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### Programme budget for the biennium 2018–2019

## **Progress in the implementation of the organizational resilience management system**

### **Report of the Secretary-General**

#### *Summary*

The present report is submitted pursuant to resolution [70/248 B](#), in which the General Assembly requested the Secretary-General to submit to it, no later than at the first part of its resumed seventy-third session, a progress report on the implementation of the organizational resilience management system, including information on the steps taken to expand the system to include all Secretariat offices and the participating entities of the United Nations system.

The present report provides an update on the implementation of the organizational resilience management system within Secretariat entities and a summary of progress made by agencies, funds and programmes and the inter-agency community of practice.

At the request of the General Assembly, the report also provides information on the staff time and operational resources invested by Secretariat entities in awareness-raising, training and coordination of the key elements of the organizational resilience management system. All of those investments have been met from existing resources of the individual departments and offices concerned.

The report concludes with a vision and next steps for the further implementation of the organizational resilience management system.

The General Assembly is requested to take note of the report.



## **I. Background**

1. In section II of its resolution [70/248 B](#), the General Assembly requested a progress report on the implementation of the organizational resilience management system, including information on the steps taken to expand the system to the entire United Nations system, including in the field. The present report is submitted pursuant to that request.

2. During the past several years, the emergency management practice of the United Nations has evolved and adapted to growing risks: in response to the global threat of an influenza pandemic in 2006, business continuity management was included in the emergency management system. Following the catastrophic impact of the Haiti earthquake in January 2010, medical emergency response and support to survivors and their families were added. As a lesson learned from the response to storm Sandy in 2012, crisis communication was incorporated as a critical element of the framework. The current organizational resilience management system approach, as approved by the General Assembly in its resolution [67/254 A](#) and by the United Nations System Chief Executives Board for Coordination (CEB) in November 2014 as the emergency management framework for the United Nations system organizations, links risk-based and impact-oriented emergency preparedness and response disciplines across the continuum of preparedness, prevention, response and recovery.

## **II. Application of the organizational resilience management system in the United Nations system**

3. The systemic approach of the organizational resilience management system engages all disciplines involved in emergency management that share the common goal of preventing and mitigating the impacts of emergencies on the organization's people, assets and business by aligning and harmonizing their efforts.<sup>1</sup>

4. The General Assembly, by its resolution [67/254 A](#), determined that crisis management, security management, business continuity, information and communications technology (ICT) disaster recovery, medical emergency response, crisis communication and support to staff, survivors and families are the core elements of the United Nations resilience management system.<sup>2</sup>

5. The organizational resilience management system requires a strong governance structure that guarantees the coordination, integration and harmonization of the diverse expertise and experience of the key elements and strengthens the organization's capability to prevent, prepare for, respond to and recover from an emergency. The success of the approach also requires that personnel responsible for the application of the systemic approach be empowered to develop, communicate, implement and maintain the resilience management system.

6. In general, all emergency management efforts of United Nations system organizations and Secretariat entities are developed in close coordination with the authorities of the respective host Governments. Details of collaboration with relevant host countries are mentioned in the reports of the individual entities throughout section III.

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<sup>1</sup> Policy on the organizational resilience management system, para. 1.

<sup>2</sup> Depending on the context of a United Nations entity, disciplines are added.

### **III. Progress in the application of the integrated approach of the organizational resilience management system**

7. The present section provides a summary of the progress made by United Nations entities in applying the integrated approach of the organizational resilience management system in the period 2016–2018, with a focus on the Secretariat. An overview of the costs incurred by various entities for awareness-raising, training and coordination of the key elements of the organizational resilience management system is also provided. The activities are undertaken to strengthen the management system and link the different disciplines involved in emergency management. The time and costs required to assist staff in their assumption of discipline-specific responsibilities, including business continuity management, support to staff and families and crisis communication, have not been included in the present report because the related costs would be incurred irrespective of the implementation of the organizational resilience management system.

#### **A. Strengthening of the inter-agency community of practice**

8. The inter-agency community of practice comprises representatives of Secretariat departments, offices away from Headquarters, regional commissions and specialized agencies, funds and programmes. The working group is chaired by the Assistant Secretary-General for Central Support Services, who has delegated the responsibility to the Chief of the Business Continuity Management Unit.

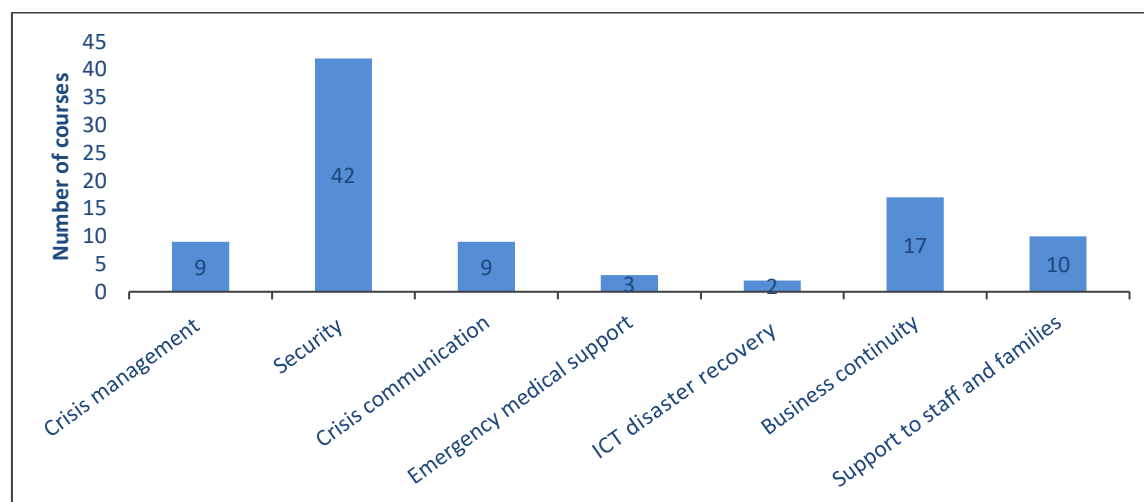
9. Efforts to expand the system through outreach to additional United Nations system organizations, strengthened support to regional commissions and intensified engagement with the Department of Peacekeeping Operations, the Department of Field Support and the Department of Political Affairs have resulted in increased membership of the community of practice (currently with more than 130 members) and in an increased number of organizations reporting their progress.

10. Twelve virtual meetings were held during the reporting period, and a dedicated conference on organizational resilience for the United Nations system was held in New York in March 2018. The conference included speakers from academia and the private sector, who presented innovative approaches to organizational resilience and business continuity.

11. Over the 2016–2018 period, the inter-agency community also shared best practices for the implementation and use of emergency notification systems that addressed issues relating to the implementation, testing and use of the notification systems in real emergencies.

12. An inventory of learning opportunities in the different disciplines of the management system identified 92 courses on offer in the community of practice.

Figure I  
Courses in the areas of the organizational resilience management system



13. The inventory also provides information on the audience and format of the courses.

14. The current policy on the organizational resilience management system provides a professional framework for emergency management. The community of practice is discussing potential revisions to the policy in the light of the International Organization for Standardization (ISO) standard on organizational resilience, which reflects a broader understanding than that captured in the United Nations organizational resilience management system.<sup>3</sup> The working group plans to submit a revised draft policy, for review and approval, to the High-level Committee on Management of CEB in the first half of 2019.

## B. Implementation in the Secretariat

### United Nations Headquarters

15. The United Nations Headquarters has made significant progress in strengthening its resilience across the following categories:

(a) Policy: the policy has continued to serve as a strong framework for the integration and coordination of the key elements of the management system. To promulgate the approach to all Secretariat staff, a series of articles on key areas was published on the intranet between March and September 2017. The articles described each element's specific contributions to the emergency management efforts at United Nations Headquarters. A second campaign to explain the coordinated approach of the organizational resilience management system was conducted in the last quarter of 2018;

(b) Governance: the two bodies that make up the Headquarters governance structure, the Senior Emergency Policy Team and the Crisis Operations Group, conducted crisis simulation exercises and, as a result, developed revised terms of reference. In 2016, the Team endorsed a new approach to business continuity management, streamlining the processes, which resulted in strengthened continuity capabilities. In 2018, the Emergency Operations Centre conducted a functional

<sup>3</sup> See sect. IV, on the vision for the organizational resilience management system.

exercise at the Headquarters alternate site, which resulted in procedural and process improvements at the tactical level;

(c) Maintenance and exercises: orientation sessions and simulation exercises in business continuity management will continue to be held to ensure that the Headquarters can maintain or quickly resume the delivery of essential and time-critical business services. Targeted training to staff to build capacity in personal resilience, crisis communication and support to staff and families is offered on a regular basis. In the lead-up to the high-level meetings of the seventy-first to seventy-third sessions of the General Assembly, tabletop exercises with host country authorities have been conducted, which reinforced cooperation and joint action with host country partners;

(d) Risk management: as a result of the joint risk management exercise of the United Nations system in New York, several opportunities for coordination and collaboration regarding risk treatment measures were identified. The Headquarters Security and Safety Service maintains regular communication with host country authorities to identify and mitigate security risks;

(e) Planning: in 2017, the United Nations Headquarters developed a new crisis management plan that streamlined internal procedures and took into consideration the lessons learned from the simulation exercise of its governing bodies. The guidelines for business continuity management are aligned and reflect the same activation modes as the crisis management plan.

### **Offices away from Headquarters**

#### *United Nations Office at Geneva*

16. The United Nations Office at Geneva has made significant progress in the implementation of the organizational resilience management system across the following categories:<sup>4</sup>

(a) Policy: the United Nations Office at Geneva adopted the policy as endorsed by the High-level Committee on Management and made the policy document widely available to organizational resilience focal points of the wider United Nations in Geneva through the intranet and an online collaboration platform used by the Crisis Management Team;

(b) Governance: in 2014, the Director-General appointed the Director of Administration as programme manager for the organizational resilience management system; the Director is supported by the Business Continuity Coordinator in this regard. The application of the organizational resilience management system is overseen by the Crisis Management Team, chaired by the Director-General. The Team comprises representatives of the main client entities, as well as of the key administrative and support functions. The Team meets at least twice a year;

(c) Maintenance and exercises: the United Nations Office at Geneva provides information on the organizational resilience management system to staff through the intranet. The Crisis Management Team has been repeatedly and thoroughly briefed on the management system, and annual tabletop as well as section-specific telecommuting exercises have been conducted. The Office regularly includes host government representatives in exercises and drills to ensure optimal collaboration in

<sup>4</sup> The update also covers the Economic Commission for Europe, the United Nations Office for Disaster Risk Reduction, the United Nations Conference on Trade and Development, the Office of the United Nations High Commissioner for Human Rights and the Office of the United Nations High Commissioner for Refugees, which are serviced by the United Nations Office at Geneva in the area of crisis management.

case of a crisis. In 2017, Crisis Management Team representatives were invited to participate in a major crisis exercise organized by the Government of Switzerland;

(d) Risk management: an enterprise risk management register has been put in place, which is updated annually. The Safety and Security Service maintains the security risk assessment and updates it annually;

(e) Planning: the following emergency response plans are in place: (i) the crisis management playbook for the Crisis Management Team, which includes the business continuity plan and the crisis communications plan; (ii) a security plan for Switzerland; (iii) ICT disaster recovery procedures for critical applications; (iv) a draft mass casualty incident response plan; and (v) a draft staff support plan. The Team is responsible for the approval and activation of the plans, which are regularly reviewed, updated and validated through simulation exercises. The Office's crisis preparedness has greatly improved as a result of the harmonization of all plans.

#### *United Nations Office at Nairobi*

17. The United Nations Office at Nairobi, including the United Nations Environment Programme and the United Nations Human Settlements Programme (UN-Habitat), continued to maintain high levels of resilience:

(a) Policy: in line with the policy of the organizational resilience management system, the Office made progress in strengthening its coordination of preparedness efforts for the United Nations system in Nairobi, which resulted in a high level of resilience;

(b) Governance: the Office's crisis management architecture is well established and integrated into the United Nations security management system and connected with the host country's emergency response network and law enforcement agencies. The Crisis Management Team and other emergency support bodies include relevant key personnel from agencies, funds and programmes, and the Office's crisis management handbook provides operational guidance and enables coordination. The Office will use the ongoing structural reform of the United Nations as an opportunity to further streamline and embed the system's principles at the highest level of governance of the United Nations system in Kenya;

(c) Maintenance and exercise: multiple training sessions and exercises have been carried out. Most staff have participated in awareness-raising sessions and regular emergency notification exercises. A one-week set of crisis management training and exercises involving the Security Management Team, the Crisis Management Team and the Emergency Operations Group was conducted by external facilitators in April 2017. Several exercises were used to test the functionality of the emergency management plans, including a mass casualty incident drill involving host country responders as observers;

(d) Risk management: while the Department of Safety and Security is responsible for security risk management, the unit for business continuity coordinates holistic risk assessments within the framework of the organizational resilience management system. An Office-wide campaign on risk culture is planned for 2019;

(e) Planning: in 2017, all key operational areas updated their emergency plans, including communications arrangements, which are detailed in the crisis management handbook and the emergency notification system plan. The unit for business continuity developed a template that provides simple dashboards and guidance enabling each United Nations organization to establish internal arrangements in accordance with the integrated emergency management approach.

*United Nations Office at Vienna*

18. The United Nations Office at Vienna, in partnership with the United Nations Office on Drugs and Crime (UNODC), continues to make progress in the implementation of its emergency management framework according to the principles of the management approach:

(a) Policy: the Office has maintained a specific intranet site to facilitate the widespread dissemination of the policy and related documentation among all staff of the Office and UNODC based in Vienna;

(b) Governance: the Office's governance system under the leadership of the Executive Committee, chaired by the Director-General and Executive Director, and the appointment of the Director of the Division for Management as the project manager have helped the Office to make further progress in the application of the management system;

(c) Maintenance and exercise: a full test of the Office's emergency notification system was conducted in October 2016. The most recent tabletop simulation exercise for the Crisis Management Team, conducted by external facilitators, was successfully concluded in November 2017. The after-action report confirmed that the team had reacted appropriately and expediently to the emergency scenario. In August 2018, the Security and Safety Service in Vienna conducted an evacuation exercise that included representatives of the host country emergency services;

(d) Risk management: the Office conducted holistic risk assessments that included the enterprise risk management risk register, a security risk assessment and the analysis of operational risks. The results of the assessments provided the basis for the harmonized and integrated risk management strategies, which have significantly strengthened the Office's and UNODC resilience;

(e) Planning: all required emergency response plans are in place, drafted in close coordination with host government authorities and reviewed on an annual basis.

**Department of Peacekeeping Operations**

19. Between 2016 and 2018, the field missions of the Department of Peacekeeping Operations have progressed in the application of the organizational resilience management approach:

(a) Policy: in August 2015, the policy on the organizational resilience management system was promulgated in the field, with a request to each mission to appoint a focal point who should support the Chief of Staff in applying the systemic approach to the mission's emergency management;

(b) Governance: both the Department of Peacekeeping Operations and the Department of Field Support have established an organizational resilience management system governance structure at Headquarters, and the organizational resilience management system policy has been widely circulated. Senior managers of both departments are aware of the current crisis architecture and their respective roles and responsibilities regarding support for crises in peacekeeping missions. All peacekeeping missions established organizational resilience management system governance structures and have the required emergency plans. Missions are in the process of applying the Secretariat's new approach to business continuity;

(c) Maintenance and exercises: the organizational resilience focal points nominated by their missions were provided five-day training to help to support the application of the organizational resilience management system in their missions. The

United Nations Headquarters has supported the focal points remotely through webinar training sessions, one-on-one engagement on mission-specific needs and regular group follow-up. In response to the recommendations in the report of Lieutenant General (retired) Carlos Alberto dos Santos Cruz, improving crisis management capabilities within peacekeeping missions has become a priority. The organizational resilience programme manager developed guidance on essential crisis management capabilities and crisis management simulation exercises. A cadre of simulation exercise designers and facilitators is being developed within each peacekeeping mission. In 2018, 50 mission personnel were trained on the new methodology through the annual course on the organizational resilience management system and the United Nations Operations and Crisis Centre field crisis management course. Missions are encouraged to include host government representatives, where appropriate, in simulation exercises to enhance coordination between missions and host Governments during emergencies;

(d) Risk management: organizational resilience is integrated into and complements risk management processes and procedures in the field and at Headquarters and encourages risk stakeholders to share a common understanding of risks and to harmonize risk management measures;

(e) Planning: the focal points work with key stakeholders to harmonize all emergency plans and establish a regular maintenance, exercise and review programme. Where useful and appropriate, missions are encouraged to incorporate host government representatives in emergency planning. The organizational resilience programme manager has provided extensive support to missions in the review of emergency plans.

### **Department of Political Affairs**

20. The Department of Political Affairs continued to make progress in the application of the organizational resilience management system:

(a) Policy: following the promulgation of the policy, the Department designated a focal point in the Office of the Under-Secretary-General and requested special political missions to appoint organizational resilience focal points;

(b) Governance: senior managers have been made aware of the Department's crisis architecture at Headquarters and their roles and responsibilities regarding support for crises in the field;

(c) Maintenance and exercises: standard operating procedures for crisis management in special political missions were issued and simulation exercises conducted within the standardized framework developed by the Department of Peacekeeping Operations. Lessons learned from those exercises have been shared with all the special political missions with a view to strengthening the missions' capabilities in crisis management. The role of the host country in the management of crises is continuously emphasized, including by briefing the relevant authorities on the procedures employed by the United Nations and inviting representatives to attend the simulation exercises, as well as through regular interactions at the technical and management levels. During the past three years, special political missions have received continuous support from Headquarters for developing and applying contingency procedures and capabilities. Several of the field-based focal points were able to participate in the five-day workshop on the organizational resilience management system approach organized by the Department of Peacekeeping Operations in the Global Service Centre in Brindisi, Italy;

(d) Risk management: following the risk management framework of the Department of Political Affairs at Headquarters, special political missions have been

encouraged to develop risk management frameworks that include the different key disciplines of the organizational resilience management system. Those risks are assessed, treated and reviewed on a regular basis;

(e) Planning: the focal points of the organizational resilience management system are important liaisons with key stakeholders involved in developing, operationalizing and maintaining the contingency plans. Given the nature of and variations in the geographic footprint, implementation of the organizational resilience management system across all special political missions is uneven. Nevertheless, with continuous support from Headquarters, steady progress is being made with a focus on strengthening business continuity capabilities. Focal points for organizational resilience assuming the role of assisting the mission chief of staff in the application of the organizational resilience management system often causes delays, which have a negative impact on the effectiveness of the organizational resilience management system approach in the special political missions.

### **Regional commissions**

#### *Economic Commission for Africa*

21. The Economic Commission for Africa (ECA) has made significant progress in its emergency management efforts:

(a) Policy: following the adoption of the ECA policy on organizational resilience management in 2016, ECA created an intranet site to facilitate widespread dissemination of the policy and related documentation;

(b) Governance: ECA established a working group comprising division/section chiefs to oversee the continuous application of the organizational resilience management system. Regular meetings have been conducted and the specific roles and responsibilities of the members clarified;

(c) Maintenance and exercises: after key managers were briefed on the management system, various exercises were conducted over the past years, including a remote working exercise with all ECA staff, exercises involving representatives of the host Government such as a mass casualty incident, an emergency response and an evacuation exercise for all United Nations personnel within the ECA compound, and several ad hoc exercises at the division or section level. Such exercises offered ECA staff members the opportunity to practise coordination and harmonization of their preparedness and response strategies among the different key elements of the framework;

(d) Risk management: ECA developed a risk register that documents risks to resilience, based on interviews with section chiefs. The working group has proactively reviewed and managed risk mitigation measures to increase resilience while integrating other risk initiatives and plans concurrently across the entity;

(e) Planning: the playbook was updated to include a robust fit-for-purpose crisis management plan for the Crisis Management Team to manage and direct the overall response and recovery efforts in the event of an incident. A comprehensive crisis communications plan was developed and practised with pre-scripted messages for the most probable scenarios affecting ECA. The ECA business continuity plan and ICT disaster plan are under development and expected to be finalized by the end of 2018.

*Economic Commission for Latin America and the Caribbean*

22. The Economic Commission for Latin America and the Caribbean (ECLAC) has made progress in applying the principles of the organizational resilience management system:

(a) Policy: the ECLAC administration has actively promoted the policy on the organizational resilience management system at the managerial level;

(b) Governance: a designated programme manager was assigned to implement the emergency management framework according to the principles of the policy. The Chief of Security and Safety maintains a close relationship with the host country by participating in monthly meetings to establish emergency management protocols, specifically also addressing the threats of earthquakes;

(c) Maintenance and exercises: ECLAC performed three tabletop exercises with a group of critical staff and members of the Business Continuity Team. In addition, a full-scale testing exercise was conducted in December 2017. An earthquake evacuation drill involving critical staff and Business Continuity Team members was conducted in June 2018, testing emergency preparedness and response capacity. ECLAC is in the process of developing training programmes on the organizational resilience management system for all staff. Its efforts will be coordinated with the inter-agency community of practice;

(d) Risk management: in 2018, ECLAC conducted a security risk assessment for all agencies, funds and programmes located in Santiago. The information technology disaster risk assessment and the enterprise risk management survey have been launched to help to identify risk related to ECLAC business continuity;

(e) Planning: ECLAC made significant progress in issuing emergency management documentation, harmonizing it with internal and United Nations standards and integrating various planning instruments, including risk assessments, enterprise risk management surveys, and the logical framework matrix and playbook of the organizational resilience management system. ECLAC has also updated its business continuity plan to reflect the organizational resilience management system approach.

*Economic and Social Commission for Asia and the Pacific*

23. The Economic and Social Commission for Asia and the Pacific (ESCAP) has made significant progress in its implementation of the organizational resilience management system. A focus of the past three years involved various major projects to strengthen the resilience of the ESCAP premises in Bangkok:

(a) Policy: in accordance with the policy, ESCAP integrated its business continuity management system into the security policy framework. The system includes strategies for continuing essential and time-critical business services, a mandated crisis response and actions to protect staff and organizational assets;

(b) Governance: ESCAP relies on its Security Management Team and its Operations Management Team to govern its emergency management, focusing on business continuity to remain current, effective and responsive during a crisis;

(c) Maintenance and exercise: ESCAP tested its business continuity plan, which guides its response to a crisis to minimize potential loss of life, injury and damage to assets. An important part of staff support planning was the renewal of an agreement with Bangkok Hospital for dedicated emergency and major incident response;

(d) Risk management: on the basis of a thorough risk assessment, ESCAP installed flood protection barriers and improved pumping systems to mitigate potential flooding of the premises and completed fire protection systems for the office

towers. ESCAP made further progress in strengthening the premises through the seismic mitigation retrofit and life-cycle replacement project, which will ensure that the facility meets modern-day life-safety seismic performance targets;

(e) Planning: ESCAP engaged with consultants to independently review the business continuity plan and make recommendations on future developments. The digitization of financial and human resources data, as well as the increase in the number of virtual desktop infrastructure licences for critical staff for secure and remote access to classified information, strengthened the capability of ESCAP to continue essential business services. The United Nations country security plan is aligned with the Host Country Agreement, which describes the collaboration with the Thai authorities regarding crisis management and protection of United Nations personnel and assets.

#### *Economic and Social Commission for Western Asia*

24. The Economic and Social Commission for Western Asia (ESCWA) has made progress in the implementation of the organizational resilience management system:

(a) Policy: ESCWA adopted the policy on the organizational resilience management system and made all related documents available to the Crisis Management Team. A Unite Connections group was set up to manage all relevant documents, providing access to ESCWA staff who hold time-critical functions and the members of the crisis management structure;

(b) Governance: under the oversight of the Executive Secretary of ESCWA, the Director of the Administrative Services Division is the crisis coordinator and programme manager for the organizational resilience management system. Under the crisis management framework, the Crisis Management Team, headed by the Executive Secretary, acts as the decision-making body for all crisis responses. The Critical Response Team, consisting of all section/unit chiefs of the Division and chaired by the Director of the Division, carries out the business continuity activities, while the Chief of the Security and Safety Section maintains a close relationship with the host country authorities to remain fully informed of any developments;

(c) Maintenance and exercises: several exercises have been conducted, including annual drills and tabletop exercises. All members of the crisis management structure received training in the principles of the management system. In addition, Crisis Management Team members review and update the crisis management system on a quarterly basis. ESCWA is working with United Nations Headquarters on the availability of a training programme;

(d) Risk management: ESCWA put in place a holistic risk assessment framework that combines security risk management with holistic risk management under the organizational resilience management system and the enterprise risk management efforts of ESCWA. Thanks to the integration of the different perspectives of the key elements of the framework, ESCWA has strengthened its risk management process and its resilience;

(e) Planning: within the organizational resilience management system, ESCWA has harmonized the security plan, the UN House emergency evacuation and fire plan, the crisis management support plan, the business continuity plan, the information technology disaster recovery plan, the emergency communication plan, the mass casualty incident response plan and the staff support plan. All plans are reviewed on a biannual basis and as needed.

#### **Costs of the organizational resilience management system initiative**

25. The paragraphs below present the estimated costs of implementing the organizational resilience management system for the entire United Nations Secretariat.

## Total costs of awareness-raising, training and coordination of the key areas

(Thousands of United States dollars)

Cost	2016			2017			2018			Total
	Headquarters	Offices away from	Regional commissions	Headquarters	Offices away from	Regional commissions	Headquarters	Offices away from	Regional commissions	
		Headquarters			Headquarters			Headquarters		
Staff time (standard costs)	197	69	66	199	73	71	226	95	73	1 069
Travel cost	21	—	—	18	—	7	9	6	16	77
Consultants	—	1	4	—	2	35	3	2	—	47
All other costs <sup>a</sup>	2	—	—	2	—	3	2	—	2	11
<b>Total</b>	<b>219</b>	<b>70</b>	<b>70</b>	<b>219</b>	<b>75</b>	<b>116</b>	<b>240</b>	<b>103</b>	<b>92</b>	<b>1 204</b>

<sup>a</sup> Includes general operating expenses and supplies/materials.

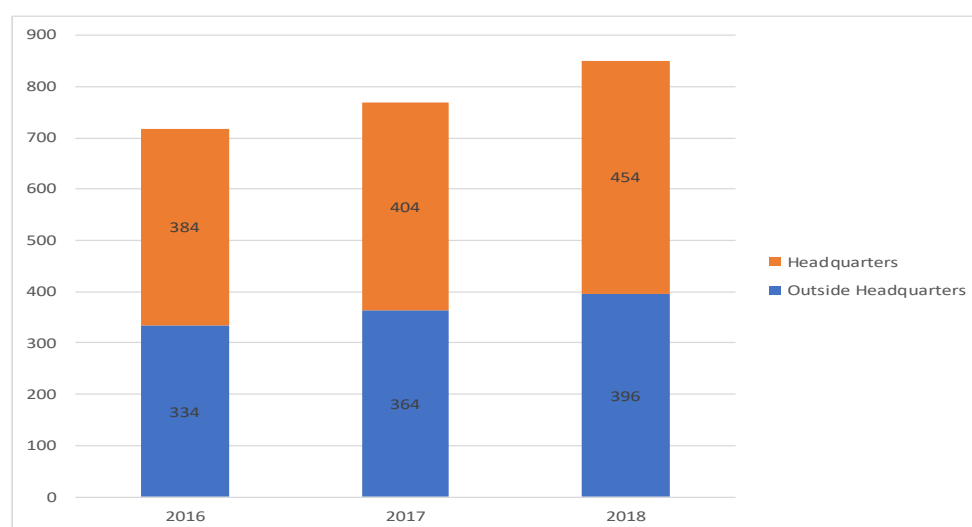
26. The costs shown in the table above were incurred in the implementation of the organizational resilience management system and in meeting the related key performance indicators. Specific activities include the promulgation of the policy, establishing governance and integrated risk management for the organizational resilience management system, and the roll-out of standardized programmes of simulation exercises.

### Staff time

27. As there is currently no time allocation module in Umoja to capture staff time, the following figures are based on estimates made by the various Secretariat entities. The estimates include staff time invested in awareness-raising, training and coordination of the different key elements of the organizational resilience management system from 2016 to 2018.

Figure II  
Total staff time spent in the Secretariat for awareness-raising, training and coordination of key elements

(Working days)



Note: "Outside Headquarters" includes offices away from Headquarters and regional commissions.

28. It is important to note that most of the staff time spent at Headquarters was in support of the application of the organizational resilience management system in the field (850 days out of a total of 1,242 days over the period). That support was provided by the Programme Officer of the Department of Peacekeeping Operations and the Department of Field Support, the focal point of the Department of Political Affairs and staff of the Department of Management.

#### *Operational costs*

29. A total of \$135,000 in operational costs from 2016 to 2018 was used mainly for consultancies (\$47,000) and staff travel (\$77,000), the latter to provide training on the application of the organizational resilience management system in the field and to participate in the first conference of the inter-agency community of practice, held in New York in 2018.

#### **Global insurance**

30. As requested by the General Assembly, the Secretary-General continues efforts to secure sufficient insurance coverage at a reasonable cost for all United Nations locations and risk exposures, taking into consideration ongoing risk mitigation efforts developed and implemented under the framework of the organizational resilience management system. The Risk Management Unit currently manages some 20 commercial insurance policies for the Organization, the majority of which provide coverage worldwide and work to mitigate the Organization's risk, including for the agencies, funds and programmes. Each policy is renewed on an annual or biannual basis to ensure that the insurance coverage is as broad as possible while remaining cost-effective and in line with current insurance market conditions and best practices. In January 2018, the Unit and the Procurement Division finalized a solicitation for broker services and, after the successful outcome of that pilot exercise and incorporating lessons learned, will continue to issue solicitations for broker services for insurance policies on a rolling basis to optimize results and maximize savings.

### **C. Implementation in the funds and programmes**

31. Eight funds and programmes of the United Nations system reported on their progress in implementing the principles of the policy as endorsed by CEB in December 2014.

#### *United Nations Development Programme*

32. The business continuity management of the United Nations Development Programme as updated in January 2018 serves as the emergency management framework across the entire entity. The framework helps offices to respond to internal and external threats and ensures the organization's preparedness, resilience and ability to continue delivering its mandate when such threats materialize. It complements the entity's enterprise risk management and provides tools to address those risks which might have an impact on the continuity of operations. Both frameworks are supported by effective governance structures providing oversight mechanisms and support. The enterprise risk management policy was revised and globally launched to further enhance risk management within the organization.

#### *United Nations Population Fund*

33. The United Nations Population Fund has integrated the organizational resilience management system into its corporate business continuity management structures. The entity intensified the strengthening of its crisis management response and

preparedness by conducting simulation exercises, which were based on threat scenarios of civil unrest, terrorism, health epidemics and natural hazards, derived from country security risk management exercises. The emergency communications systems were tested as part of crisis management simulation exercises. The Executive Committee discusses staff safety and security as a standing agenda item at its meetings, ensuring the highest level of support for the implementation of corporate policies and procedures, as well as for monitoring compliance levels.

#### *United Nations Children's Fund*

34. The United Nations Children's Fund (UNICEF) continues to make progress in the implementation of the organizational resilience management system. In terms of governance, the organizational resilience programme is managed from the Office of the Executive Director. Efforts to strengthen planning indicators include an improved global crisis management protocol and the launch of an emergency notification system for crisis communications. While UNICEF is working to develop a more comprehensive set of resources for the maintenance, exercise and review of organizational resilience management indicators, the entity offers training and awareness through online courses, on-site awareness sessions and orientation sessions for new staff. UNICEF has also implemented a SharePoint site for all members of the emergency management structure to share best practices and for personnel to access a variety of preparedness resources.

#### *United Nations Office for Project Services*

35. Since 2015, the United Nations Office for Project Services (UNOPS) has revised its policy framework on organizational resilience, including its policies on risk management, security, business continuity and crisis communication, with the aim of simplifying and harmonizing policies and procedures for effective application of the integrated approach. Business continuity planning remains a key priority: all UNOPS global offices must have fully functional business continuity plans that are tested annually. UNOPS has continued the roll-out of the enterprise risk management framework and is preparing the launch of an online risk management tool for both operational and organizational risk management.

#### *World Food Programme*

36. During the period 2016–2017, the World Food Programme (WFP) consolidated the organizational resilience management system at its headquarters and regional bureaux. The maintenance and exercise went through a first full-year cycle in 2017. The focus was on business continuity, particularly devolving critical processes rapidly from one location to another. In 2018, WFP started extending integrated crisis and business continuity planning to country offices. This is driving a review of the entity's normative and governance structures; the goal is to enhance their effectiveness during 2018–2019. WFP will also build on its experience in helping to define United Nations-wide business continuity frameworks.

#### *Office of the United Nations High Commissioner for Refugees*

37. The Office of the United Nations High Commissioner for Refugees (UNHCR) continues to be part of the Security Management Team and the coordination group of the organizational resilience management system in Geneva. With the assistance of the United Nations Office at Geneva, UNHCR finalized the first version of its crisis management standard operating procedures for its headquarters in late 2016 and is currently developing the UNHCR Crisis Management Team playbook. The same model will be used to expand the scope to other locations.

*Joint United Nations Programme on HIV/AIDS*

38. Since the endorsement of the organizational resilience management system policy by the High-level Committee on Management, the Joint United Nations Programme on HIV/AIDS (UNAIDS) has strengthened its compliance with several key performance indicators. UNAIDS has rolled out a comprehensive risk management process, with assessments being undertaken at all levels and in all geographical areas of its secretariat. UNAIDS has moved to a cloud-based solution for its information technology systems, reducing the risks related to its own physical infrastructure. UNAIDS is in the process of updating its plans for business continuity, with the understanding that major changes will be forthcoming in relation to the United Nations reform objectives.

*United Nations Entity for Gender Equality and the Empowerment of Women (UN-Women)*

39. Over the past three years, UN-Women implemented tailored business continuity and crisis management programmes at all office locations, including compliance monitoring and testing of its ICT disaster recovery plan. During 2018, the programme focused on process redesign and automation to increase efficiencies through simplification and the application of advanced technologies. Numerous activities were conducted to strengthen the resilience of UN-Women, with a strong emphasis on learning through the facilitation of tabletop and functional exercises. Among others, a full day headquarters crisis management and business continuity exercise was held at an alternate site chaired by the Executive Director.

## **D. Application in the specialized agencies**

40. Twelve of the specialized agencies represented in CEB have strengthened their emergency management by applying the coordinated approach as required by the policy on the organizational resilience management system.

*Food and Agriculture Organization of the United Nations*

41. The first phase of implementing the organizational resilience management system project of the Food and Agriculture Organization of the United Nations (FAO) was completed in early 2018, with business continuity plans being developed for the headquarters in Rome and the Shared Services Centre in Budapest. The application of the management system in the decentralized offices gained momentum in the second half of 2018. Staff working on emergency management in the three Rome-based agencies developed a network. A memorandum of understanding that provides for the shared use of premises in cases of disruption of critical functions of one or more partners, as well as for joint preparedness training, is being finalized.

*International Atomic Energy Agency*

42. International Atomic Energy Agency (IAEA) management and staff recognize the essential role that IAEA plays in ensuring the safe use of nuclear technology globally. Organizational resilience is therefore considered a top priority and business continuity and ICT disaster recovery are considered part of the Agency's strategic projects. An organizational resilience group responsible for the application of the management framework in the Agency was established at the senior management level. It mainstreams organizational resilience into the Agency's critical processes, thereby enabling continuity of operations during a disruption.

*International Civil Aviation Organization*

43. The application of the organizational resilience management system at the International Civil Aviation Organization (ICAO) is led by the Security and Crisis Management Team at headquarters, which includes emergency and disaster management. Such a structure allowed ICAO to develop a robust culture of risk awareness and risk management in the key areas of the system. During the past three years, ICAO continued to update its business continuity measures for headquarters and regional offices yearly and held several exercises at the operational level, including with the host Government. ICAO invested substantial resources into strengthening its ICT disaster recovery measures to protect the organization.

*International Fund for Agricultural Development*

44. Since the creation of its business continuity management system in 2011, the International Fund for Agricultural Development has maintained an effective crisis management structure. It is within the mandate of the unit for corporate security to actively pursue the monitoring and implementation of components of the organizational resilience management system and ensure that the various emergency preparedness plans are updated and effective. Two evacuation exercises and a dedicated Crisis Management Team tabletop drill were conducted in 2016 and 2017. A main challenge in the application of the systemic approach has been the integration and harmonization of the individual key elements.

*International Labour Organization*

45. The International Labour Organization (ILO) has in place most of the components of the organizational resilience management system and reviews them on a regular basis. For its headquarters, ILO developed an organizational resilience management plan, containing measures for crisis communication, and the standard operating procedures for crisis management and security response, as well as a disaster recovery plan for key ICT services. All ILO country offices have a business continuity plan, including protocols for crisis management and crisis communication. ILO is currently updating those plans based on lessons learned and changes in its operational modalities. Procedures for mass casualty incident responses are due to be completed in 2019.

*International Maritime Organization*

46. The International Maritime Organization has well-established business continuity/disaster recovery procedures in place for information technology systems and essential services and is in the process of developing and integrating those and other systems to comply with the policy. The process should be complete after a targeted training workshop for relevant stakeholders.

*International Telecommunication Union*

47. In May 2017, the International Telecommunication Union (ITU) Council approved a project for developing the organizational resilience management system approach for emergency management within ITU. The project began on 1 November 2017 and will have been finished by 31 December 2019. Extensive research at headquarters, regional and area offices, including consultations with the Department of Safety and Security of the United Nations Secretariat, has enabled further development of existing security risk management policy, plans and crisis management procedures and the facilitation of a crisis management exercise for senior management. A business impact analysis and the development of a business

continuity and disaster recovery programme, along with appropriate staff training, maintenance and exercises, are ongoing.

#### *United Nations Industrial Development Organization*

48. While the United Nations Industrial Development Organization (UNIDO) is part of the Vienna-based organizations for matters related to security and crisis management, it has put in place its own systems relating to the other key elements of the organizational resilience management system. Its emergency management efforts are mandated by a Director General's bulletin that defines the goal, the governing structure and the duties of the major stakeholders and staff members. UNIDO also requires all headquarters-based departments and their field offices to establish business continuity plans and to review and update them regularly. Ongoing efforts to support the resilience of individual staff in various ways are another important initiative in strengthening the organization's resilience.

#### *Universal Postal Union*

49. At the Universal Postal Union (UPU), the organizational resilience management system approach has been traditionally treated as part of the crisis management and business continuity plan. The corresponding policy was approved by executive management and presented to the Council of Administration in 2007 and 2010; an update is due in 2019. Since 2014, it has become part of the annual risk and control self-assessment to review the business-critical processes, which the UPU secretariat undertakes as part of its internal control framework. UPU plans to raise awareness of the framework among staff and further develop it, while ensuring that it remains adapted, considering the size and homogeneity of UPU.

#### *World Health Organization*

50. Since 2016, progress in the application of the organizational resilience management system has been made mainly with the development of the World Health Organization (WHO) Health Emergencies Programme, also in response to the Ebola crisis. The Programme includes a sophisticated crisis management system cutting across all levels of the organization. Business continuity planning has been strengthened in all offices at the regional and national levels. The Office of Compliance, Risk Management and Ethics has provided guidance for addressing the various elements of the system and, in collaboration with the Programme, raises awareness of the importance of the integrated approach and its application at the country level.

#### *World Intellectual Property Organization*

51. Building on its strong foundations in organizational resilience, the World Intellectual Property Organization (WIPO) continued its awareness-raising and training of its Crisis Management Team and staff. Training to focus on cross-organizational coordination and communication was held in the form of a joint tabletop exercise with the Crisis Management Team of the United Nations Office at Geneva in 2017 that followed a Security Management Team crisis scenario exercise attended by the Director General. Staff evacuation exercises continue to be held regularly. New biannual staff induction sessions have been launched, which provide an overview of the objectives of business continuity, as well as crisis and emergency information. All critical business functions reviewed their business continuity plans and conducted business impact analyses.

### *World Meteorological Organization*

52. The World Meteorological Organization (WMO) prepared its first guidelines for managing emergencies in 2014, which were aligned with those of a sister organization to harmonize the approaches and benefit from the good practices of other organizations. The guidelines proved to be an efficient way to address emergencies and prepare contingency measures. To strengthen its resilience, WMO entered into agreements with other organizations, including the International Computing Centre, to strengthen its disaster recovery capabilities. Having been primarily a headquarters-based organization, WMO currently faces the challenge of a growing regional presence with a need for a strengthened organizational resilience system.

## **E. Implementation in the international financial institutions represented in the United Nations System Chief Executives Board for Coordination**

53. While the International Monetary Fund and the World Bank actively collaborate with colleagues from the United Nations system and other international financial institutions, their business continuity programmes operate independently with their own governance structure.

### *International Monetary Fund*

54. As an active member of CEB, the International Monetary Fund has been involved in partnerships in the areas of risk prevention and resilience and serves as a resource for information and benchmarking. It is currently working on bringing the crisis management and business continuity concepts into a single risk and resilience framework to resolve conceptual ambiguities and establish a standardized sequence of actions for risk management and resilience-building. The Fund will continue to share its findings with counterparts to further leverage collective areas of interest and identify best practices.

### *World Bank Group*

55. The business continuity programme of the World Bank Group has made significant progress over the past three years. Senior management approved policies and procedures formalizing the governance of the overall programme. A strategic approach to the 180 overseas offices was developed and implemented through the provision of on-site and virtual training. A new methodology for engaging with headquarters-based units resulted in a more focused and efficient approach to the development and testing of continuity plans for headquarters core business units. In view of the strengthened incident management team at headquarters, the speed of decision-making and the use of technical capabilities to deal with non-traditional and emerging risks such as cybercrime were enhanced.

## **IV. Vision for the organizational resilience management system**

56. Organizational resilience management is an integral component of the overall business management of an organization that strengthens the organization's capabilities to absorb and adapt in a changing environment to enable it to deliver on its objectives.<sup>5</sup> More resilient organizations can anticipate and respond to threats and opportunities arising from sudden or gradual changes in their internal and external

<sup>5</sup> ISO 22316:2018, Security and resilience – Organizational resilience – Principles and attributes.

context. Enhancing resilience can be a strategic organizational goal and is the outcome of good business practice and effectively managing risk.<sup>6</sup>

57. Best practices suggest that establishing a clear vision and maintaining plans, competence, guidance and coordination within and across sectors, as well as ensuring the participation of relevant stakeholders, are essential to strengthening organizational resilience. The resilience of an organization depends on the resilience of its personnel, as well as on the collaboration between the diverse disciplines relevant to the organization's management.<sup>7</sup> Such collaboration offers the opportunity to harmonize and integrate risk assessments and risk treatment measures and helps to avoid overlaps and gaps between the disciplines. Strengthening organizational resilience requires that risks – and opportunities – not be managed within individual, disconnected silos but in an integrated and harmonized way.

58. Proper risk management is paramount to ensuring the Organization's continued capability to deliver on its mandate. Failure to develop such capacities has an impact on the lives of the people whom the United Nations serves. The United Nations risk management framework must take into account such factors as the devastating cost of human suffering that may arise from delays or failures in mandate delivery, the safety and security of the Organization's staff and reputational risks that accompany failure to deliver on the Organization's mandates (A/72/492, para. 64).

59. Accordingly, all organizations within the United Nations system must ensure resilient capabilities to deliver on mandates in times of open conflict and mitigate security risks to staff, as the prevention and peaceful settlement of disputes is the *raison d'être* of the United Nations (A/72/525, para. 1).

60. The current approach of the organizational resilience management system is aimed at strengthening the United Nations organizations' capabilities to prevent any incident that could disrupt their ability to deliver on their mandates, to mitigate potential impacts of incidents that cannot be prevented and to quickly recover lost capacities.

61. The suggested vision for the organizational resilience management system consists of strengthening the resilience of its personnel and improving the integration of key disciplines of the system. It is also proposed that the Organization look beyond the current key areas and review whether the integration of additional components, such as enterprise risk management and environmental sustainability management, could provide the Organization with gains in effectiveness and efficiencies.

## V. Next steps in strengthening the Organization's resilience

62. Most of the reporting United Nations organizations and Secretariat entities have put in place governance structures, policy and risk management instruments as required by the key performance indicators of the organizational resilience management system. For many of the entities, the development and implementation of a robust maintenance and exercise programme and the harmonization of different planning instruments remain a challenge. To address those issues, experience-sharing within the community of practice will focus on integrated planning and exercises to strengthen the application of the organizational resilience management system.

63. United Nations system-wide mapping of learning opportunities in the key disciplines of the organizational resilience management system by the inter-agency community of practice, under the leadership of the Emergency Preparedness and

<sup>6</sup> Ibid.

<sup>7</sup> Ibid., annex A.

Support Team of the Office of Human Resources Management, serves as a starting point from which to develop a joint learning programme. That programme serves staff who assume a function in preparedness, prevention, response or recovery efforts, as well as the staff at large. The joint learning programme will benefit from existing resources and make the most relevant learning opportunities available to all United Nations entities represented in the community of practice.

64. The first meeting of the community of practice strengthened the professional exchange between participating organizations, resulting in closer collaboration and the exchange of innovative approaches. Future planned meetings of the community of practice will also include organizational resilience professionals from outside the United Nations system.

65. Noting that current key performance indicators exclusively measure the existence of structures, policies and plans, further such indicators will be developed to include measurements of the Organization's capabilities in emergency management and to assess the value added by the coordinated and integrated approach of the organizational resilience management system.

66. After the finalization of the policy review foreseen for 2019, it is recommended that the inter-agency community of practice develop guidelines for the application of the collaborative and harmonized approach of the organizational resilience management system, to ensure that United Nations system organizations strengthen their ability to protect the lives of their personnel and maintain or quickly recover those services that are urgently needed by the people whom the United Nations serves.

## **VI. Action to be taken by the General Assembly**

67. The General Assembly is requested to take note of the present report on progress in applying the principles of the organizational resilience management system in the United Nations system.

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