to support staff to pursue continuous learning as reasonably successful, for example, concerning external e-learning programmes. Nevertheless, staff members flagged training as an area deserving further attention, especially from a field perspective (see figures 10 and 11). ITU has not formalized an organization-wide learning and development policy to articulate all its training programmes in a prioritized and targeted manner. **The Secretary-General should develop and promulgate an organization-wide learning and development policy and present it to the 2017 session of the Council for endorsement.** Such a policy should determine the most appropriate areas and scope of learning, the corresponding delivery methods and the responsibilities of each stakeholder. In order to take into account all the requirements of each component of the Union, a prerequisite would be to conduct a corporate-wide "skills and competencies inventory" to identify the current strengths and weaknesses of the ITU workforce. Such an overarching policy and inventory should serve as the basis for developing the Sectors' training plans, focusing on the respective technical competencies. The Council should be provided with adequate reporting on the implementation of this policy within each component of the Union.

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[90] See Service Order 04/19: Suspension of the personal promotion scheme.

Figure 10: Responses to the statement "The training and development opportunities provided by ITU are adequate to upgrade my skills and competences in order to perform well in my functions"
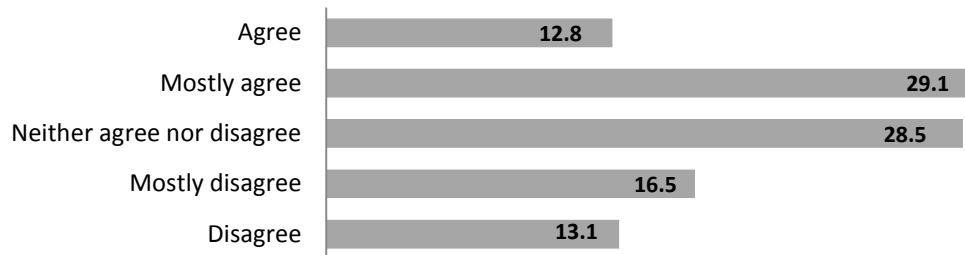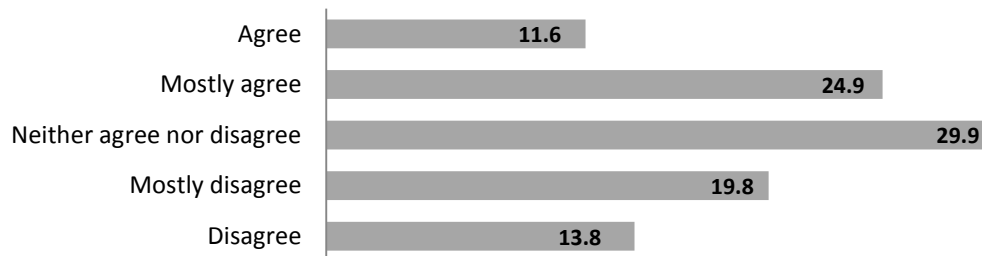
Response	Percentage
Agree	12.8
Mostly agree	29.1
Neither agree nor disagree	28.5
Mostly disagree	16.5
Disagree	13.1

Figure 11: Responses to the statement "The training and development opportunities provided by ITU are adapted to my career development needs"

Response	Percentage
Agree	11.6
Mostly agree	24.9
Neither agree nor disagree	29.9
Mostly disagree	19.8
Disagree	13.8

Source: JIU staff survey 2015.

152.   There is no mandatory learning programme at ITU. **The Inspectors recommend establishing a programme of mandatory training for all staff members based on corporate requirements, therefore creating a common basis of skills and competencies.** Other organizations of the United Nations system usually complement this basis with modules required for particular groups such as senior managers, line managers, staff in technical areas (procurement, human resources, ICT, and so on) or staff deployed in the field. In the same vein, ITU management should also consider setting a minimum number of training days per year for its staff, and include it as an element of the revised performance appraisal system to reinforce continuous learning.

Staff-management relations

153.   According to findings of the JIU review conducted several years ago, the quality of staff-management relations in ITU deteriorated during the period 2009-2012.[91] The overall assessment by the respondents to the JIU staff survey remains critical on some aspects. While the majority of staff members (85 per cent) considered that staff-management relations are currently satisfactory, a significantly lower proportion (35 per cent) found the existing internal mechanisms and procedures effective to prevent and resolve conflicts and grievances. ITU is equipped with the core mechanisms to ensure staff representation and address staff complaints and grievances, but the interviews and staff survey imply that some of these

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[91] For a detailed analysis of the staff-management relations at ITU with historical perspective, see the complementary paper to JIU/REP/2012/10 on staff-management relations in the United Nations specialized agencies and common system, available from the JIU website (www.unjiu.org).

elements are not well known or widely used (in particular the mediation function and the policy on harassment and abuse of authority).

154.   The Inspectors discovered a complex situation regarding staff representation. The Staff Council is recognized by the Staff Regulations and Staff Rules and by the Council as the interlocutor to ITU management that represents staff in the statutory consultative bodies on human resources and staff-related matters (Joint Advisory Committee, Appointment and Promotion Board, Classification Review Board and Appeal Board). The Staff Union, constituted on the basis of freedom of association, voices concerns on human resources matters and provides a range of services to its members. The Staff Council and the Staff Union have both been active over the years, building on their own specificities.

155.   In 2013, the ITU Staff Regulations and Staff Rules were amended; two service orders were issued to clarify the regulatory framework for staff representation.[92] It is hoped that the framework will meet the primary objective of having mechanisms for staff representation that allow for the concerns and grievances of the staff to be addressed in an effective and balanced way. With this objective in mind, it appears that a possible solution would be to have one elected representative body inclusive of all opinions and enabling an effective participatory contribution to the decisions affecting human resources policies and practices. The Inspectors consider this issue a major element in promoting a positive working environment, which ultimately benefits the organization. It may be recalled that Member States had expressed interest in staff-management relations, notably through Council decision 517 (2004, revised 2009) on the strengthening of the dialogue between the Secretary-General and the Staff Council.

Ethics function

156.   In 2002, by issuing Service Order 02/05, ITU adhered to the standards of conduct for the international civil service (see United Nations General Assembly resolution 56/244). ITU management further developed a comprehensive ethics framework for which the main elements are the Code of ethics for ITU personnel (2011), the Policy on financial disclosure (2011) and the Policy for the protection of staff against retaliation for reporting misconduct (whistle-blower policy, 2011).[93] Those policies complement the relevant provisions of the Staff Regulations and Staff Rules on the conduct of staff members. Over time, a series of service orders and office memorandums have been published covering subjects that are related to ethics and conduct of staff in general (harassment, abuse of authority, prevention of sexual harassment, etc.).

157.   The Ethics Officer has a major role to play in guiding the implementation of the principles contained in the above-mentioned documents. In that context, the Inspectors express concern that the position of the Ethics Officer has remained vacant since July 2013. **The Inspectors urge ITU management to expedite the regularization of the ethics function and welcome the signing of a memorandum of understanding with the World Meteorological Organization to establish a shared Ethics Officer for both organizations**.

158.   The appointment of an Ethics Officer must be followed by a new phase of ethics awareness training that should be institutionalized through periodic mandatory corporate training sessions on ethics and integrity for all ITU staff, including managers at all levels.

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[92] See chapter VIII of the ITU Staff Regulations and Staff Rules (specifically Regulation 8.1: Staff representation; Rule 8.1.1: Staff Council; and Rule 8.3.1: Associations and clubs of staff members); and Service Orders 13/2 on Staff Council granting of resources and facilities and 13/03 on criteria and conditions for the recognition of staff associations and clubs.

[93] Issued as Service Orders 11/02, 11/03 and 11/04, respectively.

Mediation function

159.   ITU does not have an Ombudsman to provide impartial assistance in the context of an informal and confidential process of conflict resolution. It established a mediation function in 2001 following a decision of the Council in 1998. Mediation is currently regulated by a 2014 service order, according to which the mediation process is optional and performed by mediators appointed from among current or retired staff members on a voluntary basis.[94]

160.   As acknowledged by the present and past mediators interviewed, and confirmed by the results of the JIU staff survey, the function as performed at present has obvious limitations. Not all staff members are aware of the function and therefore do not make extensive use of this option in resolving their problems: only about 10 cases per year are handled by the mediators, related mostly to relations between staff and supervisors.

161.   **The Inspectors believe that ITU would benefit from a strengthened and more visible mediation function favouring a first resort to informal settlement over formal administration of justice mechanisms for conflict resolution.** Such a function could be beneficial to ITU management in identifying systemic issues and making recommendations to address them.

162.   In addition, taking into account the financial constraints in ITU and the current low number of cases, a possible option could also be to study the possibility of engaging with one or more Geneva-based United Nations system organizations in order to establish a shared ombudsman service based on joint financing.

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[94] See Service Order 14/05: Mediation Function.

VII.   INFORMATION TECHNOLOGY AND INFORMATION MANAGEMENT

163.   The Information Services Department (IS) manages the ICT infrastructure and provides required services to the departments of the General Secretariat and the Sectors. It takes responsibility for the major centralized ICT functions, such as ERP, the web services, the customer relations management system and the ITU portal. It supports remote participation in meetings and manages about 20,000 Telecommunication Information Exchange Service (TIES) accounts. In order to frame its relations with internal clients, the department signs separate service-level agreements to monitor the timeliness and the quality of its services through agreed performance indicators. Besides this department, information technology support services are maintained within each Bureau (for example, BDT has a support unit with four staff at the Professional level).

Regulatory framework

164.   In terms of ICT governance, Service Order 11/06 formally established an organization-wide Information and Communication Technology Committee (ICTC) chaired by the Deputy Secretary-General and comprising representatives of all Sectors and four departments of the General Secretariat (Information Services, Conferences and Publications, Strategic Planning and Membership and Financial Resources Management). Reporting to the Secretary-General, ICTC is a consultative forum for information exchange mandated to monitor the implementation of ICT policy, develop an ICT investment plan and review the progress of ICT projects. ICTC reviews and approves the funding of ICT-related projects, which are financed through the ICT Capital Fund created by the Council in 2001 to finance the development of major information systems (with CHF 1 million budget for the 2014-2015 biennium). During the preparation of the present review, ITU management did not indicate any particular concerns regarding the funding of ICT projects.

165.   The Inspectors noted that separate steering committees with their own terms of reference had been established for recent major ICT-related corporate projects such as the implementation of IPSAS, ERP, the customer relations management system and security enhancements. ITU management indicated that ICTC had not been tasked to take up operational responsibilities and that the rationale for creating such separate committees had been to ensure that specific experience and skills were on board to steer these projects. **Considering the fact that such projects are of a strategic nature, the Inspectors suggest that this expertise be brought within the framework of the ICTC through dedicated working groups (as foreseen in its terms of reference) in order to enhance coherence in ICT governance.** In terms of reporting, in addition to internal audits conducted for each of these projects, information briefings and reports were given to Member States (Council, Council Working Groups, Sectors Advisory Groups) on the organizational impact of these projects. **The Inspectors also invite ITU management to provide detailed reporting to the Member States on the overall project management, bearing in mind that such corporate projects require significant investment over several years**.

166.   ITU revised its Information Technology and Information Management Strategy in 2009 which provides a comprehensive framework for managing ICT skills, information and systems "based on best practices for value and risk management" with reference to relevant International Standardization Organization standards usually adopted by the United Nations system. It further elaborates on the ICT governance principles and on the internal processes and, as a good practice, sets out a quality assurance framework. ITU management should update the strategy and formalize it in a service order to ensure corporate-wide awareness and implementation.

Major information management tools

167.   The ERP system has been gradually introduced since 1988-1989, with the last major update in 2010. It manages some administrative processes in such areas as human resources (payroll, employees and managers self-service) and financial management (accounting, procurement, billing of services). ITU management indicated that a central SAP ERP allows for a global integration of the administrative processes and provides real-time information, while reducing the possibility of redundancy errors. ITU has in place a corporate document management system, which is a central repository for conferences and meeting documentation, ITU recommendations (standards), publications, internal administration documentation, etc.

168.   A 2011 service order on information management recognized information as a vital asset to the organization that must be managed in order to preserve the authenticity, integrity, security, accessibility and reliability of the organizational records over their entire life cycle, regardless of form or medium, created or received by, or on behalf of, the organization.[95] It complements the service order on records and archives management issued in 2001. As acknowledged by ITU management, these should be complemented by policies and guidelines to ensure the implementation of specific record management programmes (classification plans, retention schedules, elimination of records and transfer to corporate archives) across all organizational units of the General Secretariat and the three Sectors. Specific attention should be given to digital records, taking into account the type of information and records created and managed.

169.   Another aspect relates to knowledge created by the components of the Union. The activities carried out by ITU generate a body of knowledge, for example, through the technical work conducted in the Study Groups or the Working Parties or the capacity-building programmes. This knowledge is currently captured in an uncoordinated manner by way of informal procedures and numerous databases, since ITU does not have an organization-wide knowledge management strategy or function in place.

170.   In this context, the Inspectors encourage ITU management, when updating its Information Technology and Information Management Strategy, to consider adopting an integrated approach towards all aspects of information and knowledge management that would bring under one umbrella documents management, records management, knowledge management and ICT management. This would ensure that all projects conducted are developed and implemented with relevant expertise and taking into account all requirements.

171.   Another notable aspect is the participation of ITU in inter-agency coordination. It has a recognized leadership role in several thematic projects, for example, on information security and cyber security. The ITU Secretary-General chairs the ICT-Network of CEB.

172.   The following recommendation is expected to enhance the effectiveness of information technology and information management within ITU.

Recommendation 11

The Secretary-General should present to the Council for endorsement at its 2017 session an updated version of the Information Technology and Information Management Strategy, encompassing all dimensions of information management and report annually to the Council on its implementation.

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[95] Service Order 11/07: Information Management.

VIII.   OVERSIGHT

173.   Internal oversight is mainly conducted by the Internal Audit Unit (IAU). It is supplemented by external oversight mechanisms, which comprise the Independent Management Advisory Committee, the external auditor and the Joint Inspection Unit. Within this oversight framework, the respective roles and responsibilities are delineated by Member States' resolutions and appropriate terms of reference. Good coordination among the oversight bodies has been reported to the Inspectors, notably in terms of work planning and information-sharing.

174.   The Advisory Groups of each Sector and the Council Working Group on Finance and Human Resources also exercise oversight functions. CWG-FHR is currently tasked to review oversight recommendations issued by the external auditor and IMAC, as well as JIU recommendations affecting the management of financial and human resources.

Internal oversight

Internal audit

175.   The Internal Audit Unit is placed under the direct authority of the Secretary-General and is administratively part of his Office. It is responsible for "performing independent audits and inspections to ensure the effective, efficient and economical management and use of the financial, human, technological and intangible resources of ITU".[96] In terms of independence, the position and reporting lines of audit units vary in the United Nations system organizations, mostly according to their size and types of risks faced. Being placed in the office of the executive head is acceptable provided that the head of internal audit has direct access and reports to the governing body, which is the case at ITU.

176.   In addition to the provisions of the ITU Financial Regulations and Financial Rules on internal control and internal audit, the Internal Audit Charter, adopted in 2013, sets out the principles governing audit. The Charter contains the main elements required in line with professional standards and the JIU recommendations on the subject.[97] Noting that the previous version of the document dated back to 1999, **the Inspectors encourage ITU management to review its Internal Audit Charter and the corresponding Financial Regulations and Financial Rules pertaining to internal audit on a more regular basis, i.e., at least every three to five years; moreover, they believe that the Charter should be presented to and approved by the Council.** This would ensure better compliance with professional standards and enhance the independence, role and status of the function within the organization.

177.   The Internal Audit Unit, like most of the audit entities in the United Nations system organizations, uses the International Standards for the Professional Practice of Internal Auditing and the Code of Ethics developed by the Institute of Internal Auditors as the basis for its work. As per good practice, it conducted in 2014 a self-assessment of its audit activity, which was validated by a team of independent external assessors in 2015.[98] The validation team found IAU generally conformed to professional standards, while making several recommendations to strengthen the audit activity, especially in the areas of planning, resource management and risk management. ITU management indicated that measures had been initiated to make progress in these areas. **The Inspectors encourage ITU management to conduct such an independent assessment on a regular basis.**

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[96] See Service Order 13/09: Internal Audit Charter, point 4.
[97] See JIU/REP/2010/5: The audit function in the United Nations system, recommendation 1.
[98] C15/INF/11 (Annex 1): Self-assessment with external independent validation. Internal audit activity, Report of the Independent Validators, February 2015.

178.   The resources allocated to the audit function were found sufficient by IAU to fulfil its mandate. In 2015, it consisted of three posts at the Professional level (one P-5 Head of Unit, one P-3 Internal Auditor and one P-2 Junior Internal Auditor) and one support staff at the General Service level. The internal capacity of IAU has varied over recent years.[99] **The Inspectors believe that the Secretary-General should strengthen the overall capacity of the Internal Audit Unit with a view to enable it to increase its coverage of the critical and major risks faced by the Union, as recommended by IMAC and the external auditor.**

Evaluation

179.   In 2014, in its analysis of the evaluation function in the United Nations system, JIU concluded that there was an absence of structural arrangements for a central evaluation function at ITU.[100] During the interviews, representatives of Member States concurred that the existence of such a function could benefit ITU and enhance its capacity to demonstrate its results and recast its activities, where appropriate. In 2015, the General Secretariat conducted a study to assess the potential benefits and determine resources required for the institutionalization of such a function. As a result, the Management Coordination Group endorsed the proposal to co-locate a central corporate evaluation function within the Internal Audit Unit, which was requested to develop an Evaluation Policy and a work plan, to assess the capacity requirements and to propose further steps for the establishment of the evaluation function. **The Inspectors are aware of the financial implications, but believe that the institutionalization of an evaluation function is a way to contribute to strategic direction-setting, learning and knowledge-sharing within all the components of the Union, provided that it is equipped with professional expertise and sufficient capacity.** The transitional arrangement mentioned above is acceptable; however, the longer term vision should be to link the evaluation function with operational planning, performance monitoring and reporting on achievements.

Investigation

180.   ITU has not created a separate investigation unit and no recent investigation cases have been reported. As per the Internal Audit Charter, IAU is to investigate allegations or presumptions of fraud or mismanagement, in accordance with the Uniform Guidelines for Investigations endorsed in 2009 by the Conference of International Investigators. The ITU policy on harassment and abuse of authority (2005) and the policy for the protection of staff against retaliation for reporting misconduct (2011) are other relevant documents.[101] ITU management reported that HRMD also assumes some responsibility in that regard. This implies that the investigation function is dispersed, which is not aligned with good practices to ensure that formal complaints of discrimination and/or harassment are investigated by professional investigators. There is also no specific investigation policy, in particular detailing the procedures for dealing with cases involving senior managers or elected officials. **The Inspectors believe that ITU management should develop its investigation framework (policy and procedures) and consider suitable options to ensure that investigations are conducted by professional investigators.**

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[99] IAU produced six audit reports in 2015, four in 2014 and four in 2013.

[100] See JIU/REP/2014/6: Analysis of the evaluation function in the United Nation system.

[101] See Service Orders 11/04: ITU Policy for the protection of staff against retaliation for reporting misconduct (2011), and 05/05: ITU Policy on harassment and abuse of authority (2005).

Independent Management Advisory Committee

181.   The Independent Management Advisory Committee was institutionalized as a subsidiary body of the Council by the Plenipotentiary Conference in 2014 after a successful four-year trial period. Like other similar committees in the United Nations system, IMAC serves in "an expert advisory capacity and assists the Council and the Secretary-General in effectively fulfilling their governance responsibilities, including ensuring the functioning of ITU internal control systems, risk management and governance processes, including human resources management".[102]

182.   IMAC reports to the Secretary-General after each meeting and annually to the Council. There was a consensus among representatives of Member States interviewed that IMAC contributed to the strengthening of the governance and oversight framework of the Union. Its reports generated increased attention to key issues related to good governance, risk management, financial integrity and accountability. IMAC addresses recommendations to the Secretary-General (27 since 2011, only a few were reiterated). IMAC members expressed positive comments about the cooperation with ITU management and underlined the progress achieved in recent years in implementing these recommendations. To reinforce this positive trend, IMAC invited the Council in 2015 to approve its recommendations as a way "to encourage effective response and timely action in the interests of enhanced accountability".[103]

External auditor

183.   The Swiss Federal Audit Office performed the external audit function at ITU for some 120 years. Following a selection process conducted by the Secretary-General and an appraisal committee composed of five Member States, the Council appointed the Supreme Audit Institution of Italy, Corte dei Conti, as the external auditor for the financial periods 2012-2013 and 2014-2015. This appointment was confirmed by the 2014 Plenipotentiary Conference. The Inspectors concur with the idea that periodic rotation enhances the external auditor's independence and provides a variety of experience that is beneficial for an organization as indicated in the 2010 JIU report on the audit function in the United Nations system.[104]

184.   The external auditor provided unqualified audit opinions on the ITU financial statements in recent years while emphasizing matters such as negative net assets arising from actuarial liabilities in relation to long-term employee benefits. The external auditor commended management for its responsiveness during the audit review process, as well as for the improvements introduced in the presentation of the financial statements following IPSAS implementation. At its 2015 session, the Council approved the renewal of the mandate of the external auditor for a period of two years for auditing the 2016 and 2017 financial statements.

Joint Inspection Unit

185.   JIU has provided independent external oversight with a focus on system-wide issues to ITU since 1977, when the organization accepted its statute. Resolution 57 (Kyoto, 1994) recognized the useful role of JIU and instructed the Secretary-General to continue to cooperate with JIU and to submit to the Council reports of JIU having a bearing on ITU. It also instructed the Council "to consider JIU reports submitted by the Secretary-General and take action thereof as it deems fit."[105] The Inspectors noted that Member States' instructions

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[102] See resolution 162 (Rev., Busan, 2014) and annex: Independent Management Advisory Committee.
[103] See C15/22: Fourth Annual Report of the Independent Management Advisory Committee.
[104] See JIU/REP/2010/5.
[105] See resolution 57 (Kyoto, 1994): Joint Inspection Unit.

in this regard have not been translated into routine practice, and only recently has ITU management begun to formalize relevant procedures.

186.   Despite a draft scheme prepared by the Secretary-General in 2003,[106] ITU has not entered into a specific agreement with JIU to define and set up the procedures for the consideration of its reports and to ensure follow-up on relevant recommendations. In practice, the only reports and management comments transmitted to the Council were the review of management and administration in the ITU (2001) and the review of the effectiveness of its regional presence (2009).[107] Instead, a brief section of the report of the Secretary-General to the Council on collaboration with the United Nations system provided some indications about other JIU reports and activities.[108]

187.   For many years, ITU has ranked relatively low in terms of acceptance and implementation of recommendations monitored through the JIU web-based tracking system. The recent initiatives to correct these deficiencies are welcome, notably the role given to CWG-FHR to review JIU recommendations, and the update exercise conducted by the General Secretariat to clear the backlog of long-standing pending recommendations. ISC-TF has also put in place an internal procedure to seek inputs from thematic focal points in departments and Sectors concerning JIU recommendations and consolidate them with a view to having them endorsed by the Management Coordination Group. This has resulted in an increased acceptance of recommendations contained in JIU reports issued between 2008 and 2014 from less than 50 per cent to close to 85 per cent in 2015.

188.   **These positive developments should be followed by the institutionalization of a formal mechanism to ensure the proper consideration of JIU reports and their recommendations by the governing bodies, together with comments prepared by ITU management on recommendations addressed to the governing bodies and those addressed to the Secretary-General**. **This would place ITU in line with the provisions of the JIU statute and numerous resolutions of the United Nations General Assembly**.

Oversight products and recommendations

189.   Thematic audit reports are mainly distributed to the Secretary-General, IMAC members and the managers concerned. In addition, the head of the Internal Audit Unit reports annually on internal audit activities to the Secretary-General, IMAC and the Council to present, in general terms, audit assignments and findings, as well as statistics on the implementation status of audit recommendations. In terms of the accessibility to oversight reports, there have been positive developments in recent years, as the reports of IMAC and the external auditors are now made available on the ITU public website.

190.   Internal audit reports are available to Member States upon written request; [109] however, IAU indicated that no such requests had been made in 2014. Some delegates stated that the broad nature of the annual report is not conducive to further inquiries, while some were not fully aware of the procedure to obtain copies of audit reports. This is being

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[106] See C03/36: Report by the Secretary-General: Handling of Joint Inspection Unit reports by the ITU.

[107] See C2001/48: Report by the Secretary-General, Comments on the report by the Joint Inspection Unit and C10/18: Report by the Secretary-General on strengthening the regional presence.

[108] See C15/INF/4: Report by the Secretary-General: Collaboration with the United Nations system.

[109] While such a practice has been adopted by several United Nations system organizations, the trend is now for more public disclosure of oversight products. There are indeed two sides to the argument: one for increased transparency and accountability notably to Member States, and the other is that automatic publication may lead to some self-censorship.

addressed by ITU management, and a new procedure has been proposed by the Secretary-General to streamline the process using the Council Internet site.[110]

191.   ITU management follows a good practice in providing regularly updated information to CWG-FHR on the status of implementation of the recommendations made by the external auditor and IMAC, supplemented by comments on actions taken. This good practice, as a measure to engage Member States in the consideration of oversight findings and recommendations, is welcome. In the same spirit, **the Inspectors believe that the annual reporting by the Internal Audit Unit should become more analytical on its findings and conclusions. Another possible improvement would be to produce a consolidated analysis of subjects covered by recommendations issued by the various oversight bodies that could draw attention to systemic issues and ensure implementation of these recommendations in a holistic manner and serve as a dynamic management tool**.

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[110] See CWG-FHR 5/5: Report by the Secretary-General: Access to final internal audit reports.

IX. REGIONAL PRESENCE

192.	ITU maintains its field presence through 13 permanent Regional and Area Offices with 4 staff at the Director level, 31 in the Professional category and 24 General Service posts.[111] Regional Offices are headed by a Regional Director, who reports to the Director of the Telecommunication Development Bureau, and Area Offices are headed by a Professional staff member (at the P-5 level), who reports to the Regional Director. In its 2009 report on the effectiveness of the ITU regional presence, JIU provided a detailed analysis of operational aspects such as human resources and financial management, working procedures between headquarters and the field, programmes and activities, etc.[112] The report was well received by the Council at its 2009 session and used to provide some elements in the drafting of the Plenipotentiary Conference resolution on strengthening the regional presence adopted in 2010. It also guided some aspects of the Telecommunication Development Bureau restructuring in 2011. In the present report, the Inspectors reviewed the ITU regional presence in broad terms.

193.	The general functions and principles of the ITU regional presence were first mapped out in 1994 by Plenipotentiary Conference resolution 25, stressing "the need for enhanced regional presence in order to enable the Telecommunication Development Bureau to carry out more effectively its mission in the field".[113] Member States have consistently refined the content of resolution 25 to outline more precisely the missions and the objectives of the regional presence and to guide its overall operational functioning, at headquarters and in the Regional and Area Offices. This process has not yet reached full maturity. The inputs from representatives of Member States during the preparation of the present review (figures 12 and 13) support the need to further frame the regional presence as a "tool of ITU for working as closely as possible with its membership, serving as a channel for disseminating information on its activities, developing closer ties with regional and subregional organizations and providing technical assistance to countries in special need".[114]

Figure 12: Responses of members of the Council to the question "In your opinion, do the mandates assigned to the ITU regional presence clearly define its roles and objectives?"

Yes, very much	7.1
Yes, partially	28.6
Somewhat	42.9
Not sufficiently	21.4
Not at all	0

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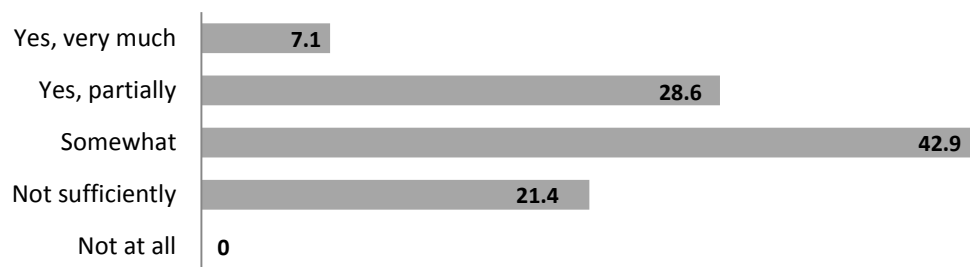
[111] As of 2014. This includes Regional Offices in Addis Ababa (for Africa), Brasilia (for the Americas), Cairo (for the Arab States), Bangkok (for Asia and the Pacific), a Europe Coordination Unit at ITU headquarters (for European countries) and Moscow (for CIS countries); and Area Offices located in Dakar, Harare and Yaoundé; Bridgetown, Santiago, Tegucigalpa and Jakarta. See document C15/25.

[112] JIU/REP/2009/3 and C09/55. In 2010, the Secretary-General presented a report containing information on the implementation of some JIU recommendations (C10/18).

[113] See resolution 25 (Kyoto, 1994).

[114] See resolution 25 (Rev. Busan, 2014).

Figure 13: Responses of representatives of States Members of the Plenipotentiary Conference to the question "In your opinion, do the mandates assigned to the ITU regional presence clearly define its roles and objectives?"
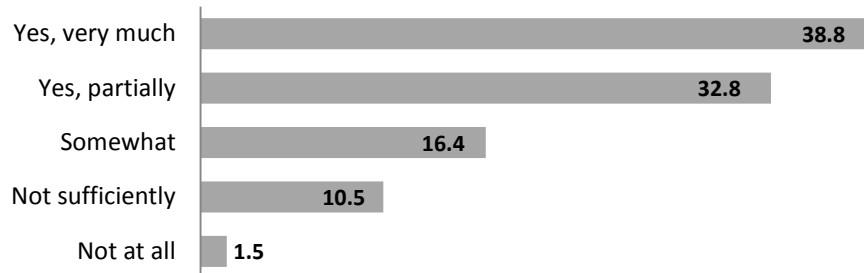
Source: JIU surveys (2015).

194.   There are numerous references by the governing bodies to the role given to the regional presence as representing "One ITU", especially to the effect that activities of Regional Offices and Area Offices should reflect the coordinated objectives of all three Sectors.[115] However, the Inspectors did not see sufficient evidence that those directives have been fully implemented. While the coordination and the exchange of information between Sectors may have improved in recent years to avoid the difficulties that have occurred in the past (duplication of activities, uncoordinated representation, competition between Sectors), the following issues with the regional presence still need to be flagged:

•   In terms of reporting lines: while the role of the Regional Offices should be linked to the activities of all three Sectors, the Regional Directors formally report to the Director of the Telecommunication Development Bureau;

•   In terms of planning: the regional presence is not adequately reflected in the Strategic Plan of the Union. Moreover, the Inspectors noted the absence of references to the regional presence in the operational plans of the Radiocommunication Bureau and the Telecommunication Standardization Bureau or to the expected contribution of the Regional and Area Offices in the realization of their objectives. Similarly, the operational plan of the Telecommunication Development Bureau provides little information to suggest a coordinated approach among Sectors. In general, joint activities or cross-participation should be better identified in the respective operational plans of the Sectors.

•   In terms of capacity: Regional and Area Offices are not sufficiently equipped to support all Sectors' activities, despite some reinforcement in 2011-2012. The Secretary-General and the Directors of the Bureaux should explore opportunities and practical ways to reinforce adequate professional specialized expertise within the Regional Offices, which could include temporary appointments or secondments from headquarters.

•   In terms of management: internal audit reports drew attention to issues related to administrative and financial management, project management and governance in the Regional Offices.[116] IMAC recommended that the Secretary-General should consider whether the findings, taken as a whole, indicate a need for more rigorous management and oversight in the Regional and Area Offices.

195.   In 1999, the Council outlined the role and functions of the regional presence in its resolution 1143. The activities expected from the regional presence, as provided in its annex,

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[115] See in particular resolution 25 (Rev., Busan, 2014) on strengthening the regional presence.
[116] See, for example, the annual report on internal audit activities provides general information on the audits conducted in various Regional Offices (C15/43, C14/47 and C13/INF/4).

can be interpreted as the general terms of reference for the Regional and Area Offices. However, the Inspectors did not find specific terms of reference for the field entities, with the exception of the Liaison Office in New York, which is not considered part of the regional presence. **In the opinion of the Inspectors, the recommendation made in the 2009 JIU report to the Council "to approve a consolidated and clearly formulated mandate for the ITU regional presence with specific objectives for the regional offices" remains relevant. ITU management should formalize specific terms of reference for each Regional and Area Office that would clarify their respective roles and functions, taking into account the specificities of their regions, the regional initiatives, priorities and conditions of operations.** This would help to define core elements to evaluate their work more accurately and implement resolution 25 (Rev., Busan, 2014) in which Member States requested that an adequate evaluation be made of the ITU regional presence and adopted indicative elements for such an evaluation. It should also be noted that the comprehensive evaluation exercise foreseen by the 2010 Plenipotentiary Conference for presentation to the Council in 2012 has not been conducted.

196.   During the interviews, and through their responses to the JIU survey, members of the Council provided different assessments on the performance of the Regional and Area Offices (see figure 14). It is noteworthy that nearly half of the Sector Members, Associates and Academia (45.7 per cent) refrained from providing their assessment on this subject, probably because of insufficient knowledge of their activities (see figure 15).[117]

Figure 14: Responses of members of the Council to the question "How would you assess the performance of the Regional Offices in representing the Union as a whole?"
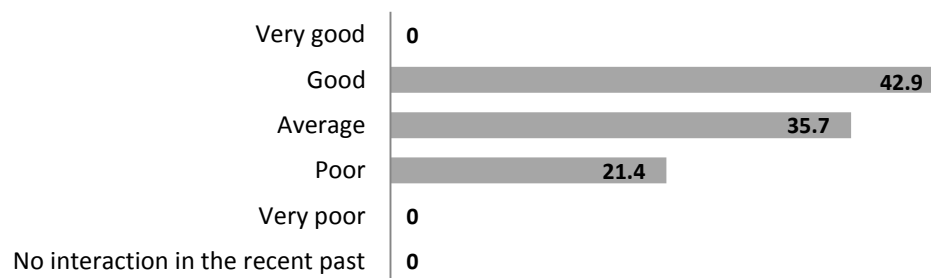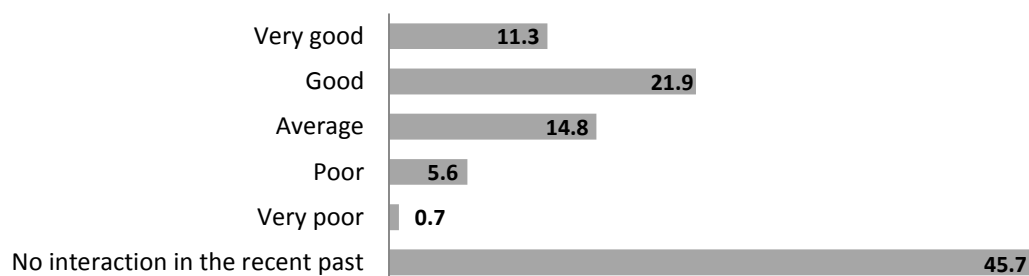

Figure 15: Responses of representatives of Sector Members, Associates and Academia to the question "What has been your experience when interacting with the Regional/Area Offices in providing services to your entity?"

Source: JIU surveys (2015).

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[117] The present assessment is in line with the findings of the 2009 survey conducted by JIU to assess the satisfaction level of Member States with the regional presence (JIU/REP/2009/3, annex I).

197.   The reporting modalities on the regional presence have improved since 2014 (for example, with the inclusion of a section on the activities and achievements at regional level in the report of the Secretary-General), but remain mostly descriptive. Furthermore, the contributions of the Regional and Area Offices are not elaborated well enough in the Telecommunication Development Bureau performance report. **The Inspectors believe that further analysis of the achievements and challenges faced by respective offices should be presented to the stakeholders by ITU management in order to fully identify the lessons learned and the existing good practices to be shared across the regional presence. This would help to better demonstrate the role played by the regional presence and help to raise awareness and support from ITU membership.**

198.   The following recommendation is expected to enhance the effectiveness of the ITU regional presence.

Recommendation 12

The 2018 Plenipotentiary Conference should ensure that the role of the regional presence in achieving "One ITU" is mainstreamed in the Strategic Plan of the Union and the Council should ensure that this role is appropriately cascaded down into the operational plans of each Sector.

Annex I: Structure and governance of the Union
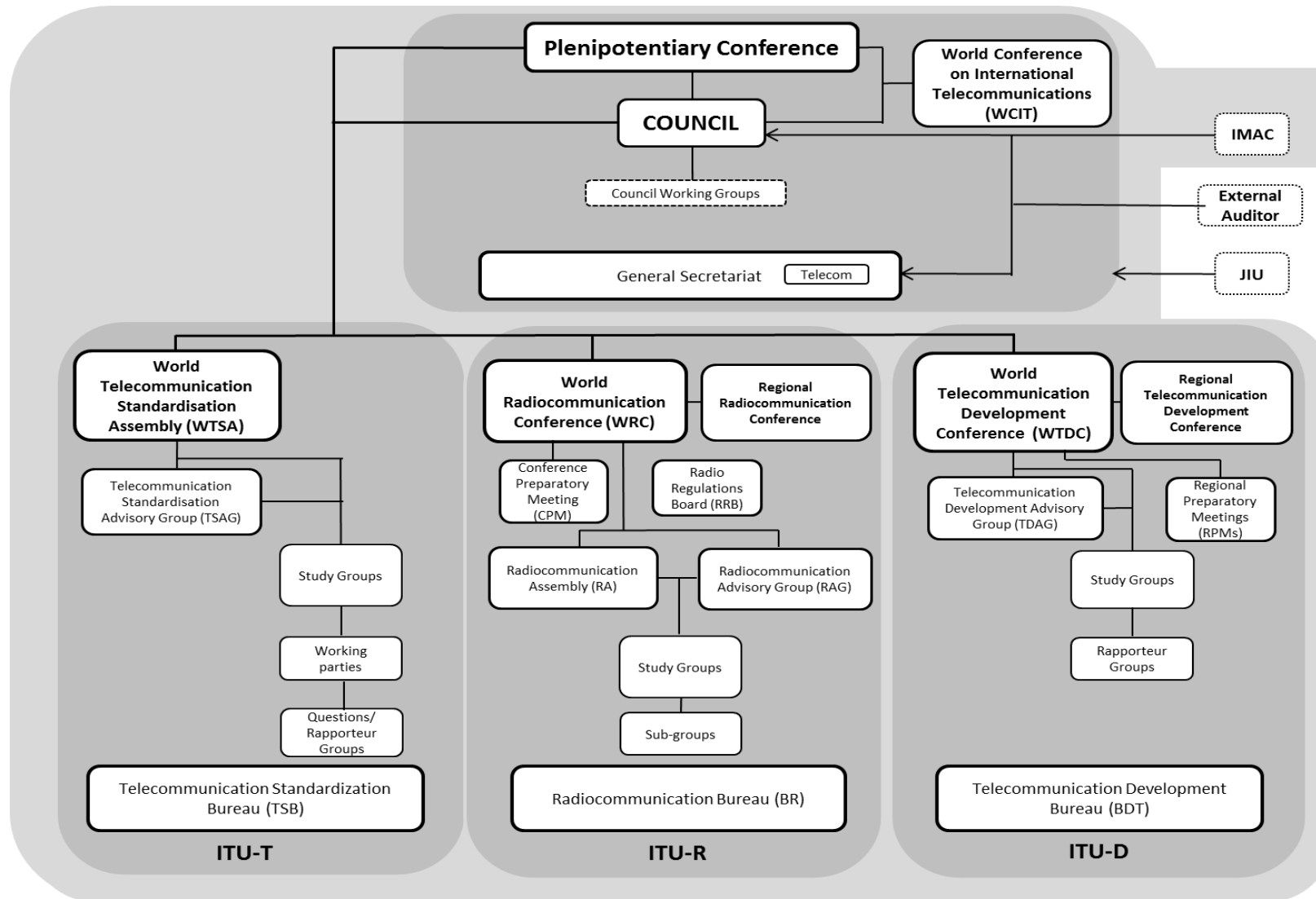
Annex II: Indicative figures concerning ITU main conferences and meetings

		Meetings/year	Days/year	Documents/year	Pages/year	Translation	Interpretation services
Union	Plenipotentiary Conference	1	15	408	6,306	ACEFRS	ACEFRS
	Council	3	10	173	3,768	ACEFRS	ACEFRS
	Council Working Groups	7	10.5	142	3,166	E only	
	CWG SP-FP	2	3	64	320	ACEFRS	ACEFRS
		13	38.5	787	13,560		
ITU-R	World Radiocommunication Conference *(2012)*	1	20	1615	9,604	ACEFRS	ACEFRS
	Radiocommunication Assembly *(2012)*	1	5	209	1,042	ACEFRS	ACEFRS
	Advisory Group	1	4	47	264	ACEFRS	ACEFRS
	Radio Regulations Board	3	15	90	3,365	ACEFRS	EFRS
	World Radiocommunication Seminar	1	2	24	235	ACEFRS	ACEFRS
	Study Groups and Subgroups (Working Parties, JTGs ,TGs, etc.)	39	213	4800	66,376	E only	ACEFRS
		46	259	6,785	80,886		
ITU-T	World Telecommunication Standardization Assembly *(2012)*	1	8	400	5377	ACEFRS	ACEFRS
	Advisory Group/TSAG	1	4	250	106	ACEFRS	ACEFRS
	Study Group/Working Parties	45	216	6413	12,769	ACEFRS	ACEFRS
	Rapporteur Group meetings	342	1,021	NA	NA	E	E
	Other Meetings	82	133		419		
		471	1382	7,063	18,671		
ITU-D	World Telecommunication Development Conference	1	10	802	4,860	ACEFRS	ACEFRS
	Advisory Group	1	3	49	545	ACEFRS	ACEFRS
	Study Groups	1	10	312	690	ACEFRS	ACEFRS
	Rapporteur Group meetings *(2013)*	18	20	356	3307	EF	EF
	Other events (with interpretation in 6 languages)	2	7	NA	NA		ACEFRS
	Other events (with interpretation in 2 languages)	4	15	NA	NA		EF or ES or EA
	Other events (without interpretation)	33	92	NA	NA		
		60	157	1,519	9,402		
Total		**590**	**1836.5**	**16,154**	**122,519**		

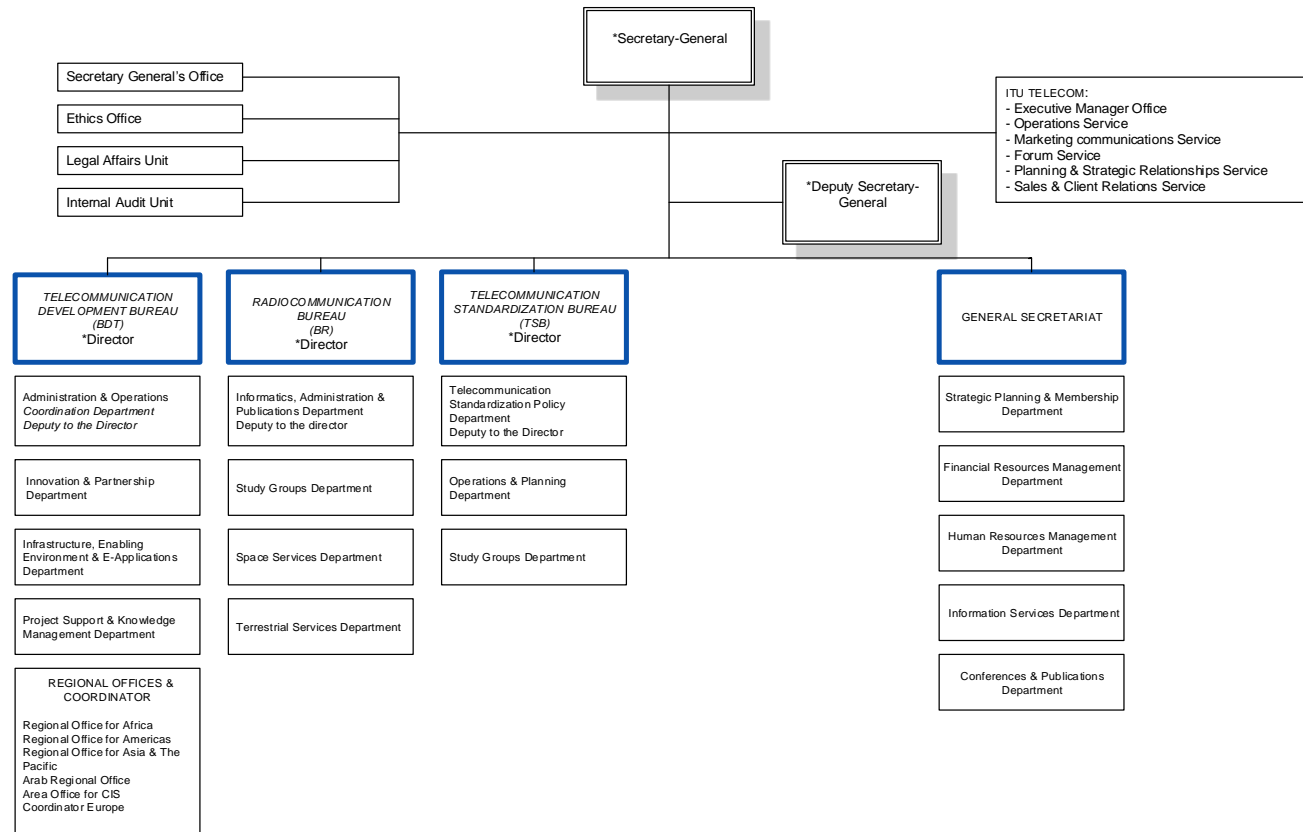*Source*: prepared on the basis of information provided by the General Secretariat.

Annex III: ITU organization chart

Date: 03.02.2016

UNION INTERNATIONALE
DES TÉLÉCOMMUNICATIONS

INTERNATIONAL
TELECOMMUNICATION UNION

*Secretary-General

Secretary General's Office

Ethics Office

Legal Affairs Unit

Internal Audit Unit

ITU TELECOM:
- Executive Manager Office
- Operations Service
- Marketing communications Service
- Forum Service
- Planning & Strategic Relationships Service
- Sales & Client Relations Service

*Deputy Secretary-General

TELECOMMUNICATION DEVELOPMENT BUREAU (BDT)
*Director

Administration & Operations
Coordination Department
Deputy to the Director

Innovation & Partnership Department

Infrastructure, Enabling Environment & E-Applications Department

Project Support & Knowledge Management Department

REGIONAL OFFICES & COORDINATOR

Regional Office for Africa
Regional Office for Americas
Regional Office for Asia & The Pacific
Arab Regional Office
Area Office for CIS
Coordinator Europe

RADIOCOMMUNICATION BUREAU (BR)
*Director

Informatics, Administration & Publications Department
Deputy to the director

Study Groups Department

Space Services Department

Terrestrial Services Department

TELECOMMUNICATION STANDARDIZATION BUREAU (TSB)
*Director

Telecommunication Standardization Policy Department
Deputy to the Director

Operations & Planning Department

Study Groups Department

GENERAL SECRETARIAT

Strategic Planning & Membership Department

Financial Resources Management Department

Human Resources Management Department

Information Services Department

Conferences & Publications Department

*Elected Officials

Annex IV: Financial information

(a) ITU financial data from 2004-2007 to 2012-2015 (thousands of Swiss Francs)

	2004-2007	2008-2011	2012-2015
Financial plan forecast	653,385	624,614	632,007
Biennial budgets	668,307	655,242	654,889
Actual expenses	608,451	630,986	637,028
Actual revenue	648,531	643,635	645,769

(b) ITU revenues by source from 2004-2005 to 2014-2015 (thousands of Swiss Francs)

	2004-05	2006-07	2008-09	2010-11	2012-13	2014-15
Member States contributions	212,822	217,830	217,194	221,328	218,983	225,144
Sector Members and Associates contributions	42,365	41,484	39,700	38,520	36,536	33,811
Cost recovery	51,815	51,615	48,601	55,683	57,100	65,500
Withdrawal and payments reserve account	-587	14,150	10,108	10,108	6,614	4,000
Academia, conference contributions, interests, other income	22,457	14,356	7,000	7,000	4,601	2,600

(c) ITU expenditures by main components of the Union from 2004-2005 to 2014-2015 (thousands of Swiss francs)

	2004-05	2006-07	2008-09	2010-11	2012-13	2014-15
General Secretariat	165,307	179,047	173,778	181,344	179,222	185,515
ITU-R	74,286	75,250	67,009	66,003	61,800	62,059
ITU-T	25,795	24,925	25,450	26,170	26,200	25,529
ITU-D	63,484	60,213	56,366	59,122	56,612	57,952

(d) Extrabudgetary contributions by year from 2010 to 2014 (thousands of Swiss francs)
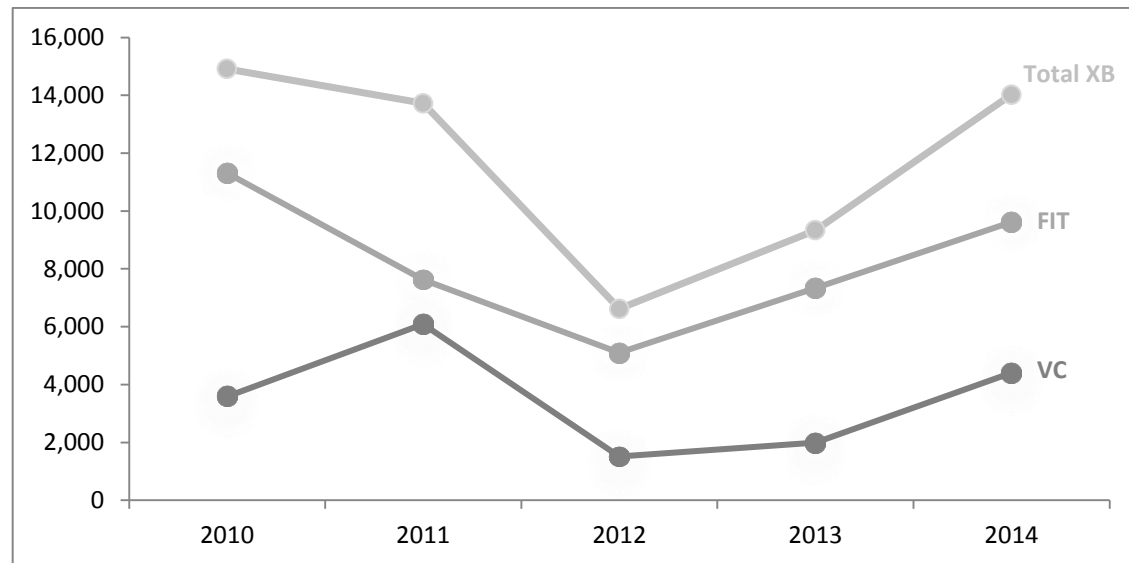
	2010	**2011**	**2012**	**2013**	**2014**
Funds in trust	11,319	7,629	5,104	7,342	9,617
Voluntary contributions	3,592	6,093	1,517	1,991	4,405
Total XB contributions	14,911	13,722	6,621	9,333	14,022
Regular budget	185,577	170,073	179,395	163,532	162,083
Percentage of XB to regular budget	8.0 %	8.1 %	3.7 %	5.7 %	8.7 %

Source: tables and graph prepared on the basis of information provided by the General Secretariat.

Annex V: Main elements of ITU strategic planning (2012-2015 and 2016-2019)

	2012-2015	**2016-2019**
Financial Plan		
Strategic Plan	No ITU-wide goals 3 ITU-R goals (5 objectives) 3 ITU-T goals (4 objectives) 3 ITU-D goals (6 objectives) 1 GS goal (6 objectives)	4 ITU-wide goals 3 ITU-R objectives (15 outcomes) 5 ITU-T objectives (6 outcomes) 5 ITU-D objectives (45 outcomes) 5 intersectoral objectives (7 outcomes)
Biennial budgets	2012-2013: CHF 326,723 (actual) 2014-2015: CHF 331,055 (estimate)	2016-2017: CHF 321,303 (estimate)
Operational plans (rolling on a yearly basis)	Based on 2012-2015 Operational Report: 13 ITU-R outputs (10 expected results, 11 KPIs) 13 ITU-T outputs (10 expected results, 11 KPIs) 34 ITU-D outputs (34 expected results, 32 KPIs) 21 GS outputs (31 expected results, 38 KPIs)	Based on 2015-2018 Operational Report: 14 ITU-R outputs 13 ITU-T outputs 15 ITU-D outputs 9 Intersectoral outputs
Overall reporting	*Report of the Secretary-General on the implementation of the Strategic Plan*	*Enhanced report of the Secretary-General on the implementation of the Strategic Plan* will include reporting on the performance of ITU and the progress towards the ITU strategic goals and Sectors' and Intersectoral objectives
Performance reporting	General Secretariat (no performance report) ITU-T (no formal performance report, but activity report of Director of the TSB for each advisory group meeting) ITU-D since 2012 ITU-R since 2007	

Annex VI: Human resources figures

(a) Gender balance at ITU (2010 vs 2014)

		2010					2014			
	F	%	M	%	Subtotal	F	%	M	%	Subtotal
D-2	1	20.00	4	80.00	5	1	25.00	3	75.00	4
D-1	2	14.29	12	85.71	14	2	11.11	16	88.89	18
Total senior counsellor category	3	15.79	16	84.21	19	3	13.64	19	86.36	22
P-5	17	20.48	66	79.52	83	16	22.22	56	77.78	72
P-4	34	35.05	63	64.95	97	44	38.60	70	61.40	114
P-3	49	45.79	58	54.21	107	51	40.80	74	59.20	125
P-2	13	48.15	14	51.85	27	32	61.54	20	38.46	52
P-1	2	50.00	2	50.00	4	5	83.33	1	16.67	6
Total professional level	115	36.16	203	63.84	318	148	40.11	221	59.89	369
G-7	22	88.00	3	12.00	25	17	77.27	5	22.73	22
G-6	88	73.33	32	26.67	120	88	75.21	29	24.79	117
G-5	122	76.25	38	23.75	160	109	76.76	33	23.24	142
G-4	28	54.90	23	45.10	51	23	56.10	18	43.90	41
G-3	14	56.00	11	44.00	25	3	14.29	18	85.71	21
G-2	5	62.50	3	37.50	8	1	25.00	3	75.00	4
Total GS level	279	71.72	110	28.28	389	241	69.45	106	30.55	347
Total all levels	397	54.68	329	45.32	726	392	53.12	346	46.88	738

(b) Comparison of the change in gender balance within each gategory/grade (2010 vs 2014)

	D-2	D-1	P-5	P-4	P-3	P-2	P-1	G-7	G-6	G-5	G-4	G-3	G-2	Overall Total
■ Male	-25.00	33.33%	-15.15	11.11%	27.59%	42.86%	-50.00	66.67%	-9.38%	-13.16	-21.74	63.64%	0.00%	5.17%
■ Female	0.00%	0.00%	-5.88%	29.41%	4.08%	146.15	150.00	-22.73	0.00%	-10.66	-17.86	-78.57	-80.00	-1.26%
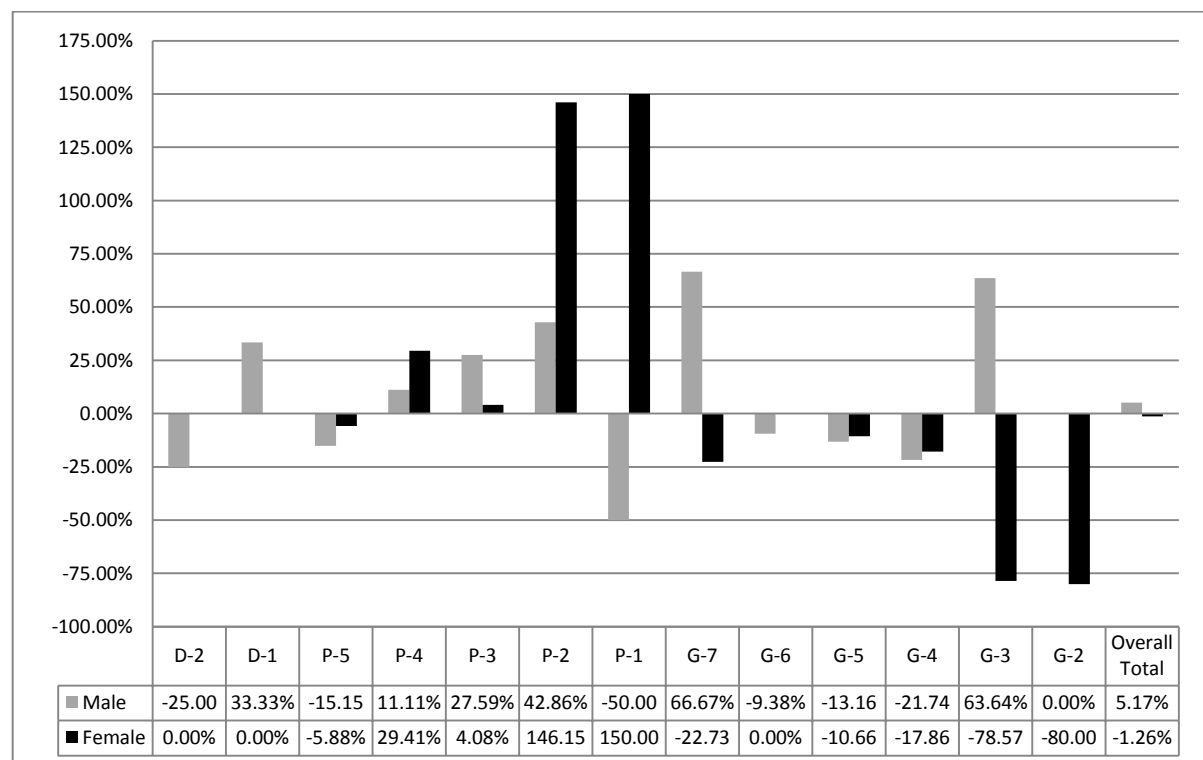
Source: prepared on the basis of information contained in Human Resources Reporting and Statistics (as of December 2014), CWG-FHR 4/11.

(c) Indicative figures for non-staff personnel (2014)

	Consultancy		Translation		Total CHF
	Number of individuals with at least one consulting service contract	Remuneration total amount in CHF	Number of individuals with at least one translation service contract	Remuneration total amount in CHF	
General Secretariat	174	2,121,182.86	31	269,366.75	**2,390,549.61**
SPM	45	735,594.65	7	19,310.00	
Telecom	36	621,370.50			
IS	21	331,268.00			
Miscellaneous*	49	194,719.41			
HRMD	15	130,486.55			
C & P	6	101,134.50	24	250,056.75	
SG Office	2	6,609.25			
Bureaux					**3,963,476.81**
TSB	61	481,766.37			
BR	17	40,803.15			
BDT	297	3,333,104.54	13	107,802.75	
Total		**5,976,856.92**		**377,169.50**	**6,354,026.42****

Source: prepared on the basis of information provided by the General Secretariat (reporting based on number of individuals with at least one service contract in 2014. Individual may have provided services to more than one Sector or General Secretariat Department).

* General Secretariat initiatives paid by extrabudgetary funds, i.e. WSIS, Broadband Commission, Terminology Project, GEMTech awards.

** Payroll and FI Postings = CHF 6,290,552.46. ITU management indicated that the difference of CHF 63,473.96 is due to various negative accounting postings.

Annex VII: JIU online surveys

In accordance with its standard practice for management and administration reviews, JIU sought the views and opinions of the main categories of ITU stakeholders on various aspects covered by the present report. Four surveys were addressed to the following audiences: (a) Member States (one addressed to the members of the Council and the other to the representatives of the States Members of the Plenipotentiary Conference); (b) focal points of Sector Members, Associates and Academia; and (c) all ITU staff members. All surveys comprised multiple-choice questions and open-ended comment questions, which gave participants an opportunity to provide suggestions and qualitative inputs. These surveys brought a rich set of opinions and perceptions that have been used in the present report as appropriate. The participation rate of the surveys was found to be statistically representative of the respective audiences.

Participation in the JIU online surveys (September and October 2015)

	Recipients	Respondents	Participation rate
ITU staff members	754	477 (405 complete)	63.3 %
Sector Members, Associates and Academia	620*	147 (140 complete)	23.7 %
Members of the Council	48	15 (14 complete)	31.9 %
Representatives of States Members of the Plenipotentiary Conference	193	76 (67 complete)	39.4 %

* Figure based on confirmed delivery.

Source: JIU surveys (2015).

Surveys addressed to Member States

Member States were consulted through two separate surveys: as members of the Council (September 2015); and as representatives of States Members of the Plenipotentiary Conference (October 2015). Overall, Member States expressed a positive perception of ITU and the performance of each of its components. There was no significant difference observed in the responses provided by the members of the Council and the representatives of States Members of the Plenipotentiary Conference, with the exception of the assessment of the regional presence, which was more positive in the second survey.

Survey addressed to Sector Members, Associates and Academia

This survey provided insights from the other categories of ITU membership. The feedback was generally positive, even though the absence of responses to some questions highlighted a relative lack of knowledge of some ITU internal processes. The issue of ITU membership fees appeared a sensitive topic and very few stakeholders voiced support for an increase of fees, which are already considered high in relation to the corresponding benefits. Some respondents mentioned the difficulty in producing effective technical work within a political intergovernmental organization, but these were limited.

Survey addressed to ITU staff members

The participation of ITU staff members was remarkable, at headquarters and other locations, and within the various categories shown in the disaggregated figures below. It is worth noting

that one third of participants have 10 years of experience at ITU, therefore providing a long-term perspective and a deeper critical insight into the organization. It is also worth noting that half of the respondents had professional experience in the private sector.

Overall, the working environment was assessed positively in terms of conditions of work, work atmosphere and work-life balance. Nevertheless, a significant number of staff members made recurring comments about management practices across ITU, notably in terms of insufficient consistency and transparency. The managerial capacity of line managers also triggered some strong comments. Statements about understaffing, unequal workload distribution and complaints about perceived risks concerning current flexible working arrangements also attracted many remarks.

Only half of the respondents supported the statement that the organizational structure was functioning effectively and that the responsibilities of the General Secretariat departments and the Bureaux were clearly delineated. Moreover, the same proportion considered that the organization was not undertaking the necessary reforms to improve its effectiveness and efficiency.

Participation by main categories of staff, locations and components of the Union

	Recipients	Respondents	Participation (approximate)*
Senior counsellor category (D1 and D2)	22	10	45.5 %
Professional	369	277	75.1 %
General Service	347	188	54.2 %
Geneva headquarters	674	435	64.5 %
Regional, Area or Liaison Offices	64	42	65.6 %
General Secretariat	395	237	60.0 %
Telecommunication Development Bureau	148	97	65.5 %
Radiocommunication Bureau	134	75	56.0 %
Telecommunication Standardization Bureau	61	50	82.0 %

The approximate participation rate was calculated on the basis of the figures presented in the Human Resources Reporting and Statistics (CWG-FHR 4/11, February 2015).

Source: JIU staff survey (2015).

Annex VIII: Overview of actions to be taken by participating organizations on the recommendations of the Joint Inspection Unit (JIU/REP/2016/1)

		Intended impact	United Nations, its funds and programmes																Specialized agencies and IAEA												
			CEB	United Nations*	UNAIDS	UNCTAD	ITC	UNDP	UNEP	UNFPA	UN-Habitat	UNHCR	UNICEF	UNODC	UNOPS	UNRWA	UN-Women	WFP	FAO	IAEA	ICAO	ILO	IMO	ITU	UNESCO	UNIDO	UNWTO	UPU	WHO	WIPO	WMO
Report	For action		☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	⊠	☐	☐	☐	☐	☐	☐	☐
	For information		⊠	⊠	⊠	⊠	⊠	⊠	⊠	⊠	⊠	⊠	⊠	⊠	⊠	⊠	⊠	⊠	⊠	⊠	⊠	⊠	⊠	☐	⊠	⊠	⊠	⊠	⊠	⊠	⊠
Recommendation 1	E																							d							
Recommendation 2	E																							h							
Recommendation 3	E																							f							
Recommendation 4	E																							a							
Recommendation 5	E																							i							
Recommendation 6	E																							f							
Recommendation 7	E																							b							
Recommendation 8	E																							b							
Recommendation 9	E																							a							
Recommendation 10	E																							a							
Recommendation 11	E																							f							
Recommendation 12	L																							f							

Legend: L: Recommendation for decision by legislative organ   **E:** Recommendation for action by executive head

▨ **:** Recommendation does not require action by this organization

Intended impact: a: enhanced transparency and accountability   **b:** dissemination of good/best practices   **c:** enhanced coordination and cooperation   **d:** strengthened coherence and harmonization   **e:** enhanced control and compliance   **f:** enhanced effectiveness   **g:** significant financial savings   **h:** enhanced efficiency   **i:** other.

* Covers all entities listed in ST/SGB/2002/11 other than UNCTAD, UNODC, UNEP, UN-Habitat, UNHCR, UNRWA.