

UPDATE ON STRATEGIC HUMAN RESOURCES MANAGEMENT ISSUES

Additional documents for this item:

Action required at this meeting—the Programme Coordinating Board is invited to:

Take note of the Update on strategic human resources management issues

Cost implications for the implementation of the decisions: none

I. INTRODUCTION

1. This update provides information on human resources management (HRM) activities undertaken by the Secretariat of the Joint United Nations Programme on HIV/AIDS (UNAIDS) during the reporting period April 2018 to March 2019, in response to the request of the Programme Coordinating Board (PCB) at its 30th meeting in June 2012.
2. The update should be read in conjunction with the *A fit for purpose workforce - UNAIDS in 2018* report, published in May 2019, which contains a range of data, charts and statistics about the UNAIDS workforce as of December 2018, together with trend analysis on the evolution of the workforce over the past few years. The report is intended to be updated and published on an annual basis.
3. Human resources management, or the success with which the Secretariat attracts, nurtures and retains its workforce, has been under the spotlight in the past year following media attention to allegations of harassment, abuse of authority and bullying and the resultant findings in the Independent Expert Panel (IEP) report. This has presented both an opportunity to rethink the way we look after our workforce and embed in the Management Action Plan (MAP) new and creative approaches to human resource management, but also a challenge to ensure that the actions undertaken make a difference to the staff members who work in the Secretariat.
4. In terms of innovative practices, the UNAIDS Secretariat has championed equal rights for all staff members over the past years and was one of the first UN entities to determine personal status of a staff member by reference to the law of the country under which the personal status was established, as opposed to his or her nationality alone. It was also one of the first to introduce a unified parental leave policy and offer 16 weeks of leave to non birth-giving new parents. The inclusion of innovative initiatives in the MAP, such as the option extended to all staff of devoting up to 10% of their working time to strengthen collaboration and innovation within the Secretariat, may also be a model that other UN entities could follow.
5. Since the last update to the PCB on strategic HRM issues, the Secretariat has continued to implement its ambitious agenda across the four pillars of the 2016-2021 HRM Strategy: investing in people, strengthening our performance culture, inspiring collective leadership and ensuring an enabling workplace. A priority in the past six months has been to ensure that HRM activities align with, and support, successful delivery of the MAP and ongoing efforts to uphold dignity, accountability and well-being in the UNAIDS workplace as we move forward with fundamental and critical culture change.
6. Of great importance in the further development and delivery of the HRM Strategy are the relationship between the Secretariat and the UNAIDS Staff Association (USSA), and the participation of the HRM Director in the PCB Working Group (PCB Working Group) to strengthen its monitoring and evaluation role on zero tolerance against harassment, including sexual harassment, bullying and abuse of power at the UNAIDS Secretariat. While management, the USSA and the PCB Working Group may approach these issues from a different angle, all share the same goal – to ensure that UNAIDS is an

environment where staff members feel safe and happy to work, and are supported and empowered to perform to the best of their abilities.

II. OUR WORKFORCE – COMPOSITION AND LOCATION

7. Section one of *A fit for purpose workforce - UNAIDS in 2018* provides an overview of the UNAIDS workforce as of 31 December 2018. Since July 2011, following two strategic organizational realignments and streamlining of functions, the number of staff members has decreased by approximately one quarter to the present total of 680. The reduction has been consistent across all categories – Professional (P), National Professional Officers (NPO) and General Service (GS) staff, with the percentage of P staff members remaining consistent at just under 50%. In all categories, UNAIDS has a relatively stable workforce, with 95% of staff members holding fixed-term contracts and temporary staff utilised mainly for time-bound, project-related assignments.
8. Eighty-six (86%) of the Secretariat's P staff members are graded at the Professional level (P1 – P5), and 14% at the D1 level and above. The highest concentration of P staff members hold a personal grade of P5, a reflection, in part, of the large number of country offices, which are small and headed by a UNAIDS Country Director (UCD) graded at the P5 level. Often the UCD is the only professional staff member in the UNAIDS Secretariat country office, convening and working closely with UNAIDS Cosponsor staff in country, and other members of the UN Country Team.
9. Ensuring the calibre of our country directors is a priority for UNAIDS. In 2018, a comprehensive assessment and selection process was undertaken with the support of an external vendor to develop a roster of staff members and external applicants, pre-qualified to serve as UCDs, either at the P5 or D1 level. Following this pilot, which included 257 applicants, the Secretariat is in discussions with the United Nations Development Programme and the International Organization for Migration (IOM) to explore options for joint assessment centres in 2019, which will further develop and refine the process through which UCDs, and potentially other senior managers, are selected for positions. Another outcome of the UCD assessment process has been the establishment of a coaching programme for internal participants to support career development and transition to new roles within the Secretariat.
10. Since 2012, the Secretariat has maintained a target of no less than 70% of staff members deployed outside of Headquarters (HQ) and that target continues to be met. In 2018, 76% of our field-based staff worked in one of the three regions most affected by HIV: Eastern and Southern Africa (32%), Western and Central Africa (26%), and Asia and the Pacific (18%).
11. Staff mobility remains of critical importance to ensure versatility and flexibility of the workforce; facilitate the development, exchange and transfer of skills and knowledge across the Secretariat; and to meet our duty-of-care obligations to staff members, particularly those based in hardship duty stations. In the 2018/19 mobility exercise, 45 staff members were considered for re-assignment and 31 moves were endorsed by the Executive Director (EXD) following recommendations of the Mobility and Reassignment Committee (MRC), with moves largely taking place in July or August.

12. Following the 2018/19 mobility exercise and as committed to in the MAP, a review is underway to consider how the UNAIDS Secretariat most effectively utilizes mobility to meets its talent management objectives, namely to ensure that the right people are in the right place with the right skill sets to optimize delivery of the UNAIDS strategy, and that movement of staff members between duty stations is managed in such a way that specialist knowledge is retained.

III. OUR WORKFORCE – DIVERSITY

13. UNAIDS envisions a workplace that embraces and maximizes the positive power of equality and diversity and enables all staff members to pursue a fulfilling career with support and flexibility to meet their diverse responsibilities inside and outside of the workplace. With and through the diversity of our staff, we aim to catalyse a shift in policies, mindsets, attitudes and behaviours, and ensure an empowered workforce, in which any and all staff members are encouraged and supported to speak out against acts of bullying, abuse of power, harassment and other forms of misconduct.
14. Gender parity at all levels is an important goal in the UNAIDS 2018-2022 Gender Action Plan. While the overall percentage of female staff members in UNAIDS has increased by 2% to 54% in the last five years, the balance at different grade levels is uneven. At the G5 – G7 and National Officer B (NOB) grade levels, for example, women are significantly over-represented, comprising over 80% of staff members. At more senior management levels, notably P5 – D2, women remain in the minority, at 43% overall.
15. A range of initiatives have been implemented to tackle this problem, including encouraging female staff members to participate in development and learning opportunities, and ensuring that recruitment and reassignment decisions are gender-sensitive. In 2018, over 59% of staff trained were women, including 33 female staff members who attended the UNAIDS Leadership Programme for Women at the UN Staff College as part of the fifth cohort, opened up, for the first time, to female staff members at all grade levels. This brings the total number who have participated in this programme to 124. Many female staff members have also participated in the UNAIDS mentoring programme and will have opportunities to receive individual coaching support in 2019.
16. Significant progress has also been made over the past five years, particularly recently, to increase the number of female UCDs with parity, at 48%, almost achieved by the end of 2018. This result was supported by a clear commitment on the part of the EXD to ensure gender equality in UCD representation. In 2019, UNAIDS will ensure that selection panels and the MRC review the applicable departmental or office gender scorecard prior to making selection and appointment recommendations for any position and provide justification when a proposed recruitment will negatively impact or further exacerbate gender imbalance in that work area.
17. In terms of nationality of its staff members, UNAIDS is a diverse organization with 124 nationalities represented amongst the workforce, and 102 nationalities amongst the organization's 323 international professional staff members. At the most senior levels, P4 – D2, 60% of staff members are from non-Organisation for Economic Cooperation and Development (OECD) countries. However, almost two-thirds of international

professional staff members originate from two regions – Europe and Sub-Saharan Africa, which calls for greater attention to be paid to recruiting more staff members from other regions, notably Latin America and the Caribbean, and the Middle East and North Africa.

18. A number of UNAIDS staff members join the organization initially through participation in one of our affiliate workforce programmes. UNAIDS is grateful to the member states who have sponsored Junior Professional Officers (JPOs) and/or secondments in 2018 and welcomes opportunities to further grow and diversify these programmes in 2019 and beyond. In addition, 128 Fellow, Interns and UN Volunteers worked in 2018 for the Secretariat from 41 countries of origin, an increase of over 40% on 2016.
19. The Secretariat recognizes affiliate workforce programmes as an important means of diversifying our staffing profile. As a complementary initiative to attract young people from diverse countries and backgrounds, in 2019 we will amend and republish our Internship policy to include the payment of a stipend to interns working for the Secretariat. This change is intended to enable us to extend opportunities to qualified and motivated young people who are not in a position to self-finance an internship.

IV. ENSURING STAFF TRUST IN HUMAN RESOURCES MANAGEMENT DECISION MAKING

20. The past year has been difficult for UNAIDS staff in the face of media attention to reports of bullying, abuse of authority, harassment and latterly, breaches of confidentiality in the Secretariat. This distressing situation evoked the desire amongst management and staff to openly acknowledge and discuss issues, embark on a process of meaningful change, and increase trust in the established redressal procedures and management's ability to deal swiftly and effectively with any and all allegations of misconduct in the workforce. Of particular importance is the availability of mechanisms to support staff throughout these processes and to increase confidence in the consistency, objectivity and transparency of decision-making.
21. *A fit for purpose workforce - UNAIDS in 2018* is intended as a step in this direction, pulling together for the first time a comprehensive set of data and statistics about, *inter alia*, the UNAIDS workforce, appointment decisions, staff development and learning and performance management. This is complemented by two reports initiated by the Deputy Executive Director, Management and Governance (DXD MER) and published on the intranet on a monthly basis: a "*staffing summary*" report, which provides a snapshot of the workforce by grade and location each month; and a "*staff movements*" report, which details staff who have joined or separated from the organization. In addition, gender parity data is shared with staff on a quarterly basis, together with an update on progress and areas in the Gender Action Plan that require more attention.
22. In 2018, 68 appointments of international professional staff were made by the Secretariat, of which 28 were filled through vacancy announcement, 30 in the annual mobility exercise and the remaining 10 by executive decision. The number of positions filled by women and men was almost equal. The time taken to recruit a staff member from date of advertisement of the vacancy to acceptance of offer by the selected

candidate increased by 10% in the two years from 2016 to 2018. The Secretariat has commenced an 'end-to-end' review of sample recruitment processes to identify blockages and hence opportunities to accelerate recruitments.

23. In the interest of greater transparency and in response to requests for information and annual reports pertaining to the internal justice system of UNAIDS, in April 2019 the Secretariat established a dedicated webpage on the intranet entitled "*Internal Justice System*". Documents already accessible on the webpage and attached as an annex to this report include a visual overview of dispute resolution mechanisms, a statistical overview of Administrative Review cases in UNAIDS in 2018 and the annual reports of the Global Board of Appeal for 2017 and 2018.
24. In summary, 16 Administrative Review requests were received in 2018, in addition to 47 requests arising from decisions made by the International Civil Service Commission (ICSC) pertaining to the Geneva Post Adjustment and changes to Education Grant benefits. During a four-year period commencing January 2014, three disciplinary proceedings were concluded which led to the imposition of disciplinary measures including summary dismissal, written censure, and a fine. While reporting on disciplinary measures falls under the remit of the Secretariat, reporting on investigations of allegations of misconduct falls under the authority of the World Health Organization (WHO) Internal Oversight Services (IOS).
25. The Secretariat recognizes that provision of information alone is not enough to address concerns. It is crucial that staff members and other stakeholders have confidence that decisions are transparently made, under the appropriate authority and following established rules, policies, processes and procedures.
26. Transparency in decision making requires comprehensive, widely available policies that are respected and followed, together with clarity as to who has the authority to make a decision. The Secretariat is in the process of developing a unified Delegations of Authority (DOA) framework, which clearly indicates to whom the EXD has delegated his/her authority for decisions, including benefits and entitlements, appointments, separations and appeals and grievances. The DOA framework will be published in the latter half of 2019 and complemented by training on applicable policies for all decision-makers.
27. All appointments and mobility assignments are currently reviewed by the MRC, chaired by the DXD MER and composed of senior-level managers across the organization, before a recommendation is made to the EXD. Potential changes to the composition and role of the MRC are being considered to ensure that each selection recommendation is thoroughly reviewed for compliance with recruitment policies, and that the delegate has confidence in the process before signing off.
28. With regard to classification of positions, and hence the grade level of the position incumbent, UNAIDS in 2019 began to use the services of OneHR, the HRM service centre in Bonn which offers classification and reference checking services to all UN entities on a fee-per-service basis. Engaging OneHR to classify vacant positions and respond to requests for reclassification of encumbered positions serves two key

objectives: increasing staff confidence in the objectivity of the classification process and ensuring alignment in the grade levels of UNAIDS positions with comparable ones in other UN entities.

29. A Classification Review Standing Committee (CRSC) was also introduced in the Secretariat in 2019, together with an information note that outlines the procedures whereby staff members may request a review of a classification decision. The CRSC is composed of staff members nominated both by management and the USSA and supports efforts to improve internal governance systems, increase access to justice and strengthen trust in management.

V. INVESTING IN OUR STAFF

30. Development and learning programmes in UNAIDS are intended to support the creation of an enabling environment, in which the leadership competencies of managers are strengthened and career development is promoted. All programmes are anchored in the UNAIDS competency framework, comprising three core values, as well as six core and six managerial competencies which express the norms and behaviours expected of all staff members at all levels.
31. In 2018, a number of new learning curriculums were launched, aligned with UNAIDS's corporate priorities and based on a blended learning approach of face-to-face, online, video and webinar components. A total of 654 participants (59% women) were trained in a variety of topics across over 5000 learning modules, including ethics, security, project management, general managerial skills and languages. All mandatory training courses were closely monitored for compliance.
32. Leadership programmes in 2018, including the UN Leaders Programme and UN Country Team Leadership Skills, focused on strengthening personal leadership styles and enhancing supervisory skills. Twenty-eight new and returning UCDs were invited to Geneva to reorient participants with the Secretariat's programmatic priorities and functional responsibilities, and to remind managers of their responsibilities vis-à-vis ensuring a workplace free of harassment, bullying, abuse of authority and misconduct.
33. The Secretariat continues to play an active role in interagency initiatives on UN reform, and participates in the annual Inter-Agency Advisory Panel for Resident Coordinator selection, advocating for strong UN collaboration and attention to UNAIDS priorities. It has also spearheaded certain leadership and development initiatives in the UN community. Through its collaboration with the UN Staff College, for example, the UNAIDS Leadership Programme for women was created in 2014, inspiring the College to develop and offer similar programmes. In May 2019, a UNAIDS senior staff member who has served in a number of countries was selected by the Secretary General to serve as Resident Coordinator (RC). The RC in Lesotho is also a former UNAIDS staff member.
34. The UNAIDS mentoring programme has been reformulated and relaunched to support the learning objectives of staff at all grades and of all genders, with a special focus on improvement in institutional knowledge-sharing. The highest number of registrations

has been recorded since the initial launch of the programme in 2014, with 11 men and 25 women signed up to participate as mentees, and a matching number of mentors.

35. To support staff in coping with an increasingly challenging work environment and help them manage their personal and professional aspirations, career management workshops followed by career counselling services were offered for the first time in early 2019. The workshops help staff to clarify career goals, articulate next steps and define a career strategy. In 2019, the career management workshops will also be delivered in a number of our regions.
36. Support was also provided in 2018 in the onboarding of JPOs, Fellows and Interns. A tailored induction briefing was organized to help participants familiarize themselves with the work of UNAIDS and facilitate quick and effective integration into the Secretariat. In addition, the *JPO Get-together* webinar series, aimed at developing JPO knowledge of strategic issues and facilitating dialogue, is being redesigned and relaunched in 2019 with input from current JPOs.
37. Two additional initiatives have been recently introduced to support staff members in diversifying their skills and experience and enhancing their careers. In April 2019, the *Short-term Development Assignments* policy was launched, providing eligible staff members with an opportunity to undertake short assignments of up to six months in a different office to meet temporary staffing needs or undertake emergency work, with the right to return thereafter to their substantive position. This is expected to be particularly beneficial for locally-recruited staff members (GS and NO) interested in applying for international positions, and supports development of an agile workforce, equipped and able to respond to emerging needs.
38. The second initiative, under the umbrella of the MAP, is to enable and explicitly encourage staff members to allocate up to 10% of their work time to contribute to the growth of UNAIDS, both as a knowledge institution and a place where staff members want to work. Under this initiative, staff can perform such activities as serving as *Dignity at Work* Advisors, delivering or participating in fitness and staff wellbeing sessions, or contributing to the developing of the organization's Mental Health strategy. This is a bold initiative, which we believe to be the first of its kind in the UN, drawing upon experience in other sectors, and we look forward to reporting on outcomes in the next HRM update report.

VI. REINFORCING A PERFORMANCE MANAGEMENT CULTURE

39. UNAIDS maintained its 97% compliance in performance management evaluations in the 2017-2018 review cycle, consistent with the previous three cycles. All Directors were provided with reports, showing the distribution of ratings in their work area to ensure consistency and fairness of rating commensurate with staff achievements. During the 2018-2019 review cycle, approximately 26% of staff members received an 'exceptional achievement' rating, and 72% a 'fully met' rating, with only nine staff members recorded as having partially met objectives.

40. A suite of performance management webinars in English, French and Spanish were introduced at the beginning of 2019 to explain and reinforce key principles and best practices of performance management. Topics were tailored for staff and managers and included creating a positive feedback environment, managing difficult conversations and being aware of unconscious bias in performance management. Around 350 staff members participated in the sessions, with the overall satisfaction rating recorded as 4.2 on a 5-point scale. Refresher webinars will be delivered later this year to maintain relevance and momentum.
41. A major change in the 2018/19 performance management cycle was the introduction of supervisee assessment of managers against the five UNAIDS managerial competencies: (i) delivering results, (ii) applying expertise, (iii) working in teams, (iv) developing and empowering others, and (v) managing performance and resources. This pilot initiative was mandatory in its first year for Regional Directors (RDs) and senior HQ Directors with a large number of direct and indirect reports only, in order to mitigate concerns about anonymity of feedback and potential retaliation. In future cycles, following a review of the pilot, supervisee feedback is expected to be incorporated in the performance management reviews of more managers, with consideration also being given to the possibility of introducing 360-degree feedback.
42. To reinforce the performance management culture in UNAIDS and in accordance with the United Nations Development Group (UNDG) Management and Accountability System, all UCDs solicit formal performance feedback from the RC in the country in which they serve on standard competencies, including UN system effectiveness, coordination of the joint UN system response to HIV, leadership and advocacy, and resource mobilization. In the 2018–2019 performance cycle, around 80% of UCDs received feedback from their RC, which was reviewed by RDs as first-level supervisors.
43. Since 2017, gender equality and women's empowerment have been mainstreamed in the performance management process in the Secretariat. All staff define gender-sensitive work objectives and set at least one learning objective to strengthen knowledge on gender issues.

VII. ENVIRONMENT AND SECURITY

44. The UNAIDS Secretariat is a relatively small UN entity, with many of its country offices located in large UN premises and compounds, and able therefore to exercise limited influence on UN sustainability and operations decisions. However, when the Secretariat can influence and support UN environmental and sustainability goals, it takes action.
45. Throughout the past year, particular efforts have been made to reduce the use of one-time plastic in HQ in support of the UN goal to “beat plastic pollution”. Under this initiative, (i) water in meetings is now served in reusable glass water carafes instead of single-use plastic bottles; (ii) individual office waste bins are being progressively

replaced with communal bins for general waste, paper, glass, plastic bottles and aluminium; and (iii) the Secretariat is working with WHO and its supplier to remove single-use plastic from site restaurants. Reusable take-away containers have been in operation for some time and many items previously sold in plastic packing are being repackaged in reusable glass containers.

46. UNAIDS completed its most recent UN annual greenhouse gas emissions inventory in 2017, with data collected from HQ and field offices, and is currently working on its 2018 inventory, with results available by 1 July. The Secretariat has been climate-neutral in its operations since 2012, well ahead of the 2020 goal established by former Secretary-General Ban Ki-moon in 2014.
47. Managing the security of HQ and field offices also falls within the remit of HRM. In the 2018-19 reporting period, 67% of UNAIDS premises were rated as compliant with UN minimum operating security standards (MOSS), compared with 53% and 39% respectively in the previous two biennia. The percentage of premises rated as deficient in terms of levels of MOSS compliance declined by two thirds over the same period, from 12% to 4%.
48. Following the introduction of the new UN Security Risk Assessment Model (SRA), the use of MOSS has been discontinued and replaced by Security Risk Measures (SRM). UNAIDS is currently developing a system that will enable us to periodically evaluate and rate the compliance of offices worldwide with SRMs.

VIII. HUMAN RESOURCES IN THE UNAIDS SECRETARIAT

49. The Department of Human Resources Management (the Department) in UNAIDS comprises a team of approximately 25 staff members, responsible for the effective and efficient delivery of advice, support and services to around 680 managers, staff members and affiliate personnel in 81 countries. In February 2019, management of the Department was assumed by Alison Holmes following the retirement of the previous Director, Roger Salla Ntunga, after a distinguished career with UNAIDS.
50. The Department plays – and will continue to play in the months and years ahead– a key role in successful achievement of MAP goals and targets. Close contact with managers and staff across the organization, and strong partnership with the USSA remain fundamentally important as we seek to understand and respond effectively to staff concerns, rebuild trust and ensure that staff members work in an enabling environment, free of bullying, harassment and abuse of authority.
51. The requirements of managing multiple cases and developing and implementing new and revised policies have necessitated changes to the structure and staffing of the Department. In 2019, legal and policy capacity is being reinforced to allow greater emphasis on timely responses to appeals, grievances, requests for administrative review and formal case management, and ensure that the Department is able to perform a strategic partnership role within the Secretariat.

52. Further changes are anticipated with the recruitment of a dedicated Staff Welfare Officer, responsible, *inter alia*, for the development of a mental health strategy, support for employees before and during deployment, and access to counselling and welfare services in coordination with WHO's Staff Health and Wellbeing Services (SHW). The selected candidate will also undertake wellbeing visits to field offices and lead focus group discussions with staff living with mental health issues and other chronic conditions, with the aim of promoting the health and well-being of our staff.
53. The Secretariat is also initiating discussions with the WHO Global Service Centre in Malaysia to explore the possibility of gradually off-shoring high-cost transactional services on a pilot basis, such as the administration of benefits and entitlements.

IX. ETHICS OFFICE

54. The Ethics Office (Ethics) promotes a culture of accountability in the Secretariat. In HRM update reports in previous years, an overview of its activities has been provided and is included again in the interests of continuity. Since Ethics in UNAIDS is independent from the HRM Department, however, consideration could be given to direct reporting to the PCB in future years.
55. In 2018, Ethics continued to provide confidential advice to staff members across the organisation through email, telephone and face-to-face meetings to enable them to better conduct themselves in accordance with the standards of conduct expected of international civil servants. Issues related to human resource, finance and administration and grievances were referred to HRM, the Department of Planning, Finance and Accountability (PFA) and the Ombudsman as appropriate.
56. In total, 131 requests for general information and 103 requests for ethics advice and guidance were received by Ethics on a range of matters including outside activities (92); gifts, medals and honours (3); speaking and writing publications (5) and protection against retaliation (3). This represents an overall increase of 14% compared to 2017, which could be attributed to mandatory discussions involving all staff on '*What it means to work ethically in UNAIDS*'.
57. Of the three enquiries regarding retaliation, one was a request for advice and two related to alleged retaliation. In accordance with the policy on whistleblowing and protection against retaliation, Ethics conducted a preliminary review to determine whether the complainant was engaged in a protected activity and if so, whether the protected activity was a contributing factor in causing the alleged retaliation. Both matters were subsequently referred to IOS for investigation.
58. Ethics also continued to manage and respond to calls made to the Integrity Hotline. In 2018, a total of 15 complaints were received, comprising four allegations of harassment, two allegations of sexual harassment, four HRM-related issues, one outside activity-related complaint, three potential breaches of the code of conduct and one regarding alleged waste of resources. Thirteen of the cases were filed anonymously. Of the 15

cases received, eight have been resolved, two submitted by callers for record only, two have been referred to IOS and one to the Ombudsman for action. Two of the cases are still pending.

59. The UN online Ethics and Integrity Training continued to be provided as a mandatory training for all staff members through the UNAIDS Performance and Learning Management platform. In addition, in March 2018, all Directors in field and HQ locations were requested to convene meetings to discuss *What it Means to Work Ethically in UNAIDS* with their teams. Ethics worked with each team to develop a meeting guide and feedback template for the discussions.
60. Finally, face-to-face training was offered to staff members in a number of offices covering Ethics, living the UNAIDS values, managing conflicts of interest, addressing common challenges and the integrity hotline. A round table discussion was additionally held with the Senior Management Team (SMT) on *Working with Dignity and Integrity at UNAIDS* in order to arrive at a shared understanding of the major issues related to harassment and abuse of authority in the organisation, and to generate ideas for action at organizational and team level.

Annex 1

Disciplinary Measures 2014-2018

INTRODUCTION	<ol style="list-style-type: none"> 1. In order to ensure that the management of UNAIDS human resources is transparent, equitable, coherent with the values of the Organization, accountable, and reflective of ethical and human rights standards, the Department of Human Resources Management (HRM) wishes to inform all staff members of the actions taken by the Executive Director, to address cases of misconduct which have occurred in UNAIDS. 2. UNAIDS and all its staff members are accountable for the mandates, resources and funds entrusted to the Secretariat by Member States. The highest standards of conduct, competence and performance are expected of all UNAIDS staff members. Abuse of authority, fraud, misrepresentation, false certification and inappropriate behaviour, including verbal or physical abuse, harassment or sexual harassment, are some examples of behaviour that is not tolerated in UNAIDS.
PURPOSE	<ol style="list-style-type: none"> 3. This Information Note reports on disciplinary measures imposed on UNAIDS staff members from January 2014 to December 2018.
SCOPE	<ol style="list-style-type: none"> 4. It is important to note that not every allegation of misconduct leads to the imposition of disciplinary measures. Conduct issues that were dealt with by non-disciplinary reprimand and/or by means other than disciplinary measures are not included below. In addition, where a staff member provides a satisfactory explanation in response to the formal charge(s) of misconduct, the case may be closed with or without a non-disciplinary reprimand and/or managerial action.
PROPORTIONALITY	<ol style="list-style-type: none"> 5. Disciplinary measures imposed are proportionate to the nature and gravity of the misconduct. Both aggravating and mitigating factors are taken into account in determining the appropriate disciplinary measure, and vary according to the unique facts and circumstances of each case. 6. In this context, staff members separated from UNAIDS further to a finding of misconduct are normally informed that they will not be considered by UNAIDS for future employment or services. In such cases, a note will be kept in the Enterprise Content Management (ECM) system to that effect.
SUMMARY	<ol style="list-style-type: none"> 7. For each case that led to the imposition of a disciplinary measure during the period in question, the summary below indicates the nature of the misconduct and the disciplinary measure(s) imposed. Due regard has been given to the protection of the privacy of the staff members concerned. 8. Between January 2014 and December 2018, UNAIDS concluded three disciplinary proceedings which led to the imposition of disciplinary measures including summary dismissal, written censure, and a fine. Two cases of misconduct involved male staff members and one case involved a female staff member. The cases include one general service staff member and two

	<p>professional staff members. To date, none of the decisions have been appealed.</p> <p>9. In addition, during the relevant time, two staff members resigned or were separated during ongoing investigations or before disciplinary proceedings were concluded. Disciplinary measures could not be imposed in those cases. In such circumstances, staff members are not permitted to work with UNAIDS in the future under any contractual modality and, when appropriate, administrative actions, including recovery from separation entitlements, are taken. Where appropriate, considerations were also given to refer the cases to the national authorities for possible criminal action.</p>
INAPPROPRIATE BEHAVIOR	<p>10. In a case that concluded in 2016, a staff member engaged in a verbal and physical altercation with employees of a local service provider causing damage to clothing and equipment.</p> <p><i>Disciplinary measure: Written censure and fine of 3 months net base salary, restitution for damage.</i></p>
FRAUD, MISREPRESENTATION AND/OR FALSE CERTIFICATION	<p>11. In a case that concluded in 2016, a staff member falsified and altered email communications and payment records for the purposes of misleading contractual partners; falsified and altered emails to authorize payments and/or reimbursements for personal benefit in relation to unverified participation in a field mission; and misused tax-exempt fuel vouchers and a UNAIDS car rental agreement for personal benefit.</p> <p><i>Disciplinary measure: Summary dismissal and partial recovery</i></p> <p>12. In a case that concluded in 2018, a staff member accrued unwarranted travel benefits, was absent from duty without authorization, failed to record leave, and used a UNAIDS official vehicle and driver for personal purposes.</p> <p><i>Disciplinary measure: Written censure and full recovery</i></p>
UNAIDS LEGAL FRAMEWORK, GUIDANCE AND PROCESSES FOR DISCIPLINE	<p>13. The following information sets out the legal framework and provides guidance and information on processes for discipline in UNAIDS:</p> <ul style="list-style-type: none"> • Duties, Obligation and Privileges of staff members (Article I of the Staff Regulations) • Standards of conduct for staff members (Staff Rule 110) • Financial Responsibility (Staff Rule 130) • Disciplinary measures (Staff Rule 1110) • Misconduct resulting in financial loss (Staff Rule 1112) • Non-disciplinary reprimand (Staff Rule 1115) • Separation for misconduct (Staff Rule 1075) • Conduct and Disciplinary Measures (HR eManual III.11) • Promoting Ethics and Integrity in UNAIDS • Standards of Conduct for the International Civil Service

UNAIDS INTERNAL JUSTICE SYSTEM – ADMINISTRATIVE REVIEW STATISTICAL OVERVIEW 2018

UNAIDS Internal Justice System – Administrative Review Statistical Overview 2018

1. Requests for administrative review (AR request) are received, overseen and managed by Director, Human Resources Management in UNAIDS. The statistics and descriptions in this report are based on data collected internally by HRM.
2. In 2018, a total of 47 AR requests related to the implementation of the International Civil Service Commission (ICSC) compensation review (i.e., Geneva Post Adjustment and changes to Education Grant) were received. Being related to the same subject matter and containing broadly similar requests, these AR requests are excluded from the categorical chart and identified separately in certain charts so as to present and reflect the statistics as objectively as possible.
3. Below is a detailed breakdown of AR requests received from 1 January to 31 December 2018 and the accompanying administrative review decision issued.
4. Each AR request is assigned a primary category to facilitate record-keeping and statistical capture for future comparison. The categories generally align with those used by the WHO Administrative Review team and by the Global Board of Appeals, and are as follows:

- | | |
|------------------------|-------------------|
| ■ Abolition | ■ Medical |
| ■ Classification | ■ Mobility |
| ■ Conduct/Harassment | ■ Personal Status |
| ■ Contract Status | ■ Reassignment |
| ■ Disciplinary Process | ■ Selection |
| ■ Entitlements | ■ Separation |

5. By way of overall summary from 1 January 2018 to 31 December 2018 **16** AR requests were received, plus **47** AR requests arising from the ICSC compensation review (i.e., Geneva Post Adjustment and changes to Education Grant), for a total of **63**. Summaries by category, location, grade, gender, status, decisions and appeals follow.
6. AR requests received by category 16 (+47)¹: 63 in total.

With the 47 AR requests comprising the ICSC compensation review included in the overall number of AR requests, *Entitlements* represent the most prevalent category at 78%. This is followed by *Disciplinary Process* (1%), *Classification* (.05%) and *Contract Status* (.05%).

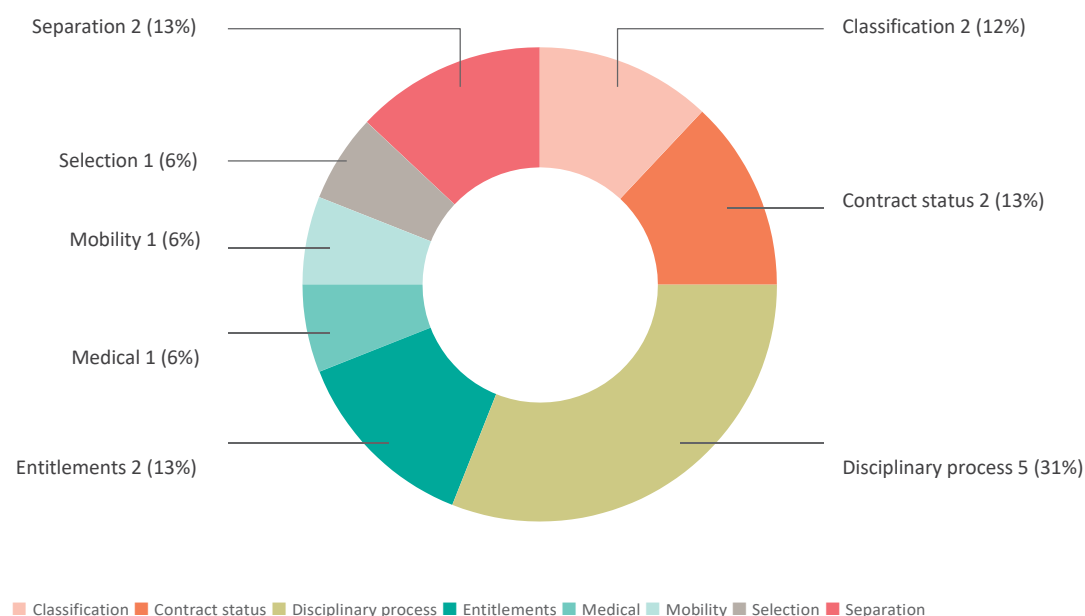
With the 47 AR requests comprising the ICSC compensation review excluded, the top category is *Disciplinary Process* (3.13%), followed equally by *Classification* (0.13%), *Contract Status* (0.13%) and *Entitlements* (0.13%).

- | | | | |
|-------------------|----------|------------------------|----------|
| ■ Classification | 2 | ■ Disciplinary Process | 5 |
| ■ Contract Status | 2 | ■ Entitlements | 2 |

¹ ICSC compensation review cases (Geneva) not reflected in chart

Medical	1	Separation	1
Mobility	1	Entitlements (ICSC compensation review cases (Geneva) – 47)	
Selection	1		

Figure 1. 16 AR requests received from 1 January 2018 to 31 December 2018*

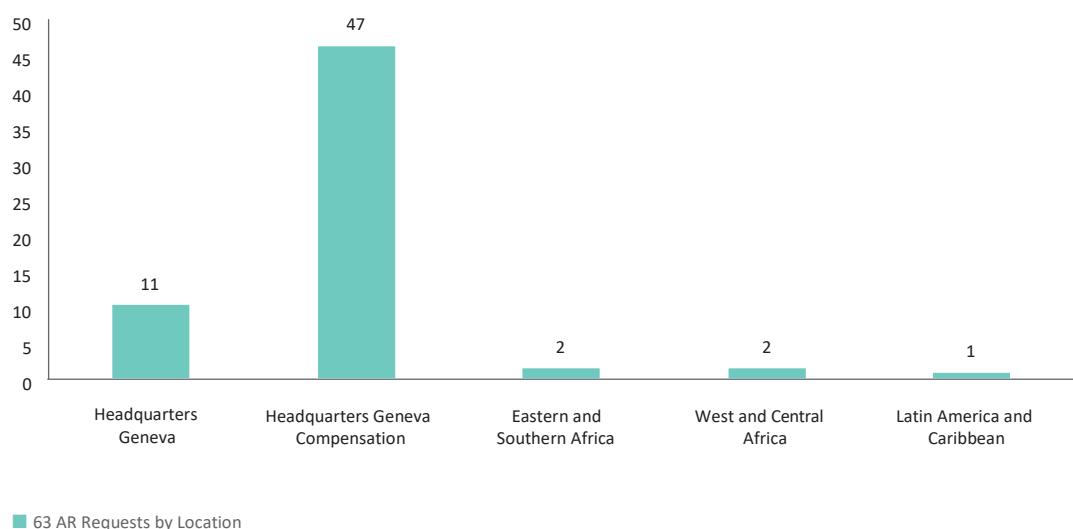


* 47 ICSC compensation review cases (Geneva) are not reflected in the chart.

7. All AR Requests by Source:

The significant majority of AR requests originated from Headquarters (HQ), which accounted for 92% of all 63 requests.

Figure 2. All 63 AR requests received, by UNAIDS location



With the 47 ICSC compensation review cases excluded, 69% of AR requests originated from Headquarters and 31% originated from field locations.

8. All AR requests by language:

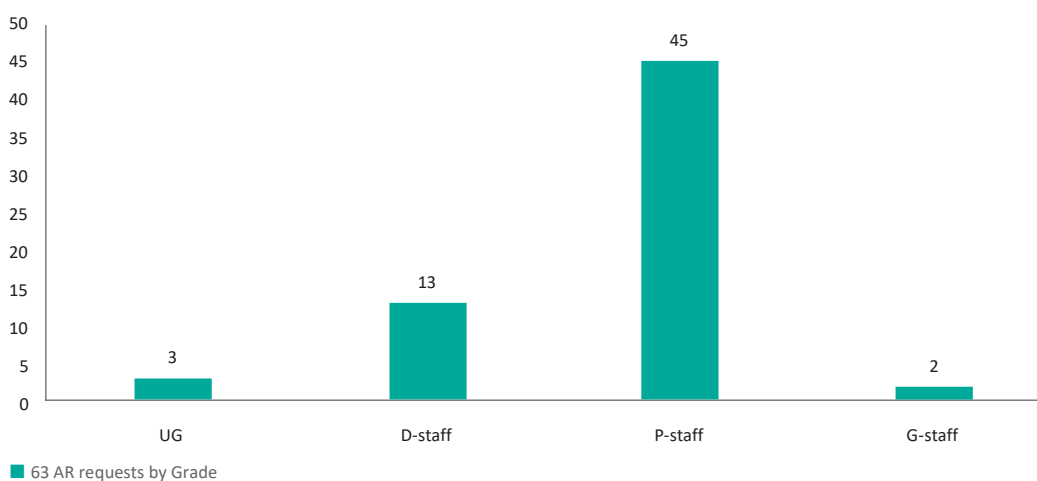
It is noted that all 63 AR requests were submitted in English.

While the Staff Regulations and Staff Rules are available in both English and French, HRM/IN 2018-2 Internal Justice System and the Request for Administrative Review administrative form will be made available in French in 2019.

9. All AR requests by grade:

Requests were predominately submitted by P staff (71%). The remainder of all AR requests were submitted as follows: D staff (21%), Ungraded staff (5%) and G staff (3%).

Figure 3. All 63 AR requests by Grade

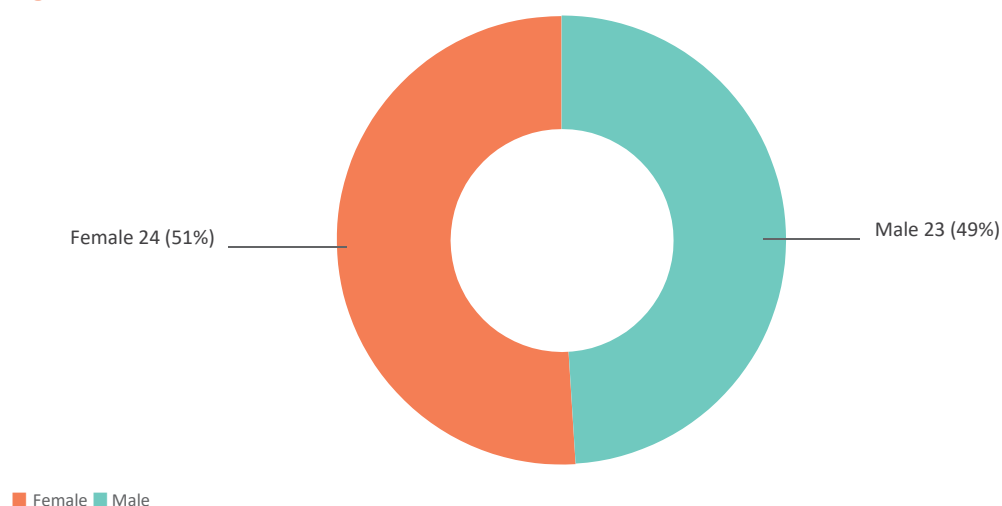


With the ICSC compensation review cases excluded, the breakdown of AR requests by grade is as follows: P staff (31%), D staff (37.5%), Ungraded staff (19%) and G staff (12.5%).

10. All ARs requests by Gender:

Examining requests by gender, 51% of all AR requests were submitted by women and 49% were submitted by men.

Figure 4. All 63 AR Requests by Gender



With the ICSC compensation review cases excluded, the breakdown of AR requests by gender is equally divided between women and men at 50%.

11. “Snapshot” of AR requests undecided at 31 December 2018:

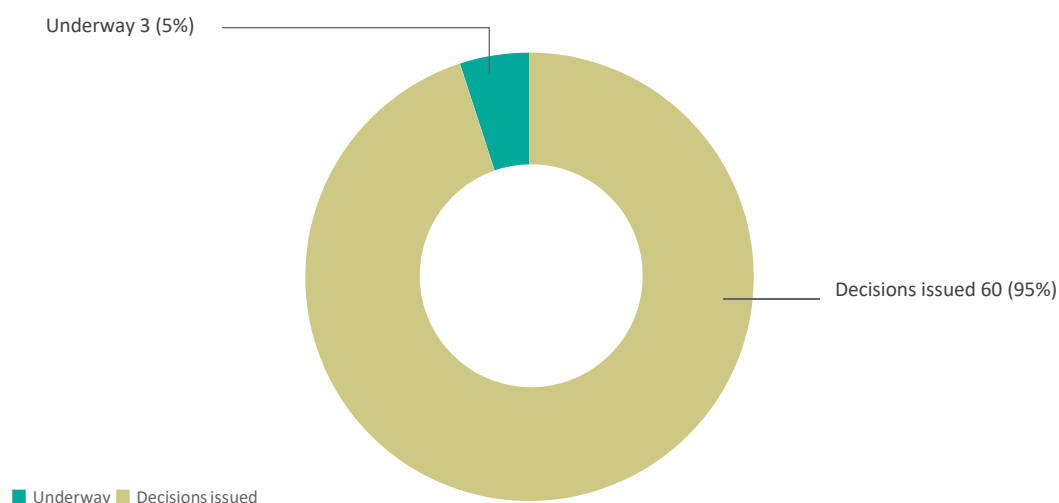
At the end of 2018, a total of 3 AR requests received in 2018 remained in progress, representing 1 AR request in each of the following categories:

- Entitlements;
- Selection;
- Contract Status.

Decisions issued in AR requests: **13 (+ 47)**

■ Classification	2	■ Medical	1
■ Contract Status	1	■ Mobility	1
■ Disciplinary process	5	■ Separation	2
■ Entitlements	1	■ (ICSC compensation review cases – 47)	

Figure 5. Status of all AR requests as of 31 December 2018



12. All issued Final Administrative Review decisions (ARDs): **13 (+47)**

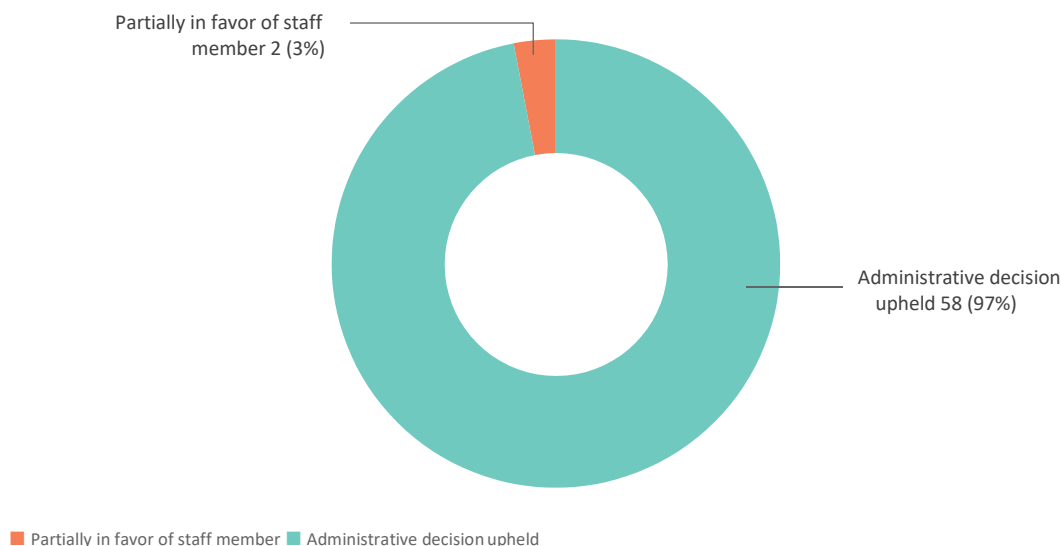
The AR request form includes a section entitled “Redress”, which allows staff members to list the measures they would like the Administration to take.

The figure below includes the 47 ICSC compensation review cases and illustrates ARDs where some or all of the redress requested by the staff member was granted. The outcome in this instance reveals that the contested administrative decision was upheld in 97% of all AR requests, with 3% of all ARDs granted partially in favour of the staff member.

With the 47 ICSC compensation review cases excluded, the outcome reflects that 15% of requests resulted in an ARD that was partially in favour of the staff member, while 85% of requests upheld the original, contested administrative decision.

In both circumstances, whether redress is granted or not in the ARD, the staff member is notified of her/his right to further appeal the decision to the Global Board of Appeal (GBA).

Figure 6. Issued ARDs (60 decisions)

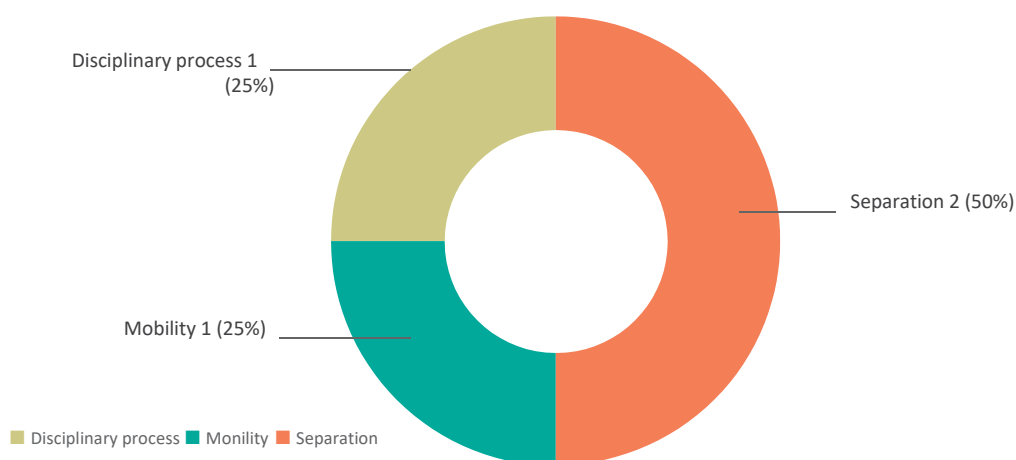


13. Appeals to the Global Board of Appeal of ARDs in 2018: 9²

Overall, 9 ARDs (56%) were appealed to the GBA in 2018. This figure includes ARDs issued in 2017 but excludes the 47 ICSC compensation review cases, which were exceptionally authorized, and appealed directly to, the ILOAT.

Of the 16 AR requests and ARDs received and issued in 2018, a total of 4 ARDs were appealed to the GBA, as of 31 December 2018. This represents a figure of 25% of ARDs issued in 2018. The breakdown of these cases by category is illustrated in the following figure.

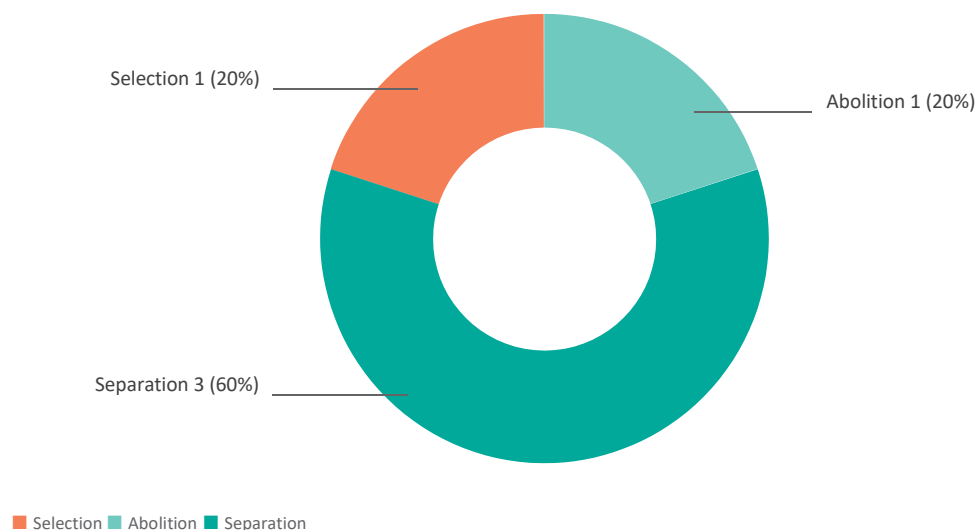
Figure 7. 4 appeals to the GBA received contesting ARDs issued in 2018 (to 31 December 2018)



²This number does not include direct appeals to the GBA of the Advisory Committee on Compensation Claims (ACCC) claims and appeals to the ILO Administrative Tribunal (which include the 47 ICSC compensation review cases)

A breakdown of the 5 ARDs appealed to the GBA in 2018 contesting ARDs issued in 2017 by category is illustrated below.

Figure 8. 5 appeals received in 2018 contesting the ARDs issued in 2017



14. As of 31 December 2018, all appeals contesting ARDs issued in 2018 remained underway and no outcomes could be reported.

In the reporting period, one report was issued by the GBA in the appeals received in 2018 contesting an ARD issued in 2017 and a decision was issued by the Executive Director accepting the recommendation of the GBA and upholding the contested ARD.

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