

# **Addendum 3: Constructing an Integration Index**

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The Inception Report and the Terms of Reference require the formulation of an integration index.<sup>1</sup> We describe what such an index should show, the impacts and their indicators, and how such an index might be constructed.

**What the Integration Index Shows:** An integration index is a composite statistic designed to illustrate whether integration, i.e., bringing together or joining up UN entities, enhances the “individual and collective impact of the context-specific peace consolidation activities of the UN system.”<sup>2</sup>

In principle, the IAP Policy mandates that multifunctional UN presences<sup>3</sup> will be integrated. If the Policy is fully implemented, the impact would be maximized making an index (or scorecard) uninformative. In practice, the Policy mandate has never been fully implemented with our interviews revealing that most respondents are not aware of the Policy or, if they are, they do not heed its requirements. Peace consolidation missions tend to vary from 2 to 6 years.<sup>4</sup> This provides UN entities with adequate time and opportunity to adjust, and re-adjust, how closely or loosely they act with “unity of purpose” over the mission lifecycle. Under these circumstances, integration index could be a useful tool for tracking how, when, and to what effect UN entities integrate within the mission setting.

It is important to understand what the index will not show. It offers no guidance on the “optimal” degree of integration among UN agencies, let alone the maximum impact required by the IAP Policy.<sup>5</sup> Detailed experience with optimization techniques, e.g., as applied to optimal planning and optimal growth in economics, has demonstrated that they have minimal practical relevance.<sup>6</sup> Furthermore, because “form-follows-function” in each multifunctional UN,<sup>7</sup> it is not possible, before the fact, to specify criteria against which maximum (or optimum) impact can be judged.<sup>8</sup>

The index will help discern whether integration has a greater, or diminished impact on peace consolidation. The actual degree to which UN entities integrate is a balancing act. As they pursue what they perceive to be the mission’s goals, UN entities will individually and collectively weigh the factors which encourage integration (such as expected collaborative advantage, cost savings, and strategic alignment) against those

which discourage or disable it (mandates, capacities, logistical constraints, and security risks).

**What are peace consolidation impacts?** To serve its purpose, the integration index will yield qualitative or quantitative measures of impacts. The IAP Policy does not define the term but multiple UN studies do. One used extensively by our Review is a 2010 benchmarking guidebook which notes:

A consolidated peace can be defined as a self-sustaining peace. It becomes sustainable when conflicts that arise within a state can be resolved peacefully through the use of national norms, institutions, and practices (both established and ad hoc). A consolidated peace is marked by more than just the absence of military conflict in a state; it is characterized by the absence of major threats to public security as well, such as political repression and discrimination against vulnerable groups (women, ethnic and other minorities), torture, and widespread serious crime. External assistance may contribute to the maintenance of a peace but a consolidated peace must be able to sustain itself.<sup>9</sup>

Several points are noteworthy. A consolidated peace is self-sustaining. National norms, institutions and practices resolve conflicts peacefully. There are no major continuing threats to public security from political repression, discrimination against vulnerable

1 Among Phase I deliverables, the Review will “define and determine key factors that support or impede successful integration” and use these “multiple factors” to “inform the bases of an ‘Integration Index.’”

2 IAP Policy 2018, Section A.1. The IAP Policy mandates “integrated assessment and planning.” It requires functional, financial, structural, institutional, and operational integration (Sections A.2, B.6, C, E.20 and F,G,H,I, and J).

3 Secretaries-General Boutros-Ghali and Annan described these presences as “multidisciplinary,” “multifunctional,” and “multidimensional.” The Security Council used the term “multidimensional” for its missions in Mali and Central African Republic. We use the terms interchangeably.

4 This is a Security Council estimate (United Nations, 2010, p. 44).

5 IAP Policy 2018, Section A.1. Requiring maximum impact follows SG Decision 2008/24, a commitment “reconfirmed” by Secretary General Guterres (United Nations 2018, Section II, par. 35, p.4).

6 Manne 1974; Chenery et al., 1974; Acemoglu 2009.

7 This follows SG Decision 2011/10, June and IAP Policy Section E.20.

8 There are technical issues as well. Since all information on mission inputs, outputs, outcomes, and impacts is limited and uncertain, any optimization strategy will be adaptive (Day 1976; Friedman 1979).

9 United Nations 2010, Box 1.1, p. 55

groups, torture, and serious crime. Finally, a sustainable peace does not require external intervention. Each is an impact, i.e., a longer-term system-wide outcome<sup>10</sup> which reveals whether the “activities of the UN system” are consolidating peace.

Although these impacts motivate the overall mission, individual UN entities will focus more narrowly on outcomes and impacts related the specific mandates and specialties. These include peace and security, human rights, gender empowerment, children and youth,

governance, rule of law, state capacity, political participation, administration, and economic opportunity. Depending on the context, other areas (or peace consolidation dimensions) could be added. Most would be sub-sets of the above categories. For instance, corruption could fall under governance, equity under human rights, food security under economic opportunity, justice under rule of law, and institutions under state capacity. The following table provides examples from each of areas.

**TABLE 1: PEACE CONSOLIDATION IMPACTS**

Dimension	Impact
Peace and Security	threats to public security from political repression, discrimination against vulnerable groups, torture, and serious crime decline dramatically.
	increasingly professional and respected national security forces able to maintain a secure a peaceful environment throughout the country.
Human Rights	marked improvements in observance of human rights and access to justice for all segments of society
Gender Empowerment	systematic and sustained improvement in opportunities for women to participate politically and economically, to expand their roles in decision making, and increase their access to and power over economic resources. <sup>11</sup>
Children and Youth	progressively protect children, adolescents and youth from harm and assure that their rights are upheld through the provision of psychosocial support and targeted programs. <sup>12</sup>
Governance	demonstrable progress in reducing corruption among government officials.
Rule of Law/Justice	progressively restore and strengthen access to justice services. <sup>13</sup>
State Capacity/Institutions	national norms, institutions and practices are increasingly and widely used to peacefully resolve conflicts.
	increasing the strength of the national police and army to help consolidate the State’s authority throughout the country.
Political Participation	maintaining a constructive political climate that allows for free, fair, and non-violent national and local elections.
Administration	progressively restore and strengthen public security, access to justice and administrative services.
Economic Opportunity	significantly reduce threats to property and freedom of movement.
	expand opportunities for the broader integration of women and youth into the economic and social life of the country

<sup>10</sup> United Nations 2010, Figure 1.2, p.19 An impact is “the long-term direct and indirect effect (positive and negative) produced by operationalization of the strategic vision [of the peace consolidation mission]”

<sup>11</sup> This is derived from the UN’s Gender Empowerment Measure; see [www.unescwa.org/gender-empowermentmeasure](http://www.unescwa.org/gender-empowermentmeasure)

<sup>12</sup> Adapted from the UNHCR website <https://www.unhcr.org/en-us/child-and-youth-protection.html>

<sup>13</sup> United Nations 2010, p.64 (adapted from section on DRC Peace and Security components).

Having identified impacts, the task shifts to determining how and whether UN activities, integrated or otherwise, generate them. Indicators serve that purpose.

**Indicators Required:** An indicator is any “measurement or value which gives an idea of what something is like”<sup>14</sup> They can be qualitative and quantitative and are typically measured as levels, trends, ratios, or changes.<sup>15</sup>

There is no shortage of indicators. International agencies have assembled and regularly report hundreds of them on scores of topics. For example, the 17 Sustainable Development Goals (SDGs) have 184 targets and 255 indicators.<sup>16</sup> Multiple UN entities have series of specialized indicators with many having guidance documents for choosing appropriate indicators.<sup>17</sup>

The integration index is based on sub-sets of indicators which cause, correlate, or otherwise align with impacts like those above. The basic guide for choosing relevant indicators is the theory of change which links inputs (UN resources and capacities) to outputs (UN activities, integrated or otherwise) and outcomes (the broader conditions which support peace consolidation). These outcomes, in turn, generate the impacts which are evidence of peace consolidation. The theory of change (or roadmap) requires a detailed understanding of participating UN entities, their mandates, resources, the skills, aptitudes, and capacities of their personnel – particularly the organizational capabilities of their managers – incentives for collective action, their objectives, and the context where peace is to be consolidated. These requirements are familiar. They are consistent with the approach outlined in the Integrated Missions Planning Process (IMPP) and, subsequently, the IAP Policy.

Since theories of change (or roadmaps) are context-specific, we do not offer an example here.<sup>18</sup> Instead, Table 2 lists numerous indicators which, from UN mission experience, are causes and correlates of peace consolidation impacts.

Care is need interpreting most available indicators since they typically relate to the inputs, outputs, and outcomes of a single UN entity. This is a challenge for a multifunctional mission where the relevant indicators need to reflect the integrated inputs, outputs, and outcomes of two or more joined-up UN entities. We return to this point below.

Above we have drawn on indicators used by UN entities (and others) but it is noteworthy that the IAP Policy has some as well. Section A.3 specifically states that “integrated assessment and planning” is “essential” for improving the quality of the situational and conflict analysis, ensuring that design interventions are tailored to the requirements of each situation, making UN integrated presences more nimble and better able to adapt to changing mission circumstances, supporting the management and coordination of integrated presences, avoiding gaps and overlaps among different UN activities, identifying opportunities for closer cooperation across different parts of the UN system to enhance individual and collective impact, understanding the implication of resource availability and field support, improving the coherence and consistency of the UN as it collaborates with host governments and their partners, and devising coordinated communications and coherent messaging. These are important indicators of mission progress.

As a final point, we make liberal use of the SDG indicators for two reasons. They are widely available, regularly collected, and reflect broad international agreement of critical changes that all developing countries should make. Furthermore, peace consolidation and accelerated achievement of the SDGs are inextricably linked.<sup>19</sup> SDG progress is impossible without sustainable peace.

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<sup>14</sup> Collins English Dictionary online (accessed July 2020).

<sup>15</sup> Sandhu-Rojon 2017. In addition to measuring UN system performance (our focus here), indicators simultaneously enhance transparency (if widely publicized), promote accountability (if appropriately monitored), and provide feedback for adjustment (if activities or programs are off-track). By leading, coinciding with, or lagging the variables with which they are aligned, indicators are useful for confirmation and prediction. In addition to these properties, indicators should be easy to assemble in a consistent, timely, fashion and be “stable” over time, i.e., they maintain their relationship to the phenomenon being measured (United Nations 2010, p. 43; DPKO/OHCHR 2011, pp. 1-4). The last requirement creates difficulties via an effect first noted by Charles Goodhart (Goodhart 1989; Chrystal and Mizen 2003, pp.3-4), namely, an “observed statistical regularity will tend to collapse once pressure is placed upon it for control purposes.”

<sup>16</sup> United Nations 2016, Annex IV

<sup>17</sup> See note 20 below.

<sup>18</sup> They can be derived from the planning tools in multifunctional missions, particularly the Strategic Assessments, Integrated Structural Frameworks, and Integrated Technical Frameworks (see for example IAP Policy 2018, Sections F30, G31, 34, 37, H.49).

<sup>19</sup> The United Nations Foundation website notes: “The Sustainable Development Goals (SDGs) are the world’s shared plan to end extreme poverty, reduce inequality, and protect the planet by 2030.”

**TABLE 2: INPUT, OUTPUT AND OUTCOME INDICATORS RELATED TO PEACE CONSOLIDATION<sup>20</sup>**

Dimension	Indicator
Peace and Security	facilitating coordinated communications and coherent messaging on peace and security.
	violations of cease-fire agreement. <sup>21</sup>
	numbers of disarmed ex-combatants and weapons collected as part of demobilization, disarmament, and reintegration.
	proportion of the population who feel safe walking alone at night in the city or area where they live.
	return and resettlement of refugees and internally displaced persons.
Human Rights	increased control over arms, drugs, and human trafficking.
	incidence of tuberculosis (per 100,000 people).
	life expectancy at birth (years).
	population using at least basic drinking water services (%).
	population using at least basic sanitation services (%).
Gender Empowerment	children 5–14 years old involved in child labor (%).
	maternal mortality rate (per 100,000 live births).
	ratio of female to male mean years of schooling of population age 25 and above.
	decline in ratio of female to male labor force participation rate.
	reduction in gender wage gap (% male median wage).
Children and Youth	reduction in gender-based violence.
	progress in raising the education levels of women, increasing their access to health care, and boosting their livelihoods so they can escape poverty.
	mortality rate, under-5 (per 1,000 live births).
	prevalence of stunting (low height-for-age) in children under 5 years of age (%).
	percentage of surviving infants who received two WHO-recommended vaccines (%).
Governance	improvements in net primary enrolment rate (%).
	progress in raising mean years of schooling (years).
	reduction in youth not in employment, education, or training (%).
	improved leadership to ensure effective management and coordination of integrated presences.
	progress in transferring resource and field support management to national authorities.
Governance	improvement in government efficiency (scale of 1-7). <sup>22</sup>
	reduction in Corruption Perception Index (0-100)
	increasing effectiveness of national statistical agency to support program monitoring and evaluation.

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<sup>20</sup> Sources of Indicators: UN Women n.d.; United Nations 2010, pp. 53-62; DPKO/OHCHR 2011; United Nations 2013; United Nations 2016, Annex IV; Sandhu-Rojon 2018; Sachs et al., 2018, Table 10; UNICEF 2019, Statistical Tables

<sup>21</sup> United Nations 2010, p.23

<sup>22</sup> Scale: 1 – extremely poor/low quality; 7 – excellent, extremely high quality

Dimension	Indicator
Rule of Law/Justice	improvements in property rights (scale of 1-7).
	increase by police in controlling crime.
	increase in reporting of crime by women.
	improving impartiality of the court system.
	improved access to redress miscarriages of justice.
State Capacity/Institutions	increase in population using at least basic drinking water services (%).
	increase in population using at least basic sanitation services (%).
	improvement in quality of overall infrastructure (scale 1–7).
	improvement in logistics performance index (scale 1-7).
	percentage of anthropogenic wastewater being treated (%).
Political Participation	mean area that is protected in terrestrial sites important to biodiversity (%).
	progress in actively removing legal and administrative barriers to political participation by all citizens.
	increasing awareness among the citizens of their political rights.
Administration	actively reduce the marginalization of women from the political participation due to discriminatory laws, practices, attitudes, and gender stereotypes.
	better quality situational and conflict analysis.
	UN integrated presences nimble and adaptive.
	avoiding gaps and overlaps among different UN activities.
	identifying opportunities for closer cooperation across the UN system for individual and collective impact.
Economic Opportunity	birth registrations with civil authority, children under 5 years of age (%).
	progress in regular collection, assembly and analysis of key data related to peace consolidation.
	reduction in poverty headcount ratio at \$1.90/day (% population).
	decline in prevalence of undernourishment (% population).
	progress in raising average cereal yield (tons/ha).
	increase in access to electricity (% population).
	improvement in access to clean fuels & technology for cooking (% population).
	rising mobile broadband subscriptions (per 100 persons).
	decline in Gini Coefficient adjusted for top income (1-100).
improving trend in government health and education spending (% GDP).	

**Constructing the Index:** An index is a weighted combination of indicators. It is typically computed at a point in time, such as a quarter or year, or over a given interval such as two or five years. The longer interval evens out major fluctuations in the data e.g., agricultural harvests in a country subject to floods and droughts. Weights reflect some agreed ranking of the relative importance of the variable in the effect being measured. To illustrate, the inequality adjusted Human Development Index weights the indicators for health, education and living standards by the inequality in each of the three dimensions. By contrast, the Multidimensional Poverty Index gives equal weight to its ten measures of deprivation. Likewise, the Gender Empowerment Measure equally weights inequalities in women's access to political participation and decision making, economic participation and decision making, and power over economic resources.

Weights used in an integration index will reflect general agreement within the mission of the most critical peace consolidation impacts. The default will be equal weighting.

To construct the integration index, sub-indexes are computed for each of the ten impact dimensions listed in Table 1 using the corresponding indicators, like those in Table 2, which are derived from the context-specific theory of change, as described earlier. They will be updated and revised as data and experience accumulate over the mission lifecycle.

The integration index will be a weighted combination of the ten sub-indexes. All the indicators will be scaled (or normalized) to lie between 0 and 1. Each of the sub-indexes and the index itself will lie in the same range. Such scaling poses minimal problems. Most of the indicators in Table 2 are shares or proportions and others can be easily re-scaled. To illustrate, the peace and security indicator on share of foreign forces withdrawn can be scaled against peak deployment. The share is 1 before the transition begins and 0 when withdrawal is complete.

Identifying the indicators raises three issues. One is benchmarking. Base level data are essential if performance over time is to be tracked. A second is the comprehensiveness with which the peace consolidation "space" is to be spanned (or covered).<sup>23</sup> Adding

non-overlapping dimensions increases the sensitivity of the index but raises the cost in time and resources to compute it. Missions should begin modestly with a small number of indicators and augment them as an when needed. The third issue which is critical relates to whether the mission, from the start, is committed to providing the resources and capacities required to effectively monitor and evaluate performance. Our interviews revealed that, despite "integrated monitoring and evaluation" being a "minimum requirement" of the IAP Policy (Section J), multifunctional UN presences rarely, if ever, comply. Without detailed M&E, constructing an integration index is a waste of time and effort.

**Unanswered Questions:** Constructing an index is a well-trodden path – decide on the impacts, identify indicators, choose weights, collect the data, make the computations, and interpret the results. Identifying and measuring the inputs, outputs, and outcomes of integration are significantly more difficult.

Integrated entities are mutually dependent. The actions of one entity influences, and is contingent upon, the actions of another (or others). For this reason, integration differs fundamentally from coordination, i.e., working together, or acting in parallel. Measuring the outcome (or impact) of integration involves gauging the progress towards made by UN entities which integrate towards mutually agreed objectives relative to the corresponding progress that each entity can make acting separately.

It is illustrated as follows. Let A and B be two entities and  $V(.)$  the measure, or value, of progress over a specified period that they each makes towards an agreed objective. Acting separately, the progress is  $V(A) + V(B)$ . With integration, the progress is  $V(A,B) = V(A) + V(B) + IM(A,B)$  where  $IM(A,B)$  is the impact (or added value) of integration.<sup>24</sup> If  $IM(A,B)$  is negative, no rationally managed entity would integrate.

<sup>23</sup> The most informative indexes often have a limited number of well-chosen, critical dimensions. For example, the Human Development Index, which has been the benchmark for inclusive development for the last three decades has only three dimensions – health, education, and income.

<sup>24</sup> More generally, suppose a mission comprises inputs from 10 entities, A to J. Over a particular period, mission (or UN system) performance would be  $V(A,B,.....,J)$ . The impact from integration would be  $IM(A,B,.....,J) = V(A,B,.....,J) - V(A) - V(B) - ..... - V(J)$ . A more complete specification would index the value, impacts, and entities to time (t).

The difficulty of measuring impact as defined above is that UN entities within a multifunctional mission do not (normally) act separately. As noted earlier, they are mandated to integrate.

Yet, few if any UN entities fully integrate. Three degrees of integration can be distinguished. The first is when UN entities provide complementary services. The second is when their services overlap or supplement those provided by other entities. The third is when UN entities do not coordinate and/or act in parallel<sup>25</sup>.

The most obvious example of complementary services is a United Nations peacekeeping operation providing security for a refugee camp run by the UN High Commissioner for Refugees (UNHCR) and serviced by UNICEF and WFP. Electoral assistance fits the second example. With support from the Electoral Assistance Division (EAD) at Headquarters, UNDP, DPO and others, assist the host government prepare for and hold local and national elections. A Needs Assessment Mission determines in advance of the how, when, where, and what support each UN entity will provide.<sup>26</sup> Our interviews confirmed that these sub-integrated arrangements have been highly successful in meeting time-bound, defined objectives typical of elections and transitions.<sup>27</sup>

Local circumstances often determine the third level. Our interviews provide the following examples. Humanitarian agencies at times reject security support citing a desire not to “militarize” their assistance. Separate co-located UN entities retain their own procurement departments. UN entities, particularly those with independent Member States funding, prefer not to coordinate their logistics with other entities. There would be obvious gains in mission efficiency and effectiveness if these activities were integrated, experience indicates the issue would have to be forced. Experience has also shown that the effort and time needed to elicit the reluctant compliance of entities which have no wish to cooperate is not a constructive means of advancing the mission’s goals.

**Concluding Comments:** An integration index will be useful in a multifunctional UN presence if there is broad agreement on the impacts of the mission, the theory of change linking the inputs and activities of the contributing UN entities to the outputs, outcomes, and

impacts, and an approach to identifying and measuring the relevant benchmarks and indicators for those outputs, outcomes, and impacts. Constructing an index poses few technical difficulties. The task, however, is data and skill intensive. It will require that the mission develops the capacities to comprehensively monitor and evaluate its performance.

This, however, is not an arduous task. Indeed, it is a virtuous circle. The IAP Policy requires “integrated monitoring and evaluation.” Furthermore, an integration index can be derived from the data generated. This, in turn, will help the mission make the adjustments needed to accelerate progress towards sustainable peace.

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25 A fourth degree reflects the highly specialized services of some entities. Examples are WHO efforts to contain outbreaks of Ebola and other contagious diseases and UNICEF’s child immunization program.

26 This structured division of labor is an example of UN entities exploiting their collaborative advantage.

27 Secretary General Guterres noted (United Nations, 2019, July 18) that a mission transition “...is usually the result of progress towards peace.” For the Security Council, it is an opportunity to reconfigure “the UN presence in a country...” (Day 2020, p. 4)

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