



Administrative Instruction

Strategy and Policy on Partnerships with Industry and the Private Sector and Guidelines for Implementation

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I. Introduction and objective

1. Today, business is an essential partner in achieving the Organization's goals, marking a new chapter in United Nations business relations which had been limited until the 1990s. Driving this cooperation is the recognition that although the end-goals of the United Nations and business are quite distinct, there are many critical common objectives – such as building markets, combating corruption, safeguarding the environment, increasing food security, and ensuring social inclusion.¹

2. The General Assembly, in its resolution 70/224 recalled that the 2030 Agenda for Sustainable Development also acknowledges that the implementation of sustainable development will depend on the active engagement of both the public and private sectors, and recognizing that the active participation of the private sector can contribute to the achievement of sustainable development.²

3. The essential role of partnerships in achieving the 2030 Agenda was underscored in Sustainable Development Goal 17, which enshrines partnership as a goal in itself but also as a critical means of implementation for the entire Agenda. As reflected in Goal 17, the 2030 Agenda can only be realized with a strong commitment to partnerships at all levels between governments, the private sector, civil society and others.³ The Secretary-General Mr. António Guterres stressed, “Either the Sustainable Development Goals are fully assumed with enlightened self-interest by the business community, the private sector, and the financial sector, or the Sustainable Development Goals will be a very nice exercise in diplomatic discussions in New York and maybe in some policies of some Governments, but the impact on people, the impact on poverty, the impact on the planet, will be extremely, extremely small.”⁴

4. Involvement of industry and the private sector in various aspects of the peaceful exploration and use of outer space is not a new phenomenon. Thus, private involvement in various forms of space activities, be it investments or formation of operating entities, is known since the outset of space exploration. Various aspects, such as high cost of space programmes, military- and security related matters, views of some major space-faring States on private space activities, made the involvement of industry and the private sector not so visible for many decades. Since the 1990s, the participation of industry and the private sector in space activities has been growing with remarkable pace. It is now in focus of both the United Nations Committee on the Peaceful Uses of Outer Space (the Committee) and the United Nations Office for Outer Space Affairs (UNOOSA).

5. At its sixtieth session, held in Vienna in June 2017, the Committee endorsed that UNOOSA should pursue greater engagement with industry and private sector entities so that they supported and contributed to the overall work of the Office and, for example, the Access to Space initiative of UNOOSA.⁵

6. In pursuing the partnerships with industry and the private sector, UNOOSA takes note of the important fact that the General Assembly has made a number of

¹ The United Nations and Private Sector. The framework for collaboration. – Page 1.

² General Assembly resolution A/RES/70/224 of 22 December 2015 “Towards global partnerships: a principle-based approach to enhanced cooperation between the United Nations and all relevant partners”. – Preamble.

³ Report of the Secretary-General “Enhanced cooperation between the United Nations and all relevant partners, in particular the private sector”. – Document A/72/310 of 10 August 2017. – Para. 2.

⁴ Secretary-General, at Private Sector Forum, Pledges Action to Embed Sustainable Development Goals into International Economic Policy, Harness Climate Finance. – Press release SG/SM/18690-DEV/3281 of 18 September 2017.

⁵ *Official Records of the General Assembly, Seventy-second Session, Supplement No. 20 (A/72/20), [Sixtieth session of the Committee, 2017].* – Para. 326.

recommendations for ensuring more effective and transparent partnerships and for overcoming key operational challenges while also protecting the integrity and reputation of the United Nations.⁶ Further, the General Assembly, in its resolution A/RES/70/224 requested the Secretary-General to continue to promote effective implementation of the Guidelines on a Principle-based Approach to the Cooperation between the United Nations and the Business Sector.⁷

7. That document had been prepared on substantial basis and under the guidance of relevant documents of the General Assembly, the Secretary-General, entities of the Secretariat and of the United Nations System. In particular, the document draws from the “Guidelines on a Principle-based Approach to the Cooperation between the United Nations and the Business Sector” prepared by the United Nations in 2015, while also taking into account the relevant Financial Regulations and Rules of the United Nations.

8. The objective of the present document is to institutionalize and enhance practices in UNOOSA for making the best use the contribution of industry and the private sector to the projects and activities of UNOOSA, while creating an attractive environment for cooperation with industry and private entities, promoting the values of the United Nations in the industry and private community, as well as protecting the integrity and reputation of the United Nations.

9. The document is constituted of chapters, each addressing cornerstone subjects, which establish the overall framework established by UNOOSA for the engagement with industry and the private sector. The Annexes to this document contain fundamentally important principles and information and are regarded as integral part of the overall framework set out by the document. The document is to be considered, as and when appropriate, jointly with UNOOSA Partnerships Assessment Manual and Tool for Industry and the Private Sector, as well as with documents relating to UNOOSA-led Global Compact on Space.

10. The document will also take into account frameworks and documents, as well as empirically-based recommendations stemming out from the work of the UNOOSA-led Global Compact for Space, which is being planned to be established, and subsequently serve as the main mechanism for collaboration between the Office and industry and the private sector and as an entry point for private sector entities, in support of the implementation of the “Space2030” agenda.

11. The document will be updated, when and once new practices and needs arise which would warrant its revision.

II. Definitions

12. For the purpose of the present document, the following definitions, based on the recommendations and practice of the United Nations System and experience of UNOOSA, are adopted:

Industry and Private Sector: a) For-profit, and commercial enterprises or businesses; b) Business associations and coalitions (cross-industry, multi-issue groups; cross-industry, issue-specific initiatives; industry-focused initiative); including but not limited to corporate philanthropic foundations.⁸ Sporadic, non-commercial-income-

⁶ Report by the Secretary-General “Enhanced cooperation between the United Nations and all relevant partners, in particular the private sector”. – Document A/66/320 of 23 August 2011. – Summary.

⁷ General Assembly resolution A/RES/70/224 of 22 December 2015 “Towards global partnerships: a principle-based approach to enhanced cooperation between the United Nations and all relevant partners”. – Para. 21.

⁸ Guidelines on Cooperation between the United Nations and the Business Sector. Revised and signed by the Secretary-General (2009). – Para. 7.

generating activities on the part of individuals are not considered part of industry and the private sector.⁹

Partnerships: a voluntary and collaborative agreement or arrangement between one or more parts of the United Nations system and industry and the private sector, in which all participants agree to work together to achieve a common purpose or undertake a specific task and to coordinate their respective responsibilities, resources, and benefits. Nothing in such a partnership should be deemed to establish either party as the agent of the other party or create a legal partnership or joint venture between the parties. Neither party has power to bind the other party to any specific course of action without that party's consent, or to contract in the name of the other party, or to create a liability against the other in any manner whatsoever.^{10 11}

Partnerships Evaluation Group (PEG): assembly of staff members (one from each of the sections of UNOOSA) nominated by the Director of UNOOSA in consultation with all Chiefs of UNOOSA sections. The PEG meets when required for evaluating the results of the eligibility assessment and due diligence, and of the project documentation and proposal, and making recommendations on the permissibility of the partnership. Members of the PEG cannot be involved in any form of activities with industry and the private sector that can lead to the conflict of interest and/or undermine in any way integrity and reputation of the United Nations. The composition of the PEG may vary depending on specific cases, and taking into account the relatively small size of UNOOSA.

Partnerships Focal Point: staff of UNOOSA nominated by the Director of UNOOSA in consultation with all Chiefs of UNOOSA sections. Partnerships Focal Point conducts, as required, preliminary check and due diligence check, and reports the results to the PEG. Partnerships Focal Point can also represent UNOOSA at the United Nations Private Sector Focal Points Network¹². Partnerships Focal Point cannot be involved in any form of activities with industry and the private sector that can lead to the conflict of interest and/or undermine in any way integrity and reputation of the United Nations.

III. Strategy for partnerships between UNOOSA and industry and the private sector

13. UNOOSA recognizes industry and the private sector as a key stakeholder in the development of projects and partnerships aimed at bringing benefits of space to the needs of States and nations. In particular, it recognizes the potential that better coordination and collaboration between public and private sector can offer in increasing the delivery of UNOOSA Strategic Priorities.

⁹ UNDP policy on due diligence and partnerships with the private sector (2013).

¹⁰ Guidelines on a principle-based approach to the Cooperation between the United Nations and the business sector. Issued in 2000, revised and reissued in 2009, and revised in 2015 as requested by GA Resolution A/RES/68/234.

¹¹ Also see General Assembly resolution A/RES/70/224 of 22 December 2015 "Towards global partnerships: a principle-based approach to enhanced cooperation between the United Nations and all relevant partners". – Para. 2, and Report by the Secretary-General "Enhanced cooperation between the United Nations and all relevant partners, in particular the private sector". – Para. 7.

¹² For more information, please see the web site of The UN Global Compact and the United Nations <https://www.unglobalcompact.org/about/un-business-agenda>

14. UNOOSA therefore takes an open and proactive approach to optimizing the benefits from closer collaboration, including dialogue, exchange of information and knowledge, funding initiatives and joint activities. Depending on the nature of activities, collaboration can be time-bound, or on a more continuous basis and present different levels of formalization and geographical focus.

15. Through enhancing dialogue and consultation between the governments and the private sector, UNOOSA aims to improve the efficiency and inclusiveness of the international cooperation in the exploration and peaceful use of outer space. Particular attention is paid to the interests and needs of developing countries, and to the empowerment of women as part of the Space for Women project of the Office, aimed at widening possibilities for women to pursue space-related education and careers.

16. The main objective of the Strategy is to enhance collaboration aimed at further increasing delivery of UNOOSA's objectives and Strategic Priorities. More specifically, the Strategy aims at: (1) Helping UNOOSA to implement its mandates, to build capacity and technical expertise at local, national and international levels; (2) Assisting governments in enhancing coordination and collaboration with the private sector to boost the development of national space sectors and industries; (3) Enhancing the involvement and participation of industry and the private sector, as an observer in the Committee and its Subcommittees; and (4) Enhancing the participation of the private sector through financial and non-financial contributions in UNOOSA's activities, with mutual cooperation including sharing of lessons learned and development of best practices.

17. In pursuing engagements with industry and the private sector, UNOOSA bears in mind that its practices and activities in the field of the partnerships with industry and the private sector must be at all times aligned with the relevant guidelines and frameworks of the United Nations. In the meantime, UNOOSA is prepared to revise its corresponding documentation, procedures and organizational structures if and when the practice of cooperation will require so.

18. UNOOSA embraces a coordinated and non-competitive approach to partnerships within the United Nations System, in order to take advantage of opportunities to engage companies in multiple partnerships across the Organization and promoting itself and the Organization as a whole as an attractive, dynamic, efficient, robust and successful partner to work with. In partnering with industry and the private sector, UNOOSA uses every opportunity to promote the Organization as a convener, conveyor and facilitator of collaboration among a diverse range of actors.

19. In this regard, UNOOSA takes note that United Nations agencies, funds and programmes are increasingly taking a diversified approach towards achieving larger scale and impact, including through top-down, global multi-stakeholder partnership models and bottom-up, market based collaborations at the country level.¹³

20. Further, in accordance with the recommendation of the Secretary-General, UNOOSA will develop more strategic approaches towards partnering with the private sector and achieving greater impact and scale.¹⁴ For example: (1) Exploring new partnership models for achieving impact and scale; (2) Developing the concept of "transformational" partnerships; (3) Exploring innovative financing models; (4) Utilizing inclusive bottom-up approaches; and (5) Harnessing the strengths and potential of women.

¹³ Report by the Secretary-General "Enhanced cooperation between the United Nations and all relevant partners, in particular the private sector". – Document A/66/320 of 23 August 2011. – Para. 11.

¹⁴ Report by the Secretary-General "Enhanced cooperation between the United Nations and all relevant partners, in particular the private sector". – Document A/66/320 of 23 August 2011. – Para. 63.

21. UNOOSA, alongside with the United Nations System, sees five critical routes to accelerate the impact of partnerships with industry and the private sector. First, in addition to donation-based partnerships, look for other dynamic and effective methods and ways for creating efficient partnerships. Second, shape more innovation-based partnerships that leverage core private sector competencies and technologies. Third, increase focus on multi-stakeholder partnerships, which agencies expect to more than double in number during the next three to five years. Fourth, connect and convene wider ecosystems of actors. Fifth, expand opportunities for engaging micro, small and medium-sized enterprises for greater local impact.¹⁵

22. In developing partnerships with industry and the private sector, UNOOSA will build support among governments, including through the Committee, and the leadership of the United Nations System for increased risk tolerance and creating safe spaces, which will be critical to driving more innovative partnerships and financing models. UNOOSA will seek full cooperation of Member States in promoting responsible business practices in their respective territories and worldwide, while also providing support to United Nations efforts to engage with industry and the private sector.¹⁶

23. In its strategy for the partnerships with industry and the private sector, UNOOSA employs the following principles, which aim to preserve the integrity of the partnerships, impartiality of the partners, and ensure that mutual benefits are conferred to all parties involved:

Equality and Mutual Respect: Mutual respect between partners irrespective of size and power.

Results-oriented Approach and Quality: The partnership should be reality-based and action-oriented, with clear measurable goals set by both partners. All partners should adhere to quality standards that will guide them through the partnerships.

Efficiency and coherence with UNOOSA's priority areas: The terms of UNOOSA's engagement in a partnership must be aligned to its Strategic Priorities and Plans. Resources of all partners to be used to enhance operational efficiency and effectiveness.

Responsibility: Key to successful partnerships is the ability of the partners to achieve the commitments they have made in the partnership. Selection and screening criteria need to be in place to ensure the suitability of the partners.

Complementarity and Value-added: The partners will build on comparative advantages and adding value to each other's work.

Trust, transparency and accountability: A pre-condition will be to establish clear objectives and outcomes of the partnership in a transparent manner to build confidence and trust between partners, with time-bound deliverables. This should be further supported by a time-bound accountability framework that meets corresponding standards of UNOOSA.

Partnerships management: Partners should be referred to in UNOOSA's programme frameworks/projects, and the information is kept in a way that makes it available for reference and analysis, when required. Measurable objectives and outputs of the partnership will be monitored through progress reporting undertaken in programme frameworks/projects, where roles and responsibilities of the partners are outlined.

¹⁵ Report of the Secretary-General "Enhanced cooperation between the United Nations and all relevant partners, in particular the private sector". – Document A/72/310 of 10 August 2017. – Para. 11.

¹⁶ Report by the Secretary-General "Enhanced cooperation between the United Nations and all relevant partners, in particular the private sector". – Document A/66/320 of 23 August 2011. – Para. 13. Also see in the General Assembly resolution A/RES/70/224 of 22 December 2015 "Towards global partnerships: a principle-based approach to enhanced cooperation between the United Nations and all relevant partners". – Para. 5.

Sustainable funding: Sustainable funding must be ensured if this is required for the partnership to function. Where the partnership is not a simple contractual agreement with UNOOSA, partners should collectively design a fundraising strategy in consultation with UNOOSA.

Attribution of credit: Information on the partnerships should acknowledge the work or contribution of all partners.

Consideration of external factors: Consideration of externalities and trade-offs, e.g. transaction costs vs. outcomes and impacts of the partnership, substantive vs. political considerations, will be given equal weight and importance in the execution of the partnerships, without compromising their objectives and goals.

IV. Policy of UNOOSA on partnerships with industry and the private sector

24. All staff members are required to be familiar with, and to adhere to the UNOOSA policy guidance for partnerships with industry and the private sector. Any deviations during practical phases of partnerships preparations and implementations should be brought to the attention of the supervisors of the staff members concerned, as appropriate.

A. Purpose

25. The purpose of this Policy is to facilitate and guide the selection of industry and the private sector partners and the formulation of partnerships in such a way that enables effective and creative collaboration, while maintaining a principled approach that manages risks and ensures the integrity and independence of UNOOSA and the United Nations.

26. The Policy sets out criteria of the UNOOSA for assessing and selecting partners and principles to guide the establishment of partnerships.

27. The Policy also brings UNOOSA to parity with other United Nations entities agencies in how they manage the risks of working with the private sector.

B. Benefits of partnerships

28. Almost all United Nations entities are working with business to address a wide spectrum of issues, such as climate change, decent work, health systems, education reform and humanitarian disasters.¹⁷ The Secretary-General Mr. António Guterres stated that “The United Nations and business need each other. We need your innovation, your initiative, your technological prowess. But business also needs the United Nations. In a very real sense, the work of the United Nations can be viewed as seeking to create the ideal enabling environment within which business can thrive.”¹⁸

29. The United Nations is uniquely positioned to act as an agent of change for encouraging companies to build on *ad hoc* corporate social responsibility towards more strategic participation in solving global challenges.¹⁹

30. By involving various actors and linking their unique resources UNOOSA can enhance the effectiveness and sustainability of its activities.

¹⁷ The United Nations and Private Sector. The framework for collaboration. – Page 1.

¹⁸ The United Nations and Private Sector. The framework for collaboration.

¹⁹ Report by the Secretary-General “Enhanced cooperation between the United Nations and all relevant partners, in particular the private sector”. – Document A/66/320 of 23 August 2011. – Para. 5.

31. The General Assembly emphasized in its resolution A/RES/70/224 that cooperation between the United Nations and all relevant partners, in particular the private sector, can contribute to addressing the obstacles confronted by developing countries through responsible business practices, such as respecting the principles of the United Nations Global Compact and taking action, including by mobilizing the resources needed to finance their sustainable development, and to realizing the internationally agreed development goals in developing countries.²⁰

32. In partnering with the United Nations, the private sector gains access to global and local networks of actors and knowledge that can enhance its ability to pursue new market opportunities and contribute to advancing the Sustainable Development Goals. Recognizing that businesses are increasingly focused on finding partnership opportunities that draw on their core competencies and generate reciprocal value, many United Nations entities are shaping win-win value propositions as part of their partnership cultivation efforts. That shift is strategically important, given the continuing evolution in business interests and approaches to sustainability.²¹

33. Closer collaboration of UNOOSA and governments with relevant industry and private sector entities is expected to result in: (1) Increased responsible and productive investment and innovation in space exploration and use; (2) Strengthened national space industries; (3) Increased entrepreneurship in space and enhanced efficiency in knowledge-sharing in space technology and education; (4) Creation of more workspace in space industries; (5) Access to topical information and expertise; (6) Management and dissemination of knowledge and lessons learned; (7) Enhanced extension services (particularly technology transfer); (8) Data and scientific innovation and advances; (9) Implementation of sustainable business practices embodied in corporate social responsibility programmes. Also increased awareness about private sector perspectives will help UNOOSA and governments to optimize the potential benefits of collaboration.

34. For industry and the private sector entities, the engagement with UNOOSA could generate: (1) Increased opportunity to be heard in international policy development and standard setting processes for space exploration and use; (2) Improved alignment of national requirements with international standards, which would enhance the ease of doing business; (3) Ease of access to international networks of space actors, including the governmental level; (4) Enhanced dialogue with governments and an opportunity to contribute to the development of national planning frameworks; (5) An environment that is more conducive to industry and the private sector responsible and productive investments; (6) Participation in processes to establish codes of conduct for responsible business practices, and (7) Creation of level-playing fields that would enable fairer competition and a more stable business environment.²²

C. Key principles

35. Cooperation between the United Nations and industry and the private sector is principled-based. These principles are included in the United Nations Global Compact and the United Nations Guiding Principles on Business and Human Rights. The United Nations Global Compact provides an overall value framework for cooperation with industry and the private sector. The principles of the Global Compact on human

²⁰ General Assembly resolution A/RES/70/224 of 22 December 2015 “Towards global partnerships: a principle-based approach to enhanced cooperation between the United Nations and all relevant partners”. – Preamble.

²¹ Report of the Secretary-General “Enhanced cooperation between the United Nations and all relevant partners, in particular the private sector”. – Document A/72/310 of 10 August 2017. – Para. 10.

²² Derived from and inspired by FAO Strategy for Partnerships with the Private Sector.

rights, labour, the environment and anti-corruption are based on intergovernmental agreements and are specifically relevant for business. Similarly, the United Nations Guiding Principles on Business and Human Rights, which have been unanimously endorsed by the Human Rights Council, serve as the baseline reference point for expected business conduct, and as a benchmark for responsible business implementation.²³

36. To safeguard the reputation of the Organization, as a common minimum standard, companies who partner with the United Nations should make a public commitment to the 10 principles of the United Nations Global Compact.²⁴ The nine principles (a tenth anti-corruption principle was added in 2004) were adopted in four areas of action: human rights²⁵, labour, environment and anti-corruption, deriving from four major United Nations instruments.²⁶ These focus areas/principles embrace a number of United Nations universal values set out in the Preamble and Article 1 of the Charter of the United Nations.²⁷ The Ten Principles of the UN Global Compact are contained in Annex I to the present document.

37. In addition to the above-referenced, UNOOSA applies to its activities aimed at building and maintaining the partnerships with the private sector on a set of general principles, which constitute an integral part of the process of evaluation and assessment of potential partner. These principles are contained in Annex II to the present document.

38. In considering collaborations and partnerships, UNOOSA engages with industry and the private sector entities that demonstrate: (1) Responsible citizenship by supporting the core values of the United Nations and its causes as reflected in the Charter and other relevant conventions and treaties; (2) A commitment to meeting or exceeding the principles of the United Nations Global Compact by translating them into operational corporate practices, including but not limited to policies, codes of conduct, management, monitoring and reporting systems; (3) A commitment to respecting and implementing the Guiding Principles on Business and Human Rights by, inter alia, having in place a policy commitment to respect human rights, and having in place human rights due diligence processes appropriate to the scope of the business operations concerned and addressing adverse impacts with which they are involved.

39. UNOOSA, in line with the policy of the United Nations, will not engage with industry and the private sector entities: (1) Which contribute to or are otherwise complicit in human rights abuses, tolerate forced or compulsory labour or the use of child labour, are involved in the sale or manufacture of anti-personnel landmines or cluster bombs, or that otherwise do not meet relevant obligations or responsibilities required by the United Nations; (2) That are engaged in any activities which are

²³ Guidelines on a principle-based approach to the Cooperation between the United Nations and the business sector. Issued in 2000, revised and reissued in 2009, and revised in 2015 as requested by GA Resolution A/RES/68/234.

²⁴ Report of the Secretary-General “Enhanced cooperation between the United Nations and all relevant partners, in particular the private sector”. – Document A/72/310 of 10 August 2017. – Para. 59.

²⁵ For a detailed information on business impact on human rights, see “Promotion and protection of all human rights, civil, political, economic, social and cultural rights, including the right to development. Protect, Respect and Remedy: a Framework for Business and Human Rights” (in particular para. 52) and “Guiding principles on business and human rights. Implementing the United Nations “Protect, Respect and Remedy” Framework”.

²⁶ The Universal Declaration of Human Rights, the ILO Declaration on Fundamental Principles and Rights at Work, the Rio Declaration on Environment and Development and the United Nations Convention Against Corruption (UNCAC).

²⁷ United Nations corporate partnerships: The role and functioning of the Global Compact.

inconsistent with sanctions established by the United Nations Security Council or other similar measures.

40. UNOOSA will never partner with industry and the private sector entities that systematically fail to demonstrate commitment to meeting the principles of the United Nations Global Compact or the United Nations Guiding Principles on Business and Human Rights. However, the United Nations may consider collaboration specifically intended to address this failure of commitment through meaningful changes to business policies and practices.²⁸

41. Principles contained in Annexes I and II and paras. 38-40 of the present document are the foundation and the integral part of the processes of UNOOSA pertinent to eligibility, assessment and due diligence, as well as selection criteria applicable to the business partnerships and industry and private entities willing to enter into the partnerships with UNOOSA.

V. Guidelines for implementation of the strategy and policy of UNOOSA on partnerships with industry and the private sector

42. The present Guidelines provide an overall direction and set a comprehensive framework for the practical aspects relating to all stages of the partnerships with industry and the private sector.

A. Types of engagement and modalities for entering into partnerships

43. UNOOSA is eager to consider and employ any form of partnership, which corresponds with the requirements of the relevant United Nations and UNOOSA frameworks established for partnerships with industry and the private sector. In this connection, UNOOSA will proactively seek information and learn from those entities of the United Nations that have sound experience in partnerships with industry and the private sector.

44. UNOOSA engages in the partnerships with industry and the private sector via following types of partnerships:

Core business and value chain partnership: harness the core strength of the private sector and/or aim for changing the way businesses operate to be more in line with social, environmental and development goals.

Social investment and philanthropy partnership: provide the UNOOSA with different types of support, including traditional philanthropy, social venture funds, hybrid or blended-value financial mechanisms, or contribute core business expertise, products or services to the public cause.

Multi-stakeholder and transformational partnership: enable dynamic processes for issue-focused consultation and scalable operations among numerous private and public parties, in particularly including industry and the private sector representatives in the governance structures.

Advocacy and Policy Dialog: Influence and encourage the private sector to bring about a change in the way business is done through more responsible and sustainable approaches.

45. Generally, the partnerships are divided into two categories: (1) Mutual collaboration, which involves active collaboration of industry and the private sector with UNOOSA in support of its work and in line with government

²⁸ Guidelines on a principle-based approach to the Cooperation between the United Nations and the business sector. Issued in 2000, revised and reissued in 2009, and revised in 2015 as requested by GA Resolution A/RES/68/234.

priorities; (2) Sponsorships, which involve exclusively financial contributions from industry and the private sector in support of UNOOSA's programmes through identified areas of engagement; Industry and private sector contributions can be targeted towards specific projects and programmes.

46. UNOOSA will enter into both short-term and long-term partnerships with industry and the private sector, as appropriate.

47. UNOOSA recognizes two main categories of contributions from industry and the private sector: non-financial and financial contributions. These two categories are not mutually exclusive.

48. UNOOSA makes sure that each modality of partnerships reflects all situational aspects, protects the interest of the United Nations, and supplied with necessary machinery for efficient regulation and coordination. The following modalities are employed in the practice of UNOOSA:

Direct contribution by Industry and the Private Sector partner: The modality for direct contribution for specific purposes would be made under a partnership agreement with the partner subject to applicable Financial Regulations and Rules.

Indirect contribution by Industry and the Private Sector partner through the establishment of a charitable organization or foundation: Under this modality, a relationship agreement would be established between UNOOSA and the charitable organization or foundation.

Partnership in technical assistance projects: This modality would involve either two direct bilateral agreements with industry and the private sector partner and with the government of the country in which the assistance would be carried out, or a tripartite agreement among the industry and private partner, UNOOSA and the Government.

Partnership projects: This modality would involve other partnership arrangements requiring an agreement between UNOOSA and industry and the private sector.²⁹

B. General aspects pertaining to eligibility, assessment and selection criteria

49. UNOOSA reserves the right to choose its partners on a case by case basis and to undertake research in support of such decisions.³⁰

50. Protecting the reputation of the United Nations is of crucial importance for maintaining the Organization's independence and credibility. The process for developing a system-wide due diligence screening solution for potential partners is an important step towards greater coherence. However, to ensure understanding among all relevant staff on how to utilize this tool, the criteria used for screening and the results of the screening process should be both transparent and clearly defined. Further, through evaluation, the United Nations can ensure that partnerships are accountable, effectively managed and contribute to learning processes and to United Nations development goals.³¹

51. The General Assembly, in its resolution A/RES/70/224 invites the United Nations system, when considering partnerships, to seek to engage in a more coherent

²⁹ Guidelines on a principle-based approach to the Cooperation between the United Nations and the business sector. Issued in 2000, revised and reissued in 2009, and revised in 2015 as requested by GA Resolution A/RES/68/234.

³⁰ Guidelines on Cooperation between the United Nations and the Business Sector. Revised and signed by the Secretary-General (2009).

³¹ Report by the Secretary-General "Enhanced cooperation between the United Nations and all relevant partners, in particular the private sector". – Document A/66/320 of 23 August 2011. – Para. 59.

manner with private sector entities, including small and medium-sized enterprises, that support the core values of the United Nations, as reflected in the Charter of the United Nations and other relevant conventions and treaties, and that commit to the principles of the United Nations Global Compact by translating them into operational corporate policies, codes of conduct and management, monitoring and reporting systems.³² UNOOSA takes these factors into consideration when it conducts eligibility check.

52. In addition, principles contained in Annexes I and II and paras. 38-40 of the present document are the foundation and represent an integral part of the processes of UNOOSA pertinent to eligibility, assessment and due diligence, as well as selection criteria applicable to the partnerships between UNOOSA industry and private entities.

53. In performing an eligibility check and assessment, including due diligence check, UNOOSA utilizes the research tools at its disposal, and also networks and contacts within the United Nations System, as well as the United Nations Global Compact assistance and access through it to the external due diligence research service providers for a number of the United Nations entities.

54. In the process of preliminary assessment, as well as of the due diligence check, UNOOSA uses “UNOOSA Partnerships Assessment Manual and Tool for Industry and the Private Sector”.

55. UNOOSA conducts assessment and due diligence checks in such way so that they are completed well before partnership discussions are too far advanced, and continue on an ongoing basis for as long as the relationship exists and any time an agreement with a partner is amended or renewed.³³

56. UNOOSA makes sure that there is separation between the following categories of staff involved: (1) the staff directly involved in developing the relationship and making a recommendation as to whether or not to proceed; (2) the staff that makes the final decision; and (3) the staff responsible for implementing that decision.

57. To ensure transparency and avoid any unfair advantage, UNOOSA will strive to publicize partnership opportunities on the UNOOSA website, as appropriate.

58. UNOOSA commits to continuous learning, and strengthening of due diligence and risk management measures that can safeguard the reputation of the Organization and ensure confidence-building.³⁴

C. Operational procedures

59. The process of establishment, formalization and implementation of the partnerships between UNOOSA and industry and the private sector is based on the study of best practices of other entities of the United Nations System, and takes into account staffing and resource capabilities of UNOOSA. The detailed process is set out in the UNOOSA Partnerships Assessment Manual and Tool for Industry and the Private Sector. In conceptual terms, the entire process can be represented as follows:

Project proposal. An industry and private sector entity approaches UNOOSA with a project proposal. Chiefs of all UNOOSA sections consider the proposal individually and through discussions and present their recommendations in the form of a summary

³² General Assembly resolution A/RES/70/224 of 22 December 2015 “Towards global partnerships: a principle-based approach to enhanced cooperation between the United Nations and all relevant partners”. – Para. 12.

³³ Guidelines on a principle-based approach to the Cooperation between the United Nations and the business sector. Issued in 2000, revised and reissued in 2009, and revised in 2015 as requested by GA Resolution A/RES/68/234.

³⁴ General Assembly resolution A/RES/70/224 of 22 December 2015 “Towards global partnerships: a principle-based approach to enhanced cooperation between the United Nations and all relevant partners”. – Para. 14 (c).

document to the Director, for subsequent executive decision. All considerations at this level are made from a programmatic and managerial view, taking into account potential of the candidate and usefulness of a partnership for UNOOSA and the United Nations in general. If the decision is negative, the candidate is notified by means of official letter. In the case of a positive decision, the project proposal documentation is passed on to the Partnerships Focal Point.

Eligibility assessment and due diligence. The Partnerships Focal Point conducts a comprehensive check in accordance with the principles set out in UNOOSA policy for the partnerships. UNOOSA Partnerships Assessment Manual and Tool for Industry and the Private Sector is used during this process. A document containing a report is created. If the report is negative, UNOOSA notifies the candidate by means of official letter. If the report is positive, the Partnership Focal Point proceeds by submitting the project file to the Partnerships Evaluation Group.

Comprehensive evaluation and operational decision. The Partnerships Evaluation Group evaluates the project proposal and the report by the Partnerships Focal Point referred to above. UNOOSA Partnership Assessment Manual and Tool for Industry and the Private Sector is used during this process. A document containing a report is created. If the report is negative, UNOOSA notifies the candidate by means of official letter. If the report is positive, the case is passed on to designated staff members for the initiation of preliminary negotiations.

Preliminary negotiations. A designated project officer, together with a legal officer, approach representatives of the candidate with a view of preparing a concrete and detailed project documentation, as well as a legal agreement. The Partnerships Focal Point is kept informed about all key elements and events of the process. If needed, at this stage, a non-disclosure agreement is signed, while the candidate is informed about the fact that the final decision on the project is subject to the results of the negotiations. At this stage, the Partnerships Focal Point still has opportunities to conduct additional eligibility and due diligence checks. If the results of the negotiations are positive and, if applicable, the additional checks are positive too, then the final project package is submitted for the final decision.

Operational and managerial decision. The final project package referred to above is submitted to all Chiefs of UNOOSA sections for their individual and collective consideration. If necessary, additional information is requested from the staff involved or from the candidate. Additional inquiries and checks may still be conducted by the Partnerships Focal Point, if requested. The Director decides at what stage and to what extent to be informed about the process of this collective consideration, while making sure that the process is conducted in the atmosphere of objectivity. On the basis of this work, a decision in the form of a summary conclusion is presented to the Director, for subsequent executive decision. If the final decision is negative, the candidate is notified by means of official letter. If the decision is positive, UNOOSA and the candidate enter into formal agreement on the partnership. Further, in any case the decision is also made available by different means, including the web site of UNOOSA, UN Global Compact, and other entities of the United Nations System. The extent to which the information is presented is agreed upon with the partner.

Project life cycle. UNOOSA diligently implements the project and conducts additional checks of the partner on annual basis or, if necessary, earlier or more frequently. For each partnership, a project officer will be assigned to serve as contact person and be responsible for the day-to-day management of the partnership. Information on the partner and the project is entered into the database of UNOOSA.

D. Aspects pertaining to legal support

60. Legal support to the formation and execution of partnerships with industry and the private sector should be neat, transparent, efficient, robust and built in a way that would ensure maximum protection to UNOOSA and the United Nations as a whole,

while not creating unnecessary burdens and obstacles for a partner from industry and the private sector.

61. The Secretary-General recommends that United Nations agencies, funds and programmes that have not already done so should develop standardized legal templates to speed up the agreement process.³⁵ In this connection, UNOOSA makes sure that in its practice only those models of legal instruments are used that are approved by the Office of Legal Affairs (OLA) and are consistent with the general practices of other entities of the Organization.

62. UNOOSA establishes that partnership agreements should provide for clear and efficient accountability procedures. These procedures should differentiate between the following: (1) The individual accountability of each partner, including in particular towards the principles included in the United Nations Global Compact and the United Nations Guiding Principles on Business and Human Rights; and (2) The internal accountability within the partnership, i.e. between partners, including, in accordance with the regulations and rules governing each entity, a monitoring and evaluation process.³⁶

63. UNOOSA is responsible and accountable for ensuring compliance with the requirements set forth in the United Nations Financial Regulations and Rules.

64. UNOOSA takes note that formal partnerships agreements, which have financial implications for the United Nations, shall be subject to approval by the Division for Management of the United Nations Office at Vienna or the relevant financial official of the separately administered organs and programmes of the United Nations concerned.³⁷

65. UNOOSA considers the following legal instruments as a machinery for supplying with legal support the processes relating to the partnerships with industry and the private sector:

Memoranda of Understanding (MoU): MoUs do not usually entail any financial commitment and establish a framework for collaboration.

Partnership Agreements: Partnership agreements are established to enable receipt of financial contributions from private sector entities.

Exchange of Letters: In cases where collaboration is limited (to a reduced period of time, or with a more limited scope) and does not entail any financial commitments, an exchange of letters can be used, for example, to carry out a joint assessment or to coordinate actions while implementing field activities. The approval process is similar to that of MoUs.

66. UNOOSA strives that the partnership agreements are based on the approved United Nations models and requirements, and sets out in clear terms: (1) The scope, objectives and duration of the partnership; (2) The roles and responsibilities of the secretariat and the partner(s), including operational targets and activities; (3) The treatment of any confidential information exchanged by the secretariat and the partner(s); (4) Conditions relating to the use of the United Nations Name and Emblem; (5) The reporting, monitoring and evaluation requirements for the partnership, which shall provide, *inter alia*, that the partnership shall be subject exclusively to internal and external auditing procedures provided for in the Financial Regulations and Rules

³⁵ Report by the Secretary-General "Enhanced cooperation between the United Nations and all relevant partners, in particular the private sector". – Document A/66/320 of 23 August 2011. – Para. 34.

³⁶ Guidelines on a principle-based approach to the Cooperation between the United Nations and the business sector. Issued in 2000, revised and reissued in 2009, and revised in 2015 as requested by GA Resolution A/RES/68/234.

³⁷ Guidelines on a principle-based approach to the Cooperation between the United Nations and the business sector. Issued in 2000, revised and reissued in 2009, and revised in 2015 as requested by GA Resolution A/RES/68/234.

of the United Nations, UNOOSA policies and rules and the present document; (6) The privileges and immunities of the United Nations; (7) The indemnification of UNOOSA by the partner(s) for its(their) liability towards third parties; (8) The provision for dispute resolution, subjecting any dispute arising from the partnership to arbitration in accordance with the United Nations Commission on International Trade Law arbitration rules then obtaining.

E. Transparency, information sharing and knowledge management

67. UNOOSA undertakes all measures in order to ensure that the partnerships are established and function in an atmosphere of transparency. This is achieved through regular contacts with other entities of the United Nations, with the United Nations Global Compact, networking with the United Nations Private Sector Focal Points, keeping all information relevant to the partnerships publicly available via the web site of UNOOSA.

68. UNOOSA will issue a biannual report detailing collaboration between UNOOSA and industry and the private sector. The report, prepared by the Partnerships Focal Point, will provide details on geographical distribution, industry category, outcomes, key achievements and financial aspects. The report will be made available on the UNOOSA partnerships web page, which will also list the selection criteria for collaboration with the private sector and provide up-to-date lists of approved partnerships to ensure transparency.

69. Meetings of United Nations Private Sector Focal Points are acknowledged as being one of the most important ways to share best practices and lessons learned. Some agencies, funds and programmes are exploring knowledge management solutions for sharing best practices and lessons learned.³⁸ In this connection, UNOOSA strives to keep abreast of relevant developments and events, and to take part, to the extent possible, in relevant meetings and educational events.

70. UNOOSA recognizes that effective management of partnerships with industry and the private sector requires the maintenance of a high-quality database of past and ongoing partnerships with industry and the private sector that serves as an accessible repository of accumulated experience of working with industry and the private sector which can be a source of organizational learning both for UNOOSA and its partners.

F. Use of the name and emblem of the United Nations

71. UNOOSA understands that United Nations name, including its acronym, and emblem (the “United Nations Name and Emblem”) is limited to official purposes.

72. The General Assembly, in its resolution A/RES/70/224, underlined the fact that cooperation between the United Nations and all relevant partners, including the private sector, and all partnerships using the United Nations name or emblem shall serve the purposes and principles embodied in the Charter of the United Nations and shall be undertaken in a manner that maintains and promotes the integrity, impartiality and independence of the Organization.³⁹

73. In its activities relating to the partnerships with industry and the private sector, which might require consideration of the use of the name and emblem of the United

³⁸ Report by the Secretary-General “Enhanced cooperation between the United Nations and all relevant partners, in particular the private sector”. – Document A/66/320 of 23 August 2011. – Para. 58.

³⁹ General Assembly resolution A/RES/70/224 of 22 December 2015 “Towards global partnerships: a principle-based approach to enhanced cooperation between the United Nations and all relevant partners”. – Preamble.

Nations, UNOOSA employs “General principles for the use of the United Nations Name and Emblem”, which are contained in Annex III to the present document.

74. Any authorization for the use of the United Nations Name and Emblem under this document or otherwise by non-United Nations entities must be approved by the United Nations Office of Legal Affairs (OLA).

VI. Final provisions

75. Partnerships are influenced by changes in the political and economic environment. To remain valid, these guidelines will be reviewed regularly and updated periodically, taking into account the experience acquired and lessons learned and best practices of UNOOSA, the developments in the United Nations relevant frameworks, recommendations coming from the UN System Private Sector Focal Point Meetings, as well as the developments in the Global Compact for Space. The most up-to-date version of the guidelines will be made available on the web site of UNOOSA.

76. UNOOSA Partnerships Focal Point is designated to update, with assistance of a Legal Officer, the present document, as well as to thoroughly implement all measures set out in it.

(Signed) **Simonetta Di Pippo**

Director

United Nations Office for Outer Space Affairs

Annex I

The Ten Principles of the UN Global Compact

Human Rights

Principle 1: Businesses should support and respect the protection of internationally proclaimed human rights; and

Principle 2: make sure that they are not complicit in human rights abuses.

Labour

Principle 3: Businesses should uphold the freedom of association and the effective recognition of the right to collective bargaining;

Principle 4: the elimination of all forms of forced and compulsory labour;

Principle 5: the effective abolition of child labour; and

Principle 6: the elimination of discrimination in respect of employment and occupation.

Environment

Principle 7: Businesses should support a precautionary approach to environmental challenges;

Principle 8: undertake initiatives to promote greater environmental responsibility; and

Principle 9: encourage the development and diffusion of environmentally friendly technologies.

Anti-Corruption

Principle 10: Businesses should work against corruption in all its forms, including extortion and bribery.

Annex II

General principles applied to partnerships between UNOOSA and industry and the private sector⁴⁰

UNOOSA acknowledges that, irrespective of the situation-specific nature of cooperative arrangements, they should be guided by the following general principles:

Advance United Nations goals: UNOOSA will endeavour to articulate clearly, and proactively advance United Nations goals as laid out in the Charter. Chapter 1 of the United

⁴⁰ Based on document “Guidelines on Cooperation between the United Nations and the Business Sector”. Revised and signed by the Secretary-General (2009).

Nations Charter outlines key United Nations goals such as: maintaining international peace and security as well as solving international problems of an economic, social, cultural or humanitarian character, and promoting and encouraging respect for human rights and fundamental freedoms for all.

Shared values and principles: UNOOSA is interested in working with industry and the private sector entities that share its values, including internationally recognized principles concerning human rights, labour, the environment and anti-corruption as reflected in the United Nations Global Compact.

Clear delineation of responsibilities and roles: When, in accordance with the United Nations financial regulations and rules, a partnership arrangement with industry and the private sector will have financial implications for the United Nations and UNOOSA, such arrangement will be implemented only pursuant to a formal written agreement between the industry and private entity and the United Nations/UNOOSA, in accordance with the applicable United Nations regulations and rules, delineating the respective responsibilities and roles of each party. The arrangement will be based on a clear understanding of respective roles and expectations, with accountability and a clear division of responsibilities and, as mutually agreed, shared risks and responsibilities, resources and benefits. This understanding will be set out in a partnership agreement along with defined timelines and measurable outputs.

Maintain integrity and independence: Arrangements should not diminish the United Nations' integrity, independence and impartiality.

No unfair advantage: Every member of industry and the private sector community should have the opportunity to propose cooperative arrangements, within the parameters set out in corresponding frameworks of the United Nations and UNOOSA. UNOOSA will collaborate with industry and the private sector for the purposes of development and provision of goods and services that explicitly support and accelerate achievement of United Nations goals. However, cooperation should not provide exclusivity in its collaboration or imply endorsement or preference of a particular industry and private sector entity or its products or services.

Transparency: Cooperation of UNOOSA with industry and the private sector will be transparent. Information on the nature and scope of major cooperative arrangements should be available among United Nations entities and to the public at large.

Annex III

General principles for the use of the United Nations Name and Emblem⁴¹

Recognizing the United Nations evolving relationship with industry and the private sector, the following sets out general principles for the use of the United Nations Name and Emblem, and of the names and logos of other United Nations entities ("Name and Emblem") by industry and the private sector in the context of a partnership⁴²:

- a) Pursuant to General Assembly resolution 92(I), it has been a long-standing policy of the Secretary-General not to authorize the use of the United Nations Emblem by industry and the private sector entity in an unmodified form, or to use the United Nations Emblem in

⁴¹ Based on document "Guidelines on Cooperation between the United Nations and the Business Sector". Revised and signed by the Secretary-General (2009).

⁴² The guiding principles address primarily the use of the Name and Emblem by business sector entities, although similar principles would be generally applicable to non-Governmental organizations.

a modified form, e.g. by placing the words “United Nations” or “UN” set above the emblem and the words “We Believe” or “Our Hope for Mankind” set below the emblem. However, an appropriate written communication could be provided to industry and the private sector entity, acknowledging or recognizing its contribution to or collaboration with the United Nations.

- b) Subject to the foregoing provisions in this Annex III and the appropriate terms and conditions, an industry and private sector entity may, on a case by case basis be exceptionally authorized to use the Name and Emblem on a non-exclusive basis.⁴³
- c) The use of the Name and Emblem must be expressly approved in advance in writing and upon such terms and conditions as may be specified.
- d) The use of the Name and Emblem by an industry and private sector entity may exceptionally be authorized, even if it involves the making of profit, so long as the principal purpose of such use is to show support for the purposes and activities of the United Nations entity concerned, including the raising of funds for the United Nations entity concerned, and the generation of profit by industry and the private sector entity is only incidental.⁴⁴
- e) The use of the Name and Emblem may be authorized for the following purposes:
 - (i) To support the purposes, policies and activities of the United Nations entity concerned;
 - (ii) To assist in the raising of funds for the United Nations entity;
 - (iii) To assist in the raising of funds for entities that are not part of the United Nations entity, but which are established to achieve the purposes and policies of the United Nations entity.
- f) When authorized, the use of the Name and/or Emblem shall be in accordance with the written specifications provided by the United Nations entity concerned.
- g) With appropriate written approval, and subject to appropriate conditions on the time, manner and scope of such use, the use of a special United Nations emblem may be exclusively authorized to a limited number of industry and the private sector entities in connection with the promotion of a special event or initiative, including fund-raising for such event or initiative.

Annex IV

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⁴³ The principle of non-exclusive use refers to the activities of a business sector entity on its own behalf, and not in situations in which a business sector entity is engaged by the United Nations to act on the United Nations’ behalf, e.g., the United Nations Gift Shop.

⁴⁴ A “commercial use” of the Name and Emblem should be distinguished from “use by a commercial entity”. The former term implies use in connection with or for furtherance of a profit-making enterprise. The latter term would allow the use of the Name and Emblem by a Business Sector entity even involving the making of some profit, as long as the principal purpose of such use is to show support for the purposes and activities of the United Nations entity concerned, including the raising of funds for the United Nations entity, and the generation of profit by the commercial entity is only incidental.

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