


INTERNAL AUDIT DIVISION I
OFFICE OF INTERNAL OVERSIGHT SERVICES

TO: Mr. Jean-Marie Guehenno, Under-Secretary-General
A: for Peacekeeping Operations

DATE: 22 February 2006

Mr. Christopher Burnham, Under-Secretary-General
for Management

REFERENCE: AUD-7-1:9(0013/06)

FROM: Dagfinn Knutsen, Chief, Peacekeeping Audit Service
DE: Internal Audit Division I, OIOS 

SUBJECT: **OIOS Audit No. AP2005/600/18: Management audit of DPKO – Human resources**
OBJET: **management**

1. I am pleased to present herewith our final report on the audit of the above subject, which was conducted during September-October 2005.
2. We note from your response to the draft report that DPKO and DM have generally accepted the recommendations. Based on the responses, we are pleased to inform you that we have closed recommendations 7, 10, 18, 19, 21 and 23 in OIOS' recommendations database. In order for us to close out the remaining recommendations (i.e., 1, 2, 4 to 9, 11 to 17, 20, 22, and 24 to 30), we request that you provide us with additional information as indicated in the text of the report and a time schedule for implementing each of the recommendations. Please refer to the recommendation number concerned to facilitate monitoring of their implementation status. Please note that OIOS will report on the progress made in implementing its recommendations, particularly those designated as critical (i.e., recommendations 1 to 6, 9, 12, 13, 15, 16, 18, 22, 25, 27, 29 and 30) in its annual report to the General Assembly and semi-annual report to the Secretary-General.
3. IAD I is assessing the overall quality of its audit process and kindly requests that you consult with your managers who dealt directly with the auditors and complete the attached client satisfaction survey form.
4. I take this opportunity to thank the management and staff of DPKO, DM and UNMIS for the assistance and cooperation provided to the auditors in connection with this assignment.

Copy to: Ms. Jan Beagle, Assistant Secretary-General, OHRM
Ms. Jane Holl Lute, Assistant Secretary-General, OMS/DPKO
Mr. Philip Cooper, Acting Director, ASD/DPKO
UN Board of Auditors
Programme Officer, OIOS

Office of Internal Oversight Services

Internal Audit Division I



Management Audit of the Department of Peacekeeping Operations – Human resources management

Audit no: AP2005/600/18
Report date: 22 February 2006
Audit team: Tilchand Acharya, Auditor-in-Charge
Cristian Lisov, Auditor
Srimali De Mel, Audit Assistant

EXECUTIVE SUMMARY

Management audit of the Department of Peacekeeping Operations – Human resources management (AP2005/600/18)

At the request of the General Assembly (resolution 59/296), OIOS carried out an audit of human resources, including recruitment and training in the Department of Peacekeeping Operations during September-October 2005. The objectives of the audit were: (a) to evaluate the accountability mechanisms on the delegation of personnel management functions from the Office of Human Resources Management (OHRM) to DPKO; (b) to determine whether the systems and processes applied in human resources management at DPKO: (i) comply with UN Staff Regulations and Rules; (ii) ensure efficiency in the selection of qualified staff; (iii) promote transparency; and (iv) satisfy field missions' staffing needs; (c) to identify risks and exposures to duplication, fraud and abuse of authority in the human resources management practices; and (d) to assess the efficiency and effectiveness of training activities for peacekeeping missions.

OHRM's delegation of human resources functions to DPKO

It is clear from OIOS audit that managing over 18,000 civilian staff in peacekeeping operations is a complex task which requires experienced and dedicated staff. Furthermore, the Organization's human resources policies and procedures have not always been compatible with the needs of peacekeeping operations and the requirement to deploy personnel on a timely basis. The delegation of authority from OHRM to DPKO in 1994 was intended to address the need to have a group of specialist recruitment experts to meet missions' human resources needs. In order to achieve this goal, DPKO established the Personnel Management and Support Service (PMSS) to meet peacekeeping operations' human resources objectives.

While DPKO has been able to address the immediate needs of start-up and ongoing field missions, OIOS is of the view that this has come with some costs to the Organization. For one, OHRM has never had the resources required to adequately monitor the delegation of authority, despite the fact that they have ultimate responsibility for all human resources matters in the Organization. Furthermore, DPKO has not adequately addressed the issue of delegating authority to field missions, which was one of the recommendations of the Brahimi report. OIOS is also of the view that DPKO needs to focus on its core functions instead of administrative and support functions such as human resources, where there is a specialized office for this purpose. In addition, DPKO has concentrated its delegated authority at Headquarters resulting in the same inefficiency that was intended to be overcome by delegating human resources functions to DPKO. Responses from field missions to OIOS' questionnaire showed that they expected better support from DPKO's PMSS and that the established recruitment process is not always followed in filling posts. Results from OHRM's monitoring missions have identified weaknesses that corroborate missions' concerns.

It is OIOS' overall conclusion that the delegation of authority given to DPKO has not been an efficient arrangement to provide staff to field missions. Based on this conclusion, OIOS is recommending that the Department of Management conduct a comprehensive and objective review to assess the success of the delegation of authority to DPKO taking into consideration: (i) the original intent of the delegation; (ii) the efficiency and effectiveness of DPKO's implementation of the delegated authority; (iii) the effectiveness of monitoring of the delegated

authority by OHRM; and (iv) the Secretary-General's vision on human resources reform in the Organization. If the review determines that the delegation of authority has not achieved its objectives, or that other arrangements would be more appropriate, the Department of Management should develop a plan and a timeframe to take over responsibilities for the human resources functions for field staff.

Recruitment and placement processes

With regard to international staff, there was an absence of transparency and formal mechanisms in screening applications against vacancy announcements, evaluating short-listed candidates against established criteria, placing qualified candidates in rapid deployment and occupational rosters, and selecting and deploying staff from the rosters.

Field missions carried an overall vacancy rate of 24 per cent as at 31 May 2005. For posts in the professional category and above, the vacancy rate was 33 per cent. High vacancy rates may be detrimental to the implementation of mission mandates. Moreover, there was no human resources action plan in missions to devise strategies to reduce the vacancy rates.

Exposure to duplication, fraud or abuse of authority

During a field visit to UNMIS, OIOS identified several recruitment and placement cases which had an appearance of abuse of authority.

Training activities

DPKO needs to identify training programmes separately for its core functions and for staff development. OHRM is responsible for providing staff development training programme in the Secretariat, and it annually publishes a handbook on centrally organized programmes to staff throughout the Secretariat. OIOS supports DPKO's intention to upgrade the mission training cell concept into the integrated mission training concept with military, civilian police and civilian dimensions for all multi-dimensional missions. DPKO also needs to develop mechanisms for evaluating and tracking training activities.

LIST OF ACRONYMS

DPKO	Department of Peacekeeping Operations
OHRM	Office of Human Resources Management
DPA	Department of Political Affairs
DM	Department of Management.
OIOS	Office of Internal Oversight Services
UNDP	United Nations Development Programme
UNICEF	United Nations Children's Fund
UNCTAD	United Nations Conference on Trade & Development
PMSS	Personnel Management Support Service
OCSS	Office of Central Support Services
LSD	Logistics Support Division
SRSR	Special Representative of the Secretary-General
UNMIS	United Nations Mission in Sudan
UNAMIS	United Nations Advance Mission in Sudan
UNLB	United Nations Logistics Base in Brindisi
UNOCI	United Nations Operation in Côte d'Ivoire
UNMIL	United Nations Mission in Liberia
UNMEE	United Nations Mission in Ethiopia and Eritrea
UNIFIL	United Nations Interim Force in Lebanon
UNTSO	United Nations Truce Supervision Organization
UNDOF	United Nations Disengagement Observer Force
UNFICYP	UN Peacekeeping Force in Cyprus
UNOMIG	UN Observer Mission in Georgia
UNMIK	United Nations Interim Administration Mission in Kosovo
UNAMSIL	United Nations Mission in Sierra Leone
UNMISSET	United Nations Mission of Support in East Timor
UNOTIL	United Nations Office in Timor Leste
ONUB	United Nations Operation in Burundi
MINURSO	UN Mission for the Referendum in Western Sahara
MINUSTAH	United Nations Stabilization Mission in Haiti
UNMOGIP	United Nations Military Observer Group in India and Pakistan
MONUC	United Nations Organization Mission in the Democratic Republic of the Congo
VA	Vacancy Announcement
TDY	Temporary duty
EGT	Education grant travel
CTS	Civilian Training Section
GJP	Generic Job Profile

TABLE OF CONTENTS

Chapter	Paragraphs
I. INTRODUCTION	1-6
II. AUDIT OBJECTIVES	7
III. AUDIT SCOPE AND METHODOLOGY	8 - 10
IV. OVERALL ASSESSMENT	11 - 13
V. AUDIT FINDINGS AND RECOMMENDATIONS	
A. Accountability for recruitment of staff in field missions	14 - 31
B. General recruitment and placement information and provisions	32 - 38
C. Recruitment and placement of international staff	39 - 68
D. Recruitment of national/local staff	69 - 79
E. Cases with appearance of abuse of authority	80 - 91
F. Other personnel related matters	92 - 100
G. Training	101 - 116
VI. ACKNOWLEDGEMENT	117
Annex 1 : Organization chart of Personnel Management and Support Service	
Annex 2: DPKO Vacancy Announcements	

I. INTRODUCTION

1. By its resolution 59/296 (Section IV, paragraph 4), the General Assembly requested the Secretary-General “to entrust the Office of Internal Oversight Services (OIOS) with a comprehensive management audit to review the practices of the Department of Peacekeeping Operations (DPKO) and to identify risks and exposures to duplication, fraud and abuse of authority in the following operational areas: finance, including budget preparation; procurement; human resources, including recruitment and training; and information technology, and to report thereon to the General Assembly at its sixtieth session.”

2. On three consecutive occasions during 2001, 2002 and 2003, the General Assembly had requested OIOS to conduct audits of recruitment policies and procedures in DPKO. Furthermore, during 2003 the General Assembly also requested OIOS to conduct a study on the impact of human resources reform, particularly improvements in staff selection and training, and an assessment of central review bodies and mobility. OIOS took into account the main findings and recommendations of its previous audits¹ on human resources management in DPKO.

3. Effective 1 May 1995, the Office of Human Resources Management (OHRM) delegated DPKO the authority to recruit, appoint, assign and administer staff for mission service under both 100 and 300 series appointments. In order to achieve this goal, DPKO established the Personnel Management and Support Service (PMSS). PMSS is responsible for anticipating, identifying and meeting the civilian personnel requirements of field missions and ensuring their efficient deployment, management, administration and separation. PMSS’ organizational structure and staffing are described in Annex 2.

4. PMSS filled approximately 1,800 vacancies over the calendar year 2004. However, some 1,340 posts remained vacant at the end of the year representing a vacancy rate/shortfall of 21 per cent of total international field posts. During 2005-2006, approximately 2,800 vacancies for international civilian personnel in the field are expected to be filled. A summary of the DPKO field mission staffing as of 31 May 2005 is shown in the Table 1.

Table 1: DPKO Field Mission Staffing as of 31 May 2005

Post Category	No. of Posts			Vacancy (%) Rate
	Authorized	Encumbered	Vacant	
P and Above	2,486	1,699	787	32
Field/general Service	3,067	2,401	666	22
National/Local Staff	9,402	7,394	2,008	21
Total:	14,955	11,494	3,461	23

5. PMSS has identified the following priority projects to be undertaken during 2005: (a) finalizing the draft staffing policy, including downsizing, career development, mobility, promotion and selection of staff; (b) implementing the staffing table planning and management in Nucleus in all field missions; (c) completing the staffing table template project with special

¹ A/57/224 – Audit of the policies and procedures for recruiting staff for DPKO – 19 July 2002

A/58/704 – Audit of the policies and procedures for recruiting staff for DPKO – 6 February 2004

A/59/152 – Follow up audit of the policies and procedures for recruiting staff for DPKO – 15 July 2004

A/59/253 – Impact on human resources management reform – 24 September 2004

focus on the templates of large and small complex missions, deployment schedules, and process implementation; (d) reducing vacancy rates in field missions by analyzing and taking measures to address the “leaky bucket” syndrome and building reliable rosters of pre-vetted candidates for vacancies; and (e) working with OHRM to complete the review of the restructuring of the Field Service category.

6. The comments made by DM and DPKO on the draft audit report have been included in the report as appropriate and are shown in italics.

II. AUDIT OBJECTIVES

7. In order to assess the overall economy and efficiency of the human resources management, including recruitment and training, and based on the preliminary risks assessment, the major audit objectives were:

(a) To evaluate the accountability mechanisms on the delegation of personnel management functions from OHRM to DPKO;

(b) To determine whether the systems and processes applied in human resources management at DPKO: (i) comply with UN Staff Regulations and Rules; (ii) ensure efficiency in the selection of qualified staff; (iii) promote transparency; and (iv) satisfy field missions’ staffing needs;

(c) To identify risks and exposures to duplication, fraud and abuse of authority in the human resources management practices; and

(d) To assess the efficiency and effectiveness of training activities for peacekeeping missions.

III. AUDIT SCOPE AND METHODOLOGY

8. The audit covered the 2004-2005 fiscal year, and included a review of post levels proposed for the 2005-2006 fiscal year. In the review of recruitment and placement process in field missions, the audit was conducted at UN Headquarters and in the United Nations Mission in Sudan (UNMIS) to gain a greater understanding of the interrelationship between PMSS and the Civilian Personnel Section in UNMIS. In addition, OIOS reviewed the interrelationship between PMSS and OHRM in order to assess any duplication of functions.

9. At Headquarters and in UNMIS, the audit included examining monitoring mechanisms on delegation of authority, interviewing human resources officials, and reviewing documentation to assess the economy and efficiency of human resources management and training activities. The audit examined areas providing opportunities for streamlining duplication of efforts, and prevention or detection of fraud and abuse.

10. OIOS also reviewed the delegation of authority with the view to assessing its impact on providing efficient and effective deployment of staff to field missions. In this regard, OIOS

sought the views of DPKO and OHRM, and conducted a confidential survey of the Special Representatives of the Secretary-General (SRSGs) in all peacekeeping missions to obtain their views on the effectiveness of DPKO's support in the area of human resources.

IV. OVERALL ASSESSMENT

11. OIOS found that DPKO is concentrating heavily on support services to the detriment of developing professional niche in its core functions, i.e. peace operations. Contrary to General Assembly resolution 56/241, which reaffirms OHRM's central authority role for the Organization's human resources management, DPKO asserts that OIOS failed "to recognize the supporting peace operations is a core function of DPKO". OHRM has very limited capacity to monitor its delegated authority on personnel matters due to staffing limitations and lack of an accountability mechanism. This has resulted in inefficiency in the recruitment and placement process. It is also critical that DPKO established, in a Secretary-General's bulletin, the responsibilities, reporting lines and accountability of Special Representatives of the Secretary-General (SRSGs) on human resources management in field missions.

12. Field missions carried an overall vacancy rate of 24 per cent as at 31 May 2005. OIOS found numerous internal control weaknesses in the recruitment and placement of 300 series staff. Key findings relate to absence of transparency and non-compliance with established mechanisms in screening of applications against vacancy announcements, evaluating short-listed candidates against established criteria, placing qualified candidates in rapid deployment and occupational rosters, and selecting and deploying staff from the rosters. Furthermore, there were internal control weaknesses in the recruitment of international and national/local staff in UNMIS. Feedback from field missions based on a questionnaire showed that they expected better support from PMSS and that the established recruitment process is not followed in filling posts.

13. OIOS also identified cases with appearance of abuse of authority. Moreover, there were areas in training and consultancy services that could be improved.

V. AUDIT FINDINGS AND RECOMMENDATIONS

A. Accountability for recruitment of staff in field missions

Core functions and accountability

14. As set out in Secretary-General's bulletin ST/SGB/2004/8, OHRM is responsible for articulating overall policy orientation on human resources in the Secretariat. The Office, among other things, establishes policies, procedures and practices for the management of the human resources of the Secretariat and for the development of conditions of service consistent with the provisions of the Charter of the United Nations and the General Assembly's directives. In resolution 56/241, the General Assembly reaffirmed the role of OHRM as set out in resolutions 53/221 and 55/258, in particular its decision that OHRM "should remain the central authority for the monitoring and approval of the recruitment and placement of staff and for the interpretation of the regulations and rules of the Organization and their enforcement". The Outcome document (A/59/HLPM.1/Rev.1) urges the Secretary-General "to ensure the highest standards of

efficiency, competence and integrity, as well as ethical behavior, transparency, and accountability of the Secretariat, with due regard to the importance of recruiting the staff on as wide and equitable a geographical basis as possible, in particular at the senior and policy-making levels". Similarly, in its report A/58/19 to the General Assembly, the Special Committee on Peacekeeping Operations and its Working Group reaffirmed Articles 100 and 101 of the United Nations Charter in the recruitment and placement of staff in the Department of Peacekeeping Operations.

15. Peacekeeping operations support the maintenance of peace and security in accordance with and by authority derived from the principles and purposes of the Charter of the United Nations². Secretary-General's bulletin ST/SGB/2000/9 sets out DPKO's functions and structure and specifies overall policy orientation of peacekeeping operations as DPKO's principal responsibility.

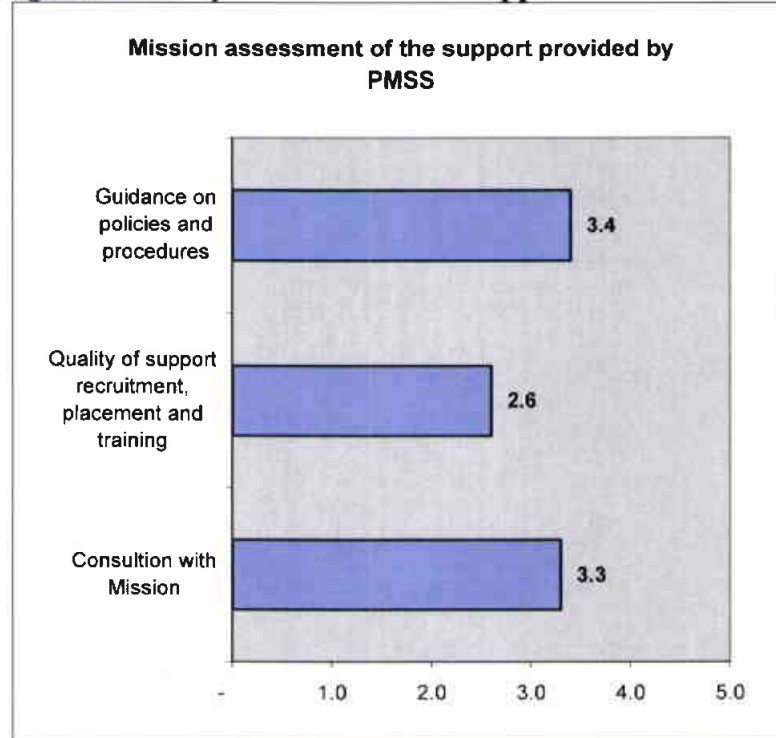
16. Assigning core functions to Secretariat departments and offices is intended to ensure that they sustain a competitive edge and remain accountable regardless of whether the authority for those functions is delegated to different locations or entities. Departments and offices are particularly expected to ensure consistency and coherence in the application of common standards on those functions throughout the Organization. The Secretary-General's reform programme seeks to empower programme managers, and this empowerment is embodied in the delegation of authority on core functions assigned to Secretariat departments and offices. However, in OIOS' view, the delegation of authority to DPKO on human resources management has in effect resulted in transfer of accountability, as OHRM has tended to relinquish accountability of its core functions. There is a growing risk in the Secretariat of confusing the delegation of authority as synonymous to abdicating responsibility. *OHRM disagreed with the statement that it tended to relinquish accountability of its core functions explaining that monitoring became part of the Secretary-General's reform in 2000 (A/55/253). OHRM also stated that it has organized monitoring and follow up missions to both offices away from Headquarters and to peacekeeping missions despite its limited resources for monitoring functions.*

17. On the other hand, the entities receiving the delegated authority subsume that authority as part of their own functions. With the surge of peacekeeping operations world-wide, DPKO has assumed significant support functions under the delegated authority from the Department of Management. In the process, the segregation of human resources responsibilities between OHRM and DPKO as an important internal control element has been compromised. There are also established differences in the application of human resources management standards between the Secretariat and the field missions. For example, as part of its core functions, OHRM has instituted a Human Resources Action Plan with each of the Secretariat's departments and offices. DPKO's Action Plan with OHRM does not include management of human resources in peacekeeping missions. Within the established practice and in line with Staff Rule 104.14 (h)(i), the recruitment and placement process for 300 series staff is not subject to review by appointment and promotion bodies. Generic job profiles have replaced the traditional job classification system to rationalize compensation and classification of jobs.

² A/59/6/Rev.1: Biennial Programme Plan and Priorities for the period 2006-2007

18. Furthermore, DPKO exercises the delegated authority mostly from Headquarters resulting in the same inefficiency that was intended to be overcome in human resources management in field missions. Reports on OHRM’s monitoring missions to peacekeeping operations identify weaknesses that corroborate field missions’ general concerns. OIOS sent a questionnaire to the heads of 18 field missions on the quality and timeliness of PMSS’ support services in staffing. Responses were received from eight missions and are presented in Figure 1. On a scale of 1 (Poor) to 5 (Excellent), the survey results highlighted that field missions expected better support from PMSS and that the established recruitment process is not followed in filling posts.

Figure 1: Survey results on PMSS support to field missions



19. Comments from mission responses included the following:

- “Candidates that have been technically cleared may indeed not have the particular profile of experience sought by the Mission for its post. We also find it necessary to repeatedly follow up. If this is not done the actions are too often not processed in a timely manner”;
- “There exists a tendency to give the established missions scant attention and insufficient personnel assigned, or those assigned tend to give priority to special missions”;
- “The length of time from when the VA (vacancy announcement) is sent to PMSS and when it appears on the Galaxy is far too long”;
- “We would like to see more background and reference checks of candidates so that we can avoid recruiting incompetent candidates”;

- “In the start-up phase of the mission candidates were sent without consultation with the mission”;
- The Mission “was not receiving response, guidance, or clarification to important queries despite several follow-ups raised to DPKO such as placement of staff at higher level posts following conclusion of the vacancy announcement process”;
- The Mission “has received short lists of candidates, and have gone through extensive efforts to review and interview candidates, only to be told by PMSS later that the candidate could not be released, or was not available for deployment”;
- “Protracted delays in informing candidates of an offer and follow up action has resulted in the loss of at least one selected candidate”;
- “Some areas appear to be especially challenging to get staff recruited in a timely fashion (i.e. procurement)”;
- “The quality of support provided by PMSS on recruitment and placement of staff is very poor”. “It often takes 6-8 months to get staff members on board”. “In some cases it has taken more than a year to complete the recruitment”;
- “When posts are requested to be advertised PMSS must keep the mission updated and should be more proactive in ensuring that the mission receives the shortlist in a timely manner”;
- “The timeliness of the recruitment process through PMSS and the ability of PMSS to provide appropriate cleared candidates, need to be addressed”.

Delegation of authority to field missions

20. DPKO’s human resources management is complex in that its Executive Office administers the department’s regular budget and peacekeeping support account posts as in other Secretariat departments or offices. At the same time, DPKO also administers all 300 series field mission staff under a delegation of authority from OHRM. However, OHRM retains the authority for compensation and classification of posts. Furthermore, United Nations Logistics Base in Brindisi (UNLB) provides logistical support to peacekeeping missions, and the Base’s Personnel Section administers its own posts.

21. Within DPKO, PMSS is responsible for the human resources management in peacekeeping missions. With the exception of partial delegation to two missions (UNMIK and UNTAET/UNMISSET), PMSS exercises the delegated authority for all 300 series international staff from UN Headquarters. Individual peacekeeping missions have the delegated authority to appoint only 300 series national staff. Missions, however, are also responsible for interviewing and selecting 300 series international candidates from the short-lists provided by PMSS.

22. According to a report³ of the Joint Inspection Unit, “the primary objective of delegation of authority is to foster a more efficient use of resources and facilitate the emergence of more agile and responsive organizations, thus enhancing overall performance. Because performance improves when the people who are closest to the work have managerial authority and responsibility delegated directly to them, leading private sector organizations ensure that internal

³ Joint Inspection Unit Report A/59/631 on Delegation of Authority and Accountability Part II: Series of Managing for Results in the United Nations system

processes provide managers with the authority and flexibility they need to contribute to the organization's mission".

23. As shown in Table 2, a total of 504 personnel posts are proposed for the 2005-2006⁴ fiscal year to support 16 peacekeeping missions. With 129 of the 504 posts (or 26 per cent) located at UN Headquarters in New York, the delegation of authority to DPKO only partially brings the authority to the people who are closest to the work. The delegation, in fact, creates an intermediary between OHRM and individual peacekeeping missions, thus adding to redundancies. There has been no progress in delegating human resources functions to field missions since the recommendations of the Brahimi Panel in 2000. Moreover, there is an inherent conflict of interest for PMSS in delegating its functions as it weakens PMSS' control over field missions. The Galaxy system was also to serve as the vehicle for further delegation of recruitment authority to field missions. However, the implementation of Galaxy has not resulted in any further delegation to field missions.

Table 2: Personnel posts proposed for the 2005-2006 fiscal year (2006-07 for RB)

Mission	Personnel posts at each PK mission					Total Civ. Personnel	Total UN Personnel	Total Budget (US\$mil.)	% age of Personnel posts to Total Civ. Personnel
	P and above	GS/FS	NS	UNVs	Total				
UNTSO		7	2		9	248	248	63	4
UNMOGIP		4	2		6	71	71	16	8
UNFICYP	1	1	3		5	155	1,084	46	3
UNDOF	1	1	5		7	149	1,196	42	5
UNIFIL	3	7	7		17	464	2,464	94	4
MINURSO	2	3	1		6	430	751	49	1
UNOMIG	1	2	4		7	350	505	36	2
UNMIK	5	15	25		45	3,320	6,546	240	1
UNAMSIL	3	4	5		12	734	4,299	107	2
MONUC	18	39	32	5	94	2,658	20,003	384	4
(MONUC budget for the period from 1 July to 31 October 2005)									
UNMEE	4	4	4		12	476	3,954	177	3
UNMIL	4	5	12	5	26	1,444	18,230	723	2
UNOCI	4	5	8		17	899	7,717	372	2
MINUSTAH	3	11	8	2	24	1,110	9,611	478	2
UNUB	4	7	6	2	19	852	6,820	297	2
UNMIS	9	19	24		52	3,743	14,666	1,018	1
Sub-Total	62	134	148	14	358	17,103	98,165	4,141	2
DPKO/PMSS	45	68			113			132	
DPKO/EO	6	10			16	992	992	517	2
UNLB	1	11			12	209	209	38	6
Sub-Total	52	89	-	-	141	1,201	1,201	687	12
OHRM	4	1			5			74	
Total:	118	224	148	14	504	18,304	99,366	4,901	3

Weak monitoring of delegated authority by OHRM

24. Personnel management is part of OHRM's core functions. However, the allocation of only five posts for monitoring the delegation of authority is inadequate, given the fact that mission staffing tables comprise more than 17,000 posts. Due to these resource constraints, OHRM conducted only a limited number of monitoring missions to the field. But these monitoring missions identified significant weaknesses in human resources management. Field

⁴ OHRM's 5 regular budget posts are in its 2006-2007 proposed programme budget

missions themselves are confused as to whether DPKO or OHRM is responsible for providing policy guidelines and operational strategy on personnel matters.

25. Therefore, field missions might be served better when PMSS' functions are structured within OHRM with more authority delegated to them. However, it is important to uphold the priorities set by Member States in the road map towards implementation of UN Millennium Declaration⁵ that require action "to complete significant management reforms in peacekeeping operations, which includes filling new posts". In this regard, the Department of Management needs to take stock of the experience gained and lessons learned on the whole concept of delegation of authority as envisioned in Article 32 of the Secretary-General's report A/57/387 to conduct a thorough review of "the delegated authority in order to increase the capacity and flexibility of managers to manage the resources allocated to them". This should afford an opportunity to identify challenges and develop a strategy for the devolution of responsibilities with a holistic approach that embraces accountability and governance principles. Experiences of UNMIK and UNMISSET would also provide lessons on the management of field staff under the delegated authority.

Recommendations 1 – 3

The Department of Management should conduct a comprehensive and objective review to assess the success of the delegation of authority of human resources management to DPKO, taking into consideration: (i) the original intent of the delegation; (ii) the efficiency and effectiveness of DPKO's implementation of the delegated authority; (iii) the effectiveness of monitoring of the delegated authority by OHRM; and (iv) the impact of the Secretary-General's vision on human resources reform in the Organization (AP2005/600/18/01).

OHRM, in conjunction with DPKO, should develop a strategy, including timeframes, for delegating human resources management to field missions (AP2005/600/18/02).

DPKO should take steps to improve its response to the field missions' comments and requests in a timely manner in order to improve its support services (AP2005/600/18/03).

26. *DM and DPKO partially accepted recommendation 1. DPKO asserted that human resources management was a critical element in the Department's overall strategy for launching and sustaining peace operations. Removal of the function from DPKO would compromise its effectiveness.* Based on the explanations provided, OIOS has modified recommendation 1 which will remain open until it receives a copy of the results of the comprehensive, independent review on the success of the delegation of authority on human resources management.

⁵ A/56/326: Report of the Secretary-General on the road map towards the implementation of the United Nations Millennium Declaration

27. *With regard to recommendation 2, OHRM commented that currently, the delegation of authority runs from DM to DPKO. Therefore, DPKO (not OHRM) should take the lead in assessing whether, and if so to what extent, the management of human resources can be delegated to field missions. DPKO stated that with respect to the delegation of personnel administrative processes, further delegation requires that the Organization address the larger organizational issues to ensure that (i) adequate IT systems are in place; (ii) compensation systems, contractual arrangements, staff rules and processes are simplified, "lump-summed" and streamlined; (iii) effective monitoring tools are available; and, (iv) highly expert and experienced human resources management staff are available in the field to effectively execute the delegated authority. DPKO also stated that certain corporate responsibilities such as recruitment of international staff require centralized management. OIOS is not convinced with OHRM's assertion that DPKO should take the lead in assessing the management of human resources in field missions and in determining whether further delegation is feasible. Given that human resources management is part of OHRM's core functions, the Department of Management should take the lead in assessing the delegation of human resources management to field missions as the Organization's central authority accountable for those functions. It is also relevant to note that DPKO's position that recruitment of international staff should be done centrally is contrary to the Secretary-General's report A/55/977, according to which a key facet of the global strategy for civilian staffing involves delegating additional recruitment authority to field missions. OIOS therefore reiterates recommendation 2, which will remain open pending receipt of documentation from OHRM and DPKO showing that it has been implemented.*

28. *DPKO accepted recommendation 3 and explained the series of steps already taken, and proposed to be taken, to strengthen the Department's ability to recruit and retain high quality personnel for UN peace operations. DPKO indicated that recommendation 3 will be implemented by the third quarter of 2006. This recommendation remains open pending receipt of documentation from DPKO showing that it has been fully implemented.*

SRSGs' accountability and reporting lines

29. Leadership and accountability is key to bringing about resolution to conflicts surrounding peacekeeping and special political missions. Currently, 16 Special Representatives of the Secretary-General (SRSG) head peacekeeping missions around the globe. Annual budgets for these missions total over \$5 billion. SRSGs are responsible for managing complex mandates and are directly accountable to the Secretary-General on management issues and report to the Security Council on matters related to the implementation of mission mandates.

30. However, the Secretariat has not established a compact with the SRSGs. Their reporting lines to the Security Council, the Secretary-General and DPKO are not formally defined and enforced. Lately, UN operations have come under closer scrutiny raising questions on management practices⁶, security concerns⁷ and sexual exploitation⁸. In its report⁹ to the General

⁶ Independent Inquiry Committee report on Oil-for Food Programme (Volume III, Chapter 5, page 173 / 277)

⁷ A/59/702

⁸ A/59/710

⁹ A/59/532/Add.1

Assembly, the Fifth Committee recommended for a decision by the General Assembly: “in view of the critical importance of budgets for the effective functioning of missions, the submission of budget proposals from missions to Headquarters should constitute part of the leadership and accountability functions of the Head of Mission/Special Representative”. In his report¹⁰ to the General Assembly, the Secretary-General proposed measures to strengthen accountability at the United Nations, which included introducing mandatory induction programmes for senior officials. Furthermore, the Secretary-General has also proposed to establish UN Office of Ethics (A/60/312). DPKO has also internally developed Standard Directives that describe roles and reporting lines of SRSGs. These directives, however, are not formally established and enforced.

Recommendation 4

DPKO should consolidate, in a Secretary-General’s bulletin, the ethical standards and directives for SRSGs along with their responsibilities, reporting lines and accountability on human resources management in field missions (AP2005/600/18/04).

31. *DPKO accepted recommendation 4 but sought clarification as to whether: (a) ST/SGB should reflect a template for field missions setting out reporting lines and functions of the individual elements of a mission; or (b) the ST/SGB should include specific operational and policy directives for mission senior management leadership.* OIOS hereby clarifies that the intent of the recommendation was to consolidate in an ST/SGB both elements, as well as other relevant issues including applicable ethical standards. Recommendation 4 remains open pending receipt of documentation from DPKO showing that it has been implemented.

B. General recruitment and placement information and provisions

Vacancy rates

32. PMSS’ Human Resources Planning and Development Section is responsible for developing a global staffing strategy and for long-term planning and career development. As shown in Table 3, field missions carried an overall vacancy rate of 24 per cent as at 31 May 2005. Vacancies in the professional category and above were higher, with a 33 per cent vacancy rate. While it is understandable to expect higher vacancies in the newly established missions such as UNMIS, UNOCI and UNMIL, vacancy rates of over 20 per cent in well established missions such as MONUC, UNMEE, UNIFIL and UNTSO at any level could be detrimental to the implementation of mission mandate. The high vacancy rate in the international professional category could hamper the Mission’s ability to carry out key functions notably in the substantive areas. There is no mechanism (such as a Human Resources Action Plan) in individual missions to monitor vacancies and set targets for attaining the desired staffing levels.

¹⁰ A/60/312

Table 3: DPKO Field Mission Staffing as of 31 May 2005

Sl. No	Missions	Authorized posts			Incumbency			Vacancy (%)		
		P & up	FS/GS	NS	P & up	FS/GS	NS	P & up	FS/GS	NS
1	MINURSO	34	109	113	23	100	107	32	8	5
2	MINUSTAH	230	252	549	168	232	361	27	8	34
3	MONUC	499	603	1,545	319	419	1,210	36	31	22
4	ONUB	187	216	423	142	180	317	24	17	25
5	UNOCI	178	209	405	112	156	151	37	25	63
6	UNAMSIL	96	170	486	73	156	452	24	8	7
7	UNDOF	9	33	107	7	29	103	22	12	4
8	UNFICYP	14	32	109	13	26	109	7	19	-
9	UNIFIL	26	99	303	17	84	290	35	15	4
10	UNMEE	108	148	273	71	124	251	34	16	8
11	UNMIK	438	337	2,674	368	330	2,658	16	2	1
12	UNMIL	310	325	798	220	270	717	29	17	10
13	UNMIS	310	310	1,266	125	133	323	60	57	74
14	UNMOGIP	2	24	43	2	20	43	-	17	-
15	UNOMIG	36	84	185	30	54	181	17	36	2
16	UNTSO	9	116	123	9	88	121	-	24	2
	Total:	2,486	3,067	9,402	1,699	2,401	7,394	32	22	21
Overall:		14,955			11,494			23		
Vacant posts:								3,461		

33. The OIOS' evaluation of the impact of DPKO's recent restructuring (A/58/746) found that there is a general lack of succession planning in field missions. A succession planning strategy was initially scheduled for completion by September 2001 but was postponed to the end of 2004. It has still not been completed. OIOS supports staff mobility when deployments are made in a transparent process as it enriches experience and results in productivity. The number of field staff available in down-sizing and ongoing missions is not always enough to fill the vacancies in new or expanding missions, and the rapid deployment and occupational group rosters are not fully utilized to recruit and place qualified candidates against vacant posts.

34. The tendency to deploy the same staff from mission to mission may also result in collusion and other irregularities. OIOS' audit of procurement activities (AP2005/600/20) conducted as part of the management audit of DPKO has pointed out a number of cases where this situation has arisen.

Recommendations 5 and 6

OHRM should establish a Human Resources Action Plan with each field mission to better manage the missions' human resources (AP2005/600/18/05).

PMSS should complete its succession planning strategy to fill vacancies in a timely manner, duly ensuring that the appointment and placement procedures for field staff uphold the principles in Article 101 of the UN Charter (AP2005/600/18/06).

35. *OHRM accepted recommendation 5 and stated that the Office and DPKO are jointly designing a Human Resources Action Plan template for peacekeeping operations and have*

commenced preparation of a pilot in 2006 for some missions. Recommendation 5 remains open pending receipt of the finalized action plan from OHRM. DPKO accepted recommendation 6, which it will implement by the second quarter of 2006. Recommendation 6 remains open pending receipt from DPKO of a succession planning strategy to fill vacancies in a timely manner.

Policies and procedures

36. PMSS has been presenting to field missions a new procedure governing the selection and appointment of international staff, but the procedure has not been formalized in writing. It also needs to develop a policy for the adjustment of grade level of staff based on an established mechanism to assure transparency in the adjustment process. Similarly, PMSS and OHRM need to establish policies and guidelines for local recruitment, review of local staff grade levels, mission draw-down, and selection and appointment of staff from downsizing missions. Missions should be provided with more supervision and guidance to ensure that they comply with the policies and guidelines consistently.

37. DPKO's Human Resources Handbook stipulates that reassignment of local staff from downsizing missions should be based on selection by a local panel. However, there is no policy to convert local staff on temporary duty from downsizing missions to international appointments after six months. OIOS found that Chief Administrative Officers requested the reassignment, release or technical clearance of candidates who were not selected through the established process. PMSS has developed a checklist in the Nucleus system (which is used for post management) for technical clearance of selected candidates.

Recommendation 7

PMSS should develop policies, guidelines and procedures that: (a) govern transparent conversion of local staff on temporary duty to international appointments; and (b) ensure consistency in the review and adjustment of grade levels of 300 series staff (AP2005/600/18/07).

38. *DPKO accepted recommendation 7 and stated that it has already been implemented through the recent issuance of policy guidance to field missions. OIOS is satisfied with the response and the additional information provided, and has closed recommendation 7.*

C. Recruitment and placement of international staff

Non-compliance with established recruitment and placement procedures

39. As shown in Table 4, approximately 400,000 applications were received in Galaxy for 1,758 international mission vacancies during 2003, 2004 and as of 30 June 2005.

Table 4: Vacancy announcements and applications

Year	No. of Vacancies	No. of Applications
2003	50	23,776
2004	792	200,714
2005	916	179,302
Total:	1,758	403,792

40. For international staff, PMSS posts vacancy announcements in Galaxy, receives applications, screens them, and prepares a short-list of qualified candidates. PMSS is also responsible for maintaining rapid deployment and occupational group rosters. Procedurally, the short-list is to be further reviewed with candidates in the relevant occupational group rosters. Substantive programme managers at DPKO are then to review the short-listed candidates for technical clearance. Finally, PMSS sends a list of technically cleared candidates to missions for interview and selection. Once a candidate is selected, other short-listed candidates are to be placed in occupational rosters.

41. OIOS found that the international staff selection process lacks transparency and the process does not assure the selection of best qualified candidate. Moreover, the Financial Management and Support Service (FMSS) and the Logistics Support Division (LSD)¹¹ routinely forwarded names of candidates to PMSS with their recommendation for selection and appointment. Often such candidates were selected outside of the roster and of vacancy announcements.

42. Of the 60 appointment cases reviewed in UNMIS, 34 (or 64%) were found to have been appointed without a vacancy announcement. Furthermore, for 41 (or 69%) of these cases, there was no short-lists from PMSS, and for 40 cases (or 68%), there was no comparative analysis of candidates done in the Mission. Mostly candidates who formed part of the rapid deployment team filled the positions in the support areas. Staff members who initially served on temporary duty (TDY) were later confirmed without a transparent competitive process.

Recommendation 8

PMSS should stop accepting candidates recommended outside of the vacancy announcements and occupational rosters for all international posts in field missions (AP2005/600/18/08).

43. *DPKO did not accept recommendation 8, stating that this would restrict the receipt of applications by other means such as faxes and letters.* OIOS believes that DPKO has misinterpreted recommendation 8, as there is no limitation on accepting applications sent by fax or mail in response to vacancy announcements, which are required to be circulated in hard copy to all Permanent Missions in addition to being posted electronically in Galaxy. OIOS therefore reiterates recommendation 8, which will remain open pending confirmation by DPKO that it has been implemented.

¹¹ 13 December 2004 Note from LSD regarding the designation of Acting Chief Transport Officer, MINUSTAH.

Generic job profiles

44. One of the elements of the Secretary-General's human resources reform is the preparation of generic job profiles specifying broad requirements for appointment to similar functions at the same level. In its previous reports (A/56/202, A/57/224 and A/58/704), OIOS had also recommended that DPKO and OHRM should prepare generic job profiles and ensure that vacancy announcements are consistent with such generic job profiles.

45. To date, OHRM has approved a total of 23 sets of generic job profiles representing 150 jobs in the most populous functional areas in the professional category and some 90 jobs in the general service category. PMSS' Human Resources Planning Section is responsible for developing generic job profiles for posts in the Field Service category. The Section is also responsible for developing generic job profiles for mission posts that do not fall within the occupational groups for which generic job profiles have already been prepared. To date, there are only 26 OHRM-approved generic job profiles covering Field Service positions in six occupational groups. Currently, DPKO is reviewing an additional 21 generic job profiles and 13 more profiles are yet to be drafted by PMSS. Furthermore, OIOS noted that on the recommendation of DPKO's Engineering Section, PMSS is considering an additional 46 generic job profiles for the engineering occupational group. *OHRM commented that such a large number of generic job profiles for one occupational group would appear inconsistent with the concept.*

46. A summary review of the list of Field Service generic job profiles disclosed that approximately 80 per cent of these profiles are similar to the OHRM-approved profiles in the general service category, which include positions for Administrative Assistant, Security Officer, Procurement Assistant, Information Technology Technician, Finance Assistant, and Logistics Assistant. However, the development and approval of generic job profiles which are commonly available in field missions such as positions for General Services (Receiving and Inspection, Property Control and Inspection Unit), Supply, Engineering and Logistics, including Transport still remain outstanding as of the date of the audit.

Recommendation 9

PMSS should complete on a priority basis the development and approval of generic job profiles for posts in the Field Service category (AP2005/600/18/09).

47. *DPKO accepted recommendation 9 and stated that it has re-commenced work on developing generic job profiles for the Field Service category. Recommendation 9 remains open pending receipt of sample copies of generic job profiles for posts in the Field Service category.*

Posts requirements in vacancy announcements

48. To streamline the job classification process, sets of generic job profiles were originally developed as classified job descriptions. Now, generic job profiles have become the primary

source for developing vacancy announcements. Clear, consistent vacancy announcements are essential to attract the best qualified candidates. However, vacancy announcements showed inconsistencies in the post requirements for positions covered by approved generic job profiles. Annex 3 provides the details of these inconsistencies, which are summarized below:

- The length of service specified in vacancy announcements for posts at various levels varied upwards or downwards and was not consistent with the generic job profile (where available), or the guidelines approved on 30 July 2004 for determination of level and steps on recruitment to the professional and above category.
- Similarly, the academic requirements were not consistent with the generic job profiles (where available). Educational requirements in vacancy announcements differed significantly within an occupational group and sometimes even at the same levels. The generic job profile usually required an advanced university degree or an “equivalent combination of education, certification and experience” to qualify for a professional position. An advanced university degree or a relevant combination of “professional training and certification and extensive experience” was indicated in many vacancy announcements as educational requirements for senior level positions, including the Chief Administrative Officer and the Director of Administration. By treating “education” and “professional training” at par, such formulations implied that a candidate with no degree would equally qualify despite the fact that professional training and certification are different from academic qualification.
- Vacancy announcements for posts at the same level and in the same occupational group specified different requirements regarding educational qualifications and professional experience.
- There were also unusual or ambiguous educational requirements such as: “university of recognized standing”, “academic training”, “equivalent technical education combined with work experience sufficient to establish competency in the management of a UN General Services Section”.
- Post requirements also included ambiguous experience such as pilot license for an Air Operations Assistant at the FS-5 level, or practical experience in teaching for holders of bachelor’s degree for a position where only completion of secondary education was listed as educational requirements.
- Unusual title advertised (“Chief of Unit” or “OIC Sea Movement”).
- Multiple category posts such as Field Service/Professional exhibiting the same educational and experience requirements.
- Closing dates of the vacancy announcements within the regular 15-day period since the posting date.

49. In OIOS' opinion, such disparities could not only lead to inequities in the recruitment process, but also create the appearance of abuse of authority since the vacancy announcements appear tailored to accommodate particular applicants.

Recommendation 10

PMSS should ensure that vacancy announcements reflect the broad criteria identified in the generic job profiles (AP2005/600/18/10).

50. *DPKO and OHRM accepted recommendation 10.* OIOS is satisfied with the response and has closed recommendation 10.

Screening and evaluation of applicants

51. PMSS' Recruitment and Placement Section is responsible for the screening of candidates and filling of vacancies in over 20 key occupational groups. As shown in the Table 5, the current process of advertising vacancies has increased the pool of applicants significantly with a total of 187,237 applications received during 2004 in response to 378 vacancies posted in Galaxy. The Galaxy system has the capability to sort and screen applications using "key words or phrases" relevant to post requirements. PMSS has no policy to pre-approve and identify "key words and phrases" in the vacancy announcements and generic job profiles to screen applications. These key words and phrases are not linked to the evaluation criteria established in selecting candidates. There is also a lack of oversight related to the keywords that remain at the complete discretion of the human resources officer. PMSS officials use generic job profiles of advertised posts and their own experience and assumptions of the functions in selecting "key words and phrases" to screen applications. As a result, candidates not meeting post requirements were screened while those with relevant experience and education were left out.

Table 5: Statistics on recruitment for 2004

	D-2	D-1	P-5	P-4	P-3	P-2	FS-7	FS-6	FS-5	FS-4	FS-3	Total
Posted vacancy	3	20	43	77	81	23	4	16	44	61	6	378
Applications received	1,315	4,667	15,383	32,797	45,503	17,951	2,159	7,813	22,438	31,625	5,586	187,237
Initially cleared	108	394	1,930	2,473	2,788	1,472	3,470					12,635
Technically cleared (roster)	9	76	285	977	1,302	368	2,138					5,155
Initial appointments	14	12	36	115	197	99	0	10	41	295	106	925

52. OIOS believes that at all times, the integrity of the candidate evaluation process should be maintained by adhering to the eligibility requirements specified in vacancy announcements, hence the keywords used as a convenient and effective tool for screening candidates should be

vetted and agreed upon within the Recruitment and Placement Section. In the absence of pre-approved “key words and phrases”, there was no assurance that the existing screening process resulted in selecting the most suitable candidate for advertised posts. In addition, the candidates placed in the roster might not be fully meeting relevant post requirements of similar future vacancies.

Recommendation 11

PMSS should establish “key words and phrases” for screening applications in the Galaxy system and use such “key words and phrases” consistently (AP2005/600/18/11).

53. *DPKO did not accept recommendation 11, whereas OHRM supported it stating that the facility to use ‘key words and phrases’ in screening applicants in Galaxy has been available since 2004, and PMSS may wish to take advantage of this facility. DPKO, however, explained that technical limitations related to Galaxy, and the structure of data in the personal history profile (PHP) currently did not allow for a full implementation of this recommendation. Nevertheless, DPKO stated that the screening by key words and phrases is used as a mechanism to further refine the pool of candidates who have already met the evaluation criteria to match them with mission-specific requirements. Specific standard operating procedures will be promulgated in the first quarter of 2006 with the establishment of Recruitment and Outreach Unit. DPKO suggested that instead of searching by “key words and phrases”, all major commercial recruitment systems use structured data elements associated with the vacancy announcements in the form of questions or structured keywords. PMSS had proposed such an approach at the beginning of the Galaxy development and thereafter, to be implemented in the system in the form of enhanced PHP but OHRM has not yet approved the proposal. Recommendation 11 remains open pending receipt of a copy of the results of the joint review by OHRM and PMSS concerning the new approach suggested by the latter.*

Rapid deployment roster

54. In 2003, DPKO initiated the establishment of a rapid deployment roster of civilian personnel covering some 120 key functions. OIOS found that the roster is based on self-nomination by staff members, as opposed to selection by PMSS or DPKO. Out of approximately 6,500 staff members¹² contacted in the field and at the UN Headquarters, 637 staff members for inclusion in the roster with the approval of their immediate supervisors. Of the 637 applicants, 283 staff members were selected as part of the rapid deployment roster and divided into three teams. As of July 2004, 54 staff members had been deployed from the roster.

55. OIOS found that the rapid deployment roster lacked a formal mechanism to solicit and select suitably qualified staff members. There was also no formal mechanism to review the suitability of staff members before they are placed in the roster. There was also no established mechanism to vet and approve the deployment of candidates from the roster to relevant

¹² A/59/763

vacancies. It is important that such a mechanism is formalized and communicated to all missions explaining the administrative arrangements required for deploying candidates from the roster.

56. Criteria used in the selection of candidates for the roster appeared inconsistent with the current requirements and challenges ahead for peacekeeping operations. For example, previous peacekeeping experience as a criterion seemed irrelevant since all candidates were internal and had previous peacekeeping experience. Similarly, critical functions identified in the report A/59/763 do not seem to take into account the challenges of start up missions. Furthermore, there is a gap between the qualifications of applicants who were technically cleared and accepted as part of the rapid deployment roster and the technical skills required to start-up a mission.

Recommendation 12

PMSS should establish a formal mechanism to solicit, select and approve the placement of suitably qualified staff in the rapid deployment roster, and deploy candidates from the roster by taking into account the specific skills required for start-up missions (AP2005/600/18/12).

57. *DPKO did not accept recommendation 12, stating that in light of experience gained from the rapid deployment roster, the means of meeting rapid deployment requirements are being revisited in the context of the reform of the Field Service category. In this respect, a new concept of a cadre of career peacekeeping officers in both the Field Service and Professional categories performing core functions is being developed. This cadre would be centrally managed by DPKO and subject to assignment at short notice to any field operations – thus addressing the issue of rapid deployment as well as long-term staffing needs. These career staff would be subject to rapid deployment in the event of the start-up or expansion of a peacekeeping operation and would replace the previous rapid deployment roster system. Should the General Assembly accept the concept of a career cadre of peacekeeping officers, PMSS will further develop new procedures for rapid deployment of staff to the field. OIOS awaits the outcome of these proposals. However, till alternative arrangements are put in place, there is a risk of abuse due to the lack of a formal mechanism to solicit, select and approve the placement of suitably qualified staff in the rapid deployment roster. Therefore, OIOS reiterates recommendation 12, which will remain open until DPKO establishes a formal mechanism.*

Occupational group rosters

58. In order to facilitate the candidate evaluation process, PMSS developed an online roster module within the Nucleus system. As shown in Table 6, PMSS has established rosters for over 20 occupational groups and 150,630 candidates were placed in the roster between 1 July 2004 and 31 October 2005.

59. The Nucleus system has vacancy controls and staffing table modules that have been integrated with the Galaxy system. Current roster management procedures include an “initial clearance” step performed by PMSS’ human resources officers where applicants that met the eligibility requirements specified in vacancy announcements enter the roster. These candidates

are later technically cleared by the relevant DPKO organizational units according to the procedures in place. Consequently, the “technically cleared” candidates are the source of short-listing candidates for selection. While the steps outlined in the checklist are sound, compliance by human resources officers to those steps appeared unsubstantiated as most of them were completed on the same date. Moreover, each human resources officer is entrusted with the responsibility for administering one or more occupational groups. This responsibility is complementary to the day-to-day responsibilities in fielding short-list of candidates to a particular mission.

Table 6: Applications and rosters by occupational groups

Sl. No	Occupational groups	No. of applications received during		No. of candidates in the roster	
		1/7/2004 to 30/06/2005	1/7/2005 to 31/10/2005	1/7/2004 to 30/06/2005	1/7/2005 to 31/10/2005
1	Administration	24,031	11,362	20,941	13,100
2	Aviation			2,839	191
3	Civil Affairs	3,132	1,360	2,492	1,191
4	Conference Services	32	64		
5	Economic Affairs	462	29	480	
6	Engineering	7,378	2,369	6,065	3,173
7	Finance	7,294	1,887	8,282	1,900
8	Human Resources	8,297	3,920	7,649	3,313
9	Human Rights	2,121	1,221	2,028	720
10	Humanitarian Affairs	3,863	2,001	3,176	2,159
11	Information Management	402	922	649	312
12	Information System & Technology	10,093	2,987	9,494	2,903
13	Jurists	523	428		
14	Legal Affairs	6,100	615	2,709	350
15	Logistics	24,794	7,108	20,514	4,912
16	Medical	810	374	747	129
17	Other			218	
18	Political Affairs	12,032	3,861	10,994	3,782
19	Procurement	6,254	1,935	5,391	1,388
20	Programme Management	1,343	1,666	3,950	1,574
21	Public Administration			223	
22	Public Information	5,753	1,227	5,791	839
23	Rule of Law			4,304	421
24	Security	12,626	1,942	9,690	1,312
25	Social Affairs	2,310	1,180	2,576	201
26	Social Sciences		368		
27	Transport			3,707	1,851
	Total:	139,650	48,826	134,909	45,721

60. OIOS believes that the dual responsibility of human resources officers both in administering occupational group rosters and providing short-lists of candidates to fill field vacancies reflects an inherent conflict of interest. There is no formal mechanism and segregation of responsibilities to oversee the process for placing applicants in occupational rosters. PMSS is responsible for advertising positions in Galaxy, screening applications against those advertisements, and placing candidates in occupational rosters. Furthermore, PMSS prepares short-lists from applicants screened out of vacancy announcements and from the occupational rosters.

61. DPKO substantive units and field missions concerned provide technical clearance of the short-listed candidates. However, OIOS was informed that some field missions were not

allowed access to the pool of technically cleared candidates. OIOS believes that the field missions should be given a wider range of candidates to choose from by allowing them to evaluate candidates from the Nucleus-based roster. On the other hand, various DPKO organizational units that provide technical clearance have unrestricted access to the full list of applications received.

62. OIOS identified two instances where the Services Unit/Supply Section within DPKO directly “selected” from the pool of applicants by undertaking both the initial screening and the technical clearance. The instances referred to are as follows: (i) VA 405413 FS-5 Fuel Contract Assistant where the Supply Section “selected” 14 from 197 applicants; and (ii) VA 405412 FS-4 Supply Assistant where similarly, the Supply Section “selected” 13 from 181 applicants. OIOS believes that these represent serious departures from the established recruitment procedures and they not only compromise the integrity of the process but also indicate an appearance of abuse of authority. A similar instance was identified in UNMIS, which requested the recruitment of 15 candidates for aviation positions. Out of the 15 candidates indicated by the Mission, two were not included in the original list with technically cleared candidates by DPKO Headquarters. It is unclear how UNMIS selected these two candidates, since they were not in the Nucleus roster or technically cleared by Air Operations Section at Headquarters.

63. Given that internal candidates are routinely selected outside of the recruitment and placement process and that the short-lists do not trace any candidates to the occupational rosters, there is no reasonable assurance that PMSS is using the rosters as part of the recruitment process.

Recommendations 13 and 14

PMSS should:

- (i) Reassign the roster management responsibilities to a team independent of recruitment and placement functions (AP2005/600/18/13); and
- (ii) Establish a formal mechanism to oversee the process of placing applicants in occupational rosters by granting appropriate access rights to DPKO organizational units and field missions to the roster of technically cleared candidates, and by tracing the selected candidates to the roster (AP2005/600/18/14).

64. *DPKO agreed with recommendations 13 and 14, and stated that implementation of recommendation 13 is in progress as it has been taking action to reassign the roster management responsibilities to a team independent of recruitment and placement function in the context of the PMSS restructuring, which is expected to be completed in the first quarter of 2006. Regarding recommendation 14, DPKO stated that specific standard operating procedures for all recruitment officers responsible for occupational rosters will be promulgated in the first quarter of 2006. Under these procedures, the Nucleus system will provide capability to track the source of candidates, and candidates shall only be placed on the rosters after all required steps of the screening process have been completed. With the implementation of a new web-site for DPKO,*

where vacancy announcements will be advertised at all levels with open deadlines, all candidates who express interest in a specific position can be added to the roster even if they are not able to apply on-line. DPKO organizational units performing technical clearance functions only have access to candidates who have already been initially cleared by PMSS Recruitment Officers. Furthermore, missions with access to Nucleus are only able to search among candidates who have already been initially and technically cleared. Recommendations 13 and 14 remain open pending receipt of a copy of the standard operating procedures for recruitment officers responsible for occupational rosters.

Clearance process of staff members carrying out significant functions

65. According to ST/SGB/2005/7, the Under-Secretary-General for Management (USG/DM) is entrusted with the authority to designate staff members performing significant functions in the management of financial, human and physical resources, wherever they may be assigned in the United Nations. The USG/DM in turn relies upon the Controller and Assistant Secretary-General for Programme Planning, Budget and Accounts, the Assistant Secretary-General for Human Resources Management and the Assistant Secretary-General for Central Support Services for the designation of staff members performing significant functions in their respective areas of responsibility. In designating staff members performing significant functions in financial, human and physical resources management, the officials responsible for the designation must ensure that the staff members selected have the requisite qualifications and experience to carry out the functions assigned to them and to provide consistency in the application of the Organization’s regulations, rules, policies and procedures.

66. PMSS requested the USG/DM for clearance of 30 staff members carrying out significant functions during the period 1 July 2004 to 30 June 2005. With the exception of one staff member, clearance was received for all other staff members and there was no record of seeking any additional information on the cleared candidates. However, OIOS is not convinced that PMSS sought and received clearances for all candidates carrying out significant functions. For example, in UNMIS alone, 55 professional staff members were appointed to carry out administrative functions as of 31 October 2005. OIOS noted that there were no clearances on file for the staff members shown in Table 7.

Table 7: Designation of staff members performing significant functions

Mission	Title	No clearance on file
UNDOF	Chief Administrative Officer	X
ONUB	Chief Administrative Officer	X
UNMIK	Director of Administration	X
UNOWA	Administrative Officer	X
UNLB	Director of Administration	X
UNTOP	Administrative Officer	X
UNOGBIS	Administrative Officer	X
UNAMI	Chief Administrative Officer	X
Great Lakes	Administrative Officer	X
MONUC	Procurement Officer	X
UNMIS	Procurement Officer	X
UNMIK	Procurement Officer	X
UNAMSIL	Contracts Management Officer	X

67. Furthermore, there was no evidence of an established process with the three Offices in the Department of Management to “ensure that the staff members selected met the requisite qualifications and experience to carry out the functions assigned to them to provide consistency in the application of the Organization’s regulations, rules, policies and procedures”.

Recommendations 15 and 16

PMSS should strengthen internal controls to ensure that appropriate clearances are received from the Department of Management for all staff members carrying out significant functions (AP2005/600/18/15).

The Department of Management should establish a formal clearance process to ensure that the staff members selected for mission posts meet the requisite qualifications and experience to carry out the functions assigned to them to provide consistency in the application of the Organization’s regulations, rules, policies and procedures (AP2005/600/18/16).

68. *DPKO accepted recommendations 15 and 16 and stated that it is working closely with OHRM to strengthen controls to ensure appropriate clearances are received from DM and are systematically tracked. DPKO will now seek the designation of officers-in-charge serving for a period exceeding one month, as required under ST/SGB/2005/7. DM commented that while it does not regard the ST/SGB/2005/7 procedure as a formal clearance process, the Department will review current practices and collaborate with DPKO on further improving the process to ensure that staff are qualified and cleared prior to assumption of their duties. With regard to recommendation 16, DPKO suggested that the formal requirement process should be reflected in the vacancy announcements. It also pointed out that the pool of current qualified candidates for the posts of Chief Administrative Officer and Chief Integrated Support Services are mostly comprised of staff members who have the required knowledge and experience but may lack the required academic profile. DPKO stated that ST/SGB/2005/7 should be further clarified through issuance of an administrative instruction that would provide details on the functions and levels concerned, as well as procedures, criteria to be applied, templates of presentation, and processes to be followed in seeking the designation of staff members as no standardized procedures are currently available. OIOS supports this approach, and recommendations 15 and 16 will remain open pending receipt of a copy of detailed procedures for implementing the provisions of ST/SGB/2005/7.*

D. Recruitment of national/local staff

69. All special missions have the delegated authority under Staff Regulation 4.5 to select, recruit, and determine level/step of local staff. As of 31 May 2005, some 9,335 national staff posts were authorized in 16 field missions, and 7,373 of these posts were fully encumbered. All field missions use generic job profiles for vacancy announcements to determine grade levels instead of the traditional method of classifying the functions for each post.

Local staff recruitment process in UNMIS

70. UNMIS has an authorized staffing table of 1,298 national staff posts for the period from 1 July to 31 October 2005. As of 3 October 2005, 736 posts had been filled. A total of 84 general local level vacancy announcements (including initial two announcements issued by UNDP) were issued during 2004 and 2005. For posts which have no generic job profiles, UNMIS searched the availability of such job profiles in other missions and UN agencies, and used them when available. The Mission issued specific vacancy announcements for posts with no established job profiles. However, such posts were not classified to determine their grade levels.

71. UNMIS' Human Resources Section has established a website for national staff vacancies. The Section screens applications and prepares a short-list of qualified candidates. To interview and select the most suitable candidate, the short-list is sent to the Section Chief where the post was authorized. Section Chiefs select candidates for interview by ad hoc interview panels comprising: (a) the head of the section concerned; (b) an official from the Human Resources Section as ex-officio member; and (c) an additional official from any other section. The Section Chief makes comparative evaluation of candidates and for some posts takes written tests to select the most suitable candidate. The Human Resources Section conducts reference checks of the selected candidate and requires them to obtain medical clearance. In cases where no reference checks could be conducted, the selected candidates are issued three-month probationary appointments. In all other cases six-month contracts are issued.

72. To review compliance with the established recruitment process, OIOS selected a sample of 35 staff members out of the 736 posts that have been filled, and found that there was no tabulation of the number of applications received against each vacancy announcement. There was also no comparative evaluation of qualified candidates, and instead only the selected candidates were evaluated. Seventeen of the 35 staff members did not meet the minimum number of years of work experience specified in the vacancy announcements. The Mission advised OIOS that it followed the "Guidelines for Locally Recruited General Service Staff for special missions" as (a) GL-2A – 1 year; (b) GL-2B – 1.6 years; and (c) GL-2C – 2.6 years. Work experience requirements under the Guidelines were lower than those specified in the vacancy announcements. As a result, the selection process did not assure recruitment of the most qualified candidates suitable for the post. OIOS believes that required work experience specified in the vacancy announcements should be the criteria for evaluating candidates.

73. Furthermore, the Mission used six different candidate assessment forms during selection. Ad hoc panels were established to interview short-listed candidates. There was no consistency in the use of candidate assessment forms by the panels. Although panel members used competency-based interview techniques to interview short-listed candidates, the level of proficiency in applying those techniques could be increased if a pool of panel members is established in the Mission. Once established, these members could be targeted for training in competency-based interview techniques. Given that the Mission has over 900 vacancies in total, including 500 national level posts, establishing a pool of panel members could strengthen the recruitment process.

74. There were no guidelines for establishing alternative controls regarding reference checks. OIOS was informed that the Mission issues probationary contracts to candidates with no reference checks. This practice was not formally established in the Mission. Furthermore, the onus of producing reference checks could also be placed on the candidates.

Recommendations 17 – 20

DPKO should ensure that UNMIS Administration:

- (i) Standardizes candidate assessment forms to ensure uniformity in the selection process and consider establishing a pool of interview panel members proficient in conducting competency-based interviews (AP2005/600/18/17);
- (ii) Tabulates the number of applications elicited by each vacancy announcement and make a comparative evaluation of qualified candidates in order to select the most suitable candidate for the post (AP2005/600/18/18);
- (iii) Uses the required work experience specified in the vacancy announcements as benchmarks to evaluate applicants and bring the related Guidelines in line with the benchmarks indicated in generic job profiles (AP2005/600/18/19); and
- (iv) Institutes alternative procedures such as issuing probationary contracts for an initial period of three months when reference checks are not available for selected candidates (AP2005/600/18/20).

75. *DPKO accepted recommendations 17-20 stating that recommendations 18 and 19 have been implemented. Regarding recommendation 17, DPKO stated that the draft guidelines for conducting interviews are being reviewed by OHRM, which will be promulgated in the first quarter of 2006. DPKO also stated that recommendation 20 is being implemented and PMSS will provide proper guidance to UNMIS based on the practice of other field missions whereby other contractual arrangements are offered to locally recruited staff during the completion of pre-recruitment formalities.*

76. Based on these comments, OIOS has closed recommendations 18 and 19. Recommendations 17 and 20 remain open pending receipt of documentation from DPKO showing, respectively: (a) the dissemination of interview guidelines to field missions; and (b) approved guidelines on contractual arrangements for locally recruited staff awaiting the completion of pre-recruitment formalities.

UNMIS' electronic roster for national staff

77. The Mission instituted an electronic system to register applications since July 2005. The system is organized by post categories, which are allocated with sequential block numbers. All incoming applications are manually sorted by post category. They are then scanned and registered by post categories assigning each with a number from the block corresponding to that category. The registered applications are then submitted to the human resources official responsible for the recruitment of local staff. The human resources official reviewed the applications and prepared a short-list of qualified candidates for transmittal to section chiefs, who conduct interviews and recommend selected candidates. The remaining candidates in the short-list are to be kept in a roster, which is valid for one year.

78. OIOS found that UNMIS' Human Resources Section received 4,067 applications from 26 July to 9 October 2005. These applications were scanned and registered in 24 different post categories. Of these applicants, 320 were short-listed and 77 were selected. However, the remaining 243 of the short-listed candidates have not been placed in a roster of qualified candidates by post categories. The Mission informed OIOS that the scanning and rostering of candidates is an ongoing process and that the 243 remaining candidates will be included in the roster.

Recommendation 21

DPKO should ensure that UNMIS Administration places all short-listed candidates in a roster of qualified candidates by post categories for consideration against future vacancies (AP2005/600/18/21).

79. *DPKO accepted recommendation 21 and stated that the recommendation has been implemented as UNMIS has reported that all short-listed candidates are placed in a roster of qualified candidates for review against similar future vacancies.* Based on this response, recommendation 21 has been closed.

E. Cases with appearance of abuse of authority

80. During the field audit of UNMIS, OIOS identified the following recruitment and placement cases, which had an appearance of abuse of authority.

(a) Personal Assistant (local staff) to the SRSG: Index No. 452636

81. The staff member has a High School diploma as educational qualification. She has approximately six years of relevant experience and worked in UNDP, Khartoum for ten months at the ICS-4 level. On 8 August 2004, the staff member joined UNAMIS for three weeks on assignment from UNDP pending completion of her recruitment at the Mission. UNMIS recruited the staff member at the GL-5A level effective 8 August 2004. In accepting the position at the Mission she resigned from UNDP retroactively effective 8 August 2004. At the time of her appointment at the GL-5A level in UNMIS, the staff member had not met the minimum

seniority requirement for appointment at this level. It appeared that the staff member resigned effective the date of her reassignment to UNMIS to take up the higher level position.

82. On 17 February 2005, the Mission extended the staff member's contract with an adjustment of her grade level to GL-5B. Furthermore, on 8 August 2005, the SRSG recommended her for a special post allowance (SPA) to the GL-6 level with a change in her functional title from the Administrative Assistant to Personal Assistant in the SRSG's office. The National Staff SPA Panel reviewed the recommendation on 25 August 2005, both for an SPA to the GL-6 level and for the change of her functional title. The Panel endorsed the recommendation for an SPA to the GL-6 level effective 24 March 2005, four months before meeting the one-year minimum seniority requirement.

83. OIOS also noted an undated vacancy announcement for the Personal Assistant (GL-6) position in the SRSG's office with 19 July 2005 as deadline to apply. The responsibilities described in the vacancy announcement for the position appeared inappropriate as they included:

- "Acts as the first point of contact between the SRSG and the Sudanese authorities and advises the SRSG of any changes in the points of contact within relevant Ministries and Diplomatic Corps. Maintains awareness into the political and cultural sensitivities in Sudan"
- "Maintains a calendar of appointments with the Government Officials and the Diplomatic Community in Khartoum as a whole and drafts brief advisory notes to the SRSG on the visits and/or subjects for discussions"
- "Reviews, processes and follows up on the action related to visits of officials/dignitaries and distributes to the relevant officers in the offices of the SRSG"
- "Maintains an updated database of Diplomatic community and Government officials for the continuous use of the SRSG"

84. In his 31 May 2005 handwritten note, the SRSG recommended the promotion of the staff member to the G-7 level reiterating her functions in the vacancy announcement for the G-6 level Personal Assistant position:

- "first contact between me, in my function as SRSG and the Sudanese authorities, at the highest level within all ministries, up to that of ministers themselves."
- "She is the only Sudanese and also the only Arab speaking collaborator in my office. She lays all contacts with the diplomatic community in Khartoum. She fulfills functions which otherwise would have to be carried out at the level of a Special Assistant".
- "In order to give a first good advice to the SRSG she should also have a reasonably good insight into the political and cultural sensitivities in Sudan."

85. However, at the time of the audit in October 2005, the staff member was on temporary duty to UNMIK as Personal Assistant to the SRSG's Chief of Staff. Except for a note dated 24 August 2005 from PMSS to UNMIK/UNMIS informing about the arrangements, there was no other information available on file.

(b) Transport Officer – P-3 (Index 895802)

86. In April 2005, UNMIS' Chief Specialist Support Service requested PMSS to recruit three candidates from a list of candidates cleared by the Office of Mission Support in New York. According to a 14 December 2004 note, the Panel of Transport Officers undertook a competitive selection process and interviewed ten candidates, and determined that four of them were found suitable for employment in the Mission. The source of these ten candidates was unclear, but it seems that their applications were directly forwarded to LSD without PMSS' involvement. In July 2005, UNMIS recruited the highest-ranking candidate as Transport Officer at the P-3 level from the original list forwarded to PMSS.

87. OIOS found that the selected candidate did not possess experience relevant to transport. His prior experience mainly relates to training and administration in the Ministry of Defense (7 years) and to planning and policies related to military operations (2 years) and military duties (2 years). OIOS also noted that two human resources officers in UNMIS expressed doubts about the suitability of the recommended candidate for a start up mission. Nevertheless, the candidate was recruited and the Chief of Human Resources Section subsequently approved the recruitment. Although the Mission had the option to reject this candidate and request PMSS for new candidates, it failed to do so. Furthermore, no reference checks have been performed despite the staff member being an external candidate.

(c) Fuel Officer – P-3 (Index 884314)

88. By a memorandum dated 10 December 2004 to the Mission, DPKO's Supply Section recommended a candidate for the position of Fuel Officer. The recommended candidate was previously working as a Fuel Officer in UNAMSIL. At that time OIOS found serious fuel management issues in UNAMSIL. Nevertheless, UNMIS raised no objections, and on 31 January 2005, the Mission recruited the staff member as Fuel Officer at the P-3 level. OIOS found that the candidate only has one year of relevant experience. His personal history profile indicated no academic degree and showed three years of experience in army training, three years as a military observer, and two years in army logistics. With limited relevant experience and no academic degree, the initial recruitment of the candidate in UNAMSIL raised doubts about the transparency of LSD's clearance process, especially for a supervisory position.

(d) Best Practices Officer (Index 606622)

89. The Chief of Best Practices Unit recommended the recruitment of a Best Practices Officer by an e-mail message to the SRSG, who decided on the candidate's recruitment based on an interview undertaken by the Unit. It was also specified that the candidate did not apply to the multi-duty station vacancy announcement for Best Practices positions. Neither was the candidate selected from the occupational rosters. The Mission proceeded with the recruitment

without questioning the process. OIOS is concerned that the candidate was directly sourced by the Best Practices Unit, bypassing PMSS' role in the established recruitment and placement process. The selection process in this case also ignored all candidates who applied in response to the vacancy announcement. The request was directly addressed to the SRSG and not to the Mission's Chief Civilian Personnel Officer. Furthermore, no reference checks have been performed despite the staff member selected being an external candidate.

Recommendation 22

PMSS should review recruitment and placement cases with appearance of abuse of authority in order to hold the concerned officials accountable (AP2005/600/18/22).

90. *DPKO disagreed with recommendation 22, stating that based on PMSS' review, the cases cited do not appear to constitute abuse of authority. The cases identified do not represent a trend, and appear to be attributable to a lack of information or misunderstanding of the recruitment process on the part of OIOS.*

91. OIOS finds these assertions unacceptable, as they contradict DPKO's own explanations contained in the detailed response. For example, in the case of the Fuel Officer referred to above, DPKO was aware of the OIOS investigation which had concluded that the staff member had failed to "fulfill his responsibility to take adequate measures to ensure the proper management and control of fuel supplied to the MMY Powerhouse (Investigations Division's Recommendation No. IV05/316/02". However, DPKO used the staff member's "exemplary role throughout the investigation process" as reason for recruiting him as Fuel Officer in another mission (i.e., UNMIS). Likewise, in the case relating to the Personal Assistant to the UNMIS SRSG, DPKO stated that it "shares the concern expressed by the OIOS audit team regarding the procedure followed in the granting of a special post allowance to the staff member". Furthermore, with regard to the case relating to the Best Practices Officer, OIOS' concern is that candidate was selected even though she had not formally applied for the post. Therefore, OIOS is not satisfied with PMSS' review of these cases and reiterates recommendation 22, which will remain open pending receipt of the results of an objective review of the cases in question.

F. Other personnel related matters

Consultants

92. UNMIS hired a former UNMISSET/UNOTIL staff member as a consultant in August 2005 at a fee of \$50,250. On 21 May 2005, the Chief Integrated Support Services requested hiring a consultant "to establish the UNMIS freight system and possibly supervise the MOVCON Heavy Transport Unit". The requirement was deemed essential and urgent. PMSS approved the request on 13 June 2005 and the special service agreement was initially raised with the start date of 1 July 2005 for six months. The agreement was subsequently amended to start on 1 August 2005 keeping the other conditions unchanged.

93. The consultant was hired without a competitive process. OIOS, is however, is aware of the provision under ST/AI/1997/7, which allows engagement of a consultant without a competitive process in cases of *force majeure*, provided a reasoned and documented justification for such exception is recorded prior to the selection. The terms of reference for the consultant included supervisory responsibilities in contravention of the provisions of ST/AI/296. As 16 of the 19 authorized posts were filled between July 2004 and August 2005 and the three vacancies were related to positions in provinces, there did not appear to be a necessity to engage the consultant. Furthermore, the amendment of the start date of the special service agreement to 1 August 2005 from the initial date of 1 July 2005 does not justify emergency requirement of the consultancy services. This amendment appeared to allow time for the retiree to take up consultancy services.

94. OIOS also noted that the Mission requested the engagement of another consultant without a competitive process. On 2 June 2005, the Chief Public Information Unit requested the engagement of a media consultant for a period of three months to provide daily and weekly analysis of media trends within Sudanese public print and electronic media. Special service agreement with the consultant was raised with the start date of 4 July 2005, and at a total fee of \$33,300. The consultancy fee was obligated in the Mission accounts. Although the consultant did not take up the special service agreement, the engagement was approved despite lack of relevant expertise. The consultant's personal history profile showed that he had a total of two months' media-related experience in UNDP and UNCTAD. Furthermore, the consultant did not list knowledge of Arabic language without which the ability to monitor the local media is questionable. Since relevant documents were fully approved and the corresponding amount obligated in the Mission accounts, OIOS believes that the issue remains relevant even though the consultant did not take up the engagement.

Recommendation 23

PMSS should ensure that consultancy services for field missions are made in compliance with the provisions of ST/AI/296 (AP2005/600/18/23).

95. *DPKO accepted recommendation 23 stating that under its new structure, PMSS will closely monitor consultancy activities carried out by the missions. However, OHRM commented that provisions of ST/AI/1997/7 should also be applied when engaging consultants. Based on these comments, recommendation 23 has been closed.*

Education grant for children attending schools at non-family duty stations

96. OIOS found that 28 staff members serving under the 100 series of Staff Rules in UNMIS had submitted education grant payment requests covering the school years 2003-2004, 2004-2005, and 2005-2006. According to established DPKO policy, staff members are not permitted to have their dependents residing with them at non-family special missions. Consequently, staff members' children should not reside with their parents in such duty stations. This restriction is contrary to the administrative instruction governing education grant payments, as no such provisions exist in that instruction. The Mission entertained these education grant payment

requests because the same policy provides that “where a staff member’s child attends school at the special mission duty station in violation of the policy on family members at special missions, the EG (education grant) may be payable, but there is no entitlement to payment of boarding expenses, flat sum for boards or EGT (education grant travel)”.

97. The DPKO policy contradicts itself. On the one hand, it obtains written agreement from staff members to the statement: “for operational reasons...in all non-family missions, staff members are not permitted to bring dependents/family members to the mission area. Breach of this condition may lead to termination of your appointment”. But on the other hand, it entertains education grant payment to children attending school at non-family duty stations and at the same time, determines that school attendance at non-family duty stations is a violation of the policy. The DPKO policy puts staff members in a dilemma as to whether to comply with the policy by depriving their children’s right to education in non-family duty stations or to blemish their integrity by violating the policy. Policies should be clear as to their enforceability and accountability for non-compliance should not be a discretionary authority of the administration.

98. Special missions and other UN agencies work side by side in the field and contribute towards achieving the mandate of those missions. However, there are numerous inconsistencies in the benefits and entitlements of staff members between the UN agencies and special missions. UN agencies such as UNDP and UNICEF consider the same non-family mission duty stations as family duty stations and allow their staff members’ dependents to join them. Moreover, staff members serving at special missions under 300 series contracts do not receive common staff costs such as education grant, home leave, family visit and education grant travels. Dependents of staff under 100 series contracts are not installed in special missions because these missions are classified as non-family duty stations. This results in significant cost reduction to special missions.

99. OIOS understands that the policy to disallow staff members to have their dependents residing with them at special missions is implemented for safety and security considerations, which is of grave concern to the Secretary-General and Member States. It, however, is common knowledge that some staff members take the risk in having their dependents reside with them in non-family duty stations. As a result, the policy to bar staff members from bringing their dependents to non-family duty stations is not enforced effectively. Therefore, the policy needs to be clarified as to its intention, i.e., financial considerations or safety/security concerns. In either case, no child should be deprived of his/her right to education, and education grant claims from staff members should not have to be in violation of the policy.

Recommendation 24

PMSS should review and revise the policy relating to conditions of service of international staff in special missions to ensure parity with other UN agencies present in the non-family duty stations (AP2005/600/18/24).

100. *DPKO and OHRM agreed with recommendation 24. DPKO commented that it will address the issue of conditions of service of field staff in its comprehensive report requested by*

the General Assembly in resolution 59/266, which is due to be submitted at the sixty-first session. Recommendation 24 remains open pending receipt of a copy from DPKO of its report to the General Assembly.

G. Training

Design and delivery of training initiatives

101. PMSS' Civilian Training Section (CTS) is responsible for the overall planning, coordination and management of civilian training and career development programmes in peacekeeping missions. CTS has produced training and learning policy for civilian staff and issued annually a catalogue containing about 70 courses on a wide range of competencies and skills. As shown in Table 8, of the \$5.6 million budgeted in training funds for the fiscal year 2004-2005, field missions expended approximately \$2.8 million. Training budget for the 2005-2006 fiscal year has been significantly increased to \$10.3 million.

102. Individual training plans for the Headquarters units in DPKO and for the field missions are prepared in piecemeal without establishing linkage to the catalogue. Training plans from the missions were mostly designed for budgetary purposes. As a result, the information appeared to be of limited use for planning purposes. Except for the required budget format, there were no organization-wide standards on training plan submissions. Further review of the individual field missions' training plans for the period 2004/2005 showed wide variations in the individual training programmes, implementation and reporting. Consequently, no meaningful comparative analysis could be made among the field missions.

Table 8: Peacekeeping mission training budget and expenditures

Mision	2004-2005 (\$)			2005-2006 (\$)
	Budget	Expenditure	Variance	Budget
MINUSTAH	561,000	397,000	164,000	799,000
MONUC	386,000	534,000	(148,000)	
ONUB	616,000	442,000	174,000	
ONUCI	784,000	593,000	191,000	744,000
UNAMI			-	2,511,000
UNAMA	694,000		694,000	446,000
UNAMSIL	213,000		213,000	126,000
UNDOF	89,000	105,000	(16,000)	139,000
UNFICYP	85,000	53,000	32,000	140,000
UNIFIL	161,000	126,000	35,000	326,000
UNLB	421,000		421,000	277,000
UNMIK	560,000	393,000	167,000	
UNMIL			-	1,107,000
UNMIS	447,000	92,000	355,000	3,299,000
UNMOGIP	415,000		415,000	352,000
UNOTIL	157,000	56,000	101,000	
Total:	5,589,000	2,791,000	2,798,000	10,266,000

103. Furthermore, a few field missions used training categories such as substantive, management and administration, and non-UN provided courses. The substantive training included courses in joint induction, sexual exploitation, HIV/AIDS awareness, gender

sensitization, stress management, security, disarmament, demobilization and rehabilitation, and human rights. The management and administration category covered courses in results-based budgeting, electronic performance appraisal and integrated management information systems, procurement, human resources and language. Finally, the non-UN provided training courses included a wide range of training from people management to specialized training. Between April and October 2005, LSD conducted 16 training programmes. Only four of these programmes specifically dealt with logistics issues while the remaining 12 programmes covered issues such as General Service staff development, information technology, competency-based selection and interviewing skills as well as mission readiness and gender issues. The 2005 training plan for Financial Management and Support Services showed four results-based budgeting training courses completed in various peacekeeping missions as well as one SUN/Progen System training in UNLB. The Communication and Information Technology training plan for 2005/2006 showed a total of 31 specialized training activities. No additional training plans from the remaining DPKO organizational units were made available to OIOS.

104. The above training categories suggest that DPKO needs to identify training programmes separately for its core functions and for staff development. OHRM is responsible for providing staff development training programme in the Secretariat, and it annually publishes a handbook on centrally organized programmes to staff throughout the Secretariat. The training programme includes all courses covered under management and administration and non-UN provided training categories discussed in the preceding paragraph. Therefore, it is important that DPKO identifies its staff development training courses in cooperation with OHRM in order to avoid duplication in the use of resources.

105. On the other hand, DPKO needs to develop training courses around its core functions such as disarmament, demobilization and rehabilitation, de-mining, civil affairs, logistical support, civilian police and rule of law. Justification for allocating training resources to core functions should be that no other UN agency in the Organization has expertise in those functions. Training courses on political affairs, human rights, repatriation of refugees and internally displaced people, election monitoring, and environment should be developed in collaboration with the other UN departments and offices such as the Department of Political Affairs, UN High Commissioner for Human Rights, UN High Commissioner for Refugees and the UN Environment Programme.

Recommendation 25

DPKO should develop separate training programmes for its core functions and for staff development by: (a) taking into account any available expertise within the Organization when allocating training resources to its core functions; and (b) collaborating with OHRM for staff development training programmes to take full advantage of centrally organized courses (AP2005/600/18/25).

106. *DPKO and OHRM agreed with recommendation 25 explaining that DPKO will provide guidance to all field missions for the clear categorization of the different types of training when*

developing their training programmes and budgets. DPKO also agreed to take into account any available expertise within the Organization complemented by expertise from Member States. Furthermore, DPKO stated that it already collaborates with OHRM by utilizing their staff development training, and this will be expanded. Recommendation 25 remains open pending receipt of a copy of DPKO's training programme for field missions covering the next fiscal year.

Coordination of training programmes for field missions

107. During 2003, DPKO had prepared a draft training and development strategy with global coverage for the period from 1 July 2004 to 30 June 2007. In September 2005, CTS commissioned a review of the draft strategy. The CTS Survey Review concluded that the coordination of field training activities was poor. In addition to the individual peacekeeping missions training plans, sections within DPKO headquarters develop their own training plans for their counterpart field staff and bid for training funds within their own budgets. Headquarters sections also conduct courses for their field mission counterparts and deal directly with them without coordinating with the mission training officers or CTS. The Survey also noted that "the most effective, wide-ranging and comprehensive training programmes are conducted by CITS (Communications and Information Technology Services), with the other services and sections generally meeting the needs of their field staff. The service which does the least to prepare its field counterparts for their roles is PMSS".

108. The CTS Survey Review also concluded that the DPKO training strategy should promote an integrated approach to the training of civilian police and military components, facilitate information exchanges between training practitioners in missions and emphasize incorporating best practices into training. The strategy should also include developing training capacity in political affairs and other substantive and operational areas where the Department does not have primary responsibility or dedicated units.

109. Mission training cells are established in most missions. Alternatively, integrated training centers with military, civilian police and civilian dimensions function as substitute for multidimensional missions. OIOS' field audit of UNMIS confirmed that the integrated concept is functioning, and that both standardized training modules and specialized programmes were efficiently designed and implemented under the integrated umbrella and the overall coordination was achieved under the leadership of the civilian training officer.

110. With effect from 1 November 2005, an Integrated Training Service has been created within the DPKO that brings together military, police and civilian training elements. OIOS has not analyzed the organizational and administrative details of the new structure but commend the establishment of a single multidimensional training unit that is in concert with the recommendations of the Special Committee on Peacekeeping Operations (A/58/19 – Report on the Special Committee on Peacekeeping Operations and its Working Group 2004 substantive session NY 29 March-16 April 2004).

Recommendations 26 and 27

DPKO should:

(i) Upgrade the mission training cells concept into the integrated mission-training concept with military, civilian police and civilian dimensions for all multidimensional missions (AP2005/600/18/26); and

(ii) Assign the Integrated Training Service the responsibility to coordinate, review and consolidate all training needs in field missions irrespective of whether the needs are initiated by the Headquarters or by field missions (AP2005/600/18/27).

111. *DPKO accepted recommendations 26 and 27.* Both these recommendations remain open pending receipt of a copy of the final training and development strategy for field missions from DPKO.

Management of training activities

112. OIOS reviewed the administration of training plans for the 2005-2006 fiscal year. There were no guidelines for submitting training reports from field missions. Regarding the technical support for training, neither Headquarters nor field missions maintained comprehensive training records. There is no established mechanism to capture training costs by participants or to record staff performance on a course. Except for budgetary purposes, the information gathered by tracking training participation is of limited use for planning purposes.

113. There is also no system within DPKO to monitor training history of individual staff members. Furthermore, the selection of staff to attend training is ad-hoc, and too often the decision on who attends is made on the basis of availability, rather than need. No remedial or follow up action is taken if an individual proved lacking skills and knowledge in the area of his or her responsibilities, a risk that such staff members are recycled within the system.

114. There is also no system in place to consistently evaluate the impact of training, and primarily quantitative process is used for evaluating training courses. Staff self-assessment, pre-testing and post-testing techniques both for the training courses and for participants are not widely used. In this regard, there is a need to create standards/ benchmarks to measure performance of trainers to evaluate the impact. There was also no comprehensive department-wide approach to management, leadership and supervisory training for field staff. Commitment to continuous learning has been established as a core competency for staff but there are no established indicators to measure broadly how staff members demonstrate such commitments.

115. OIOS found that the sharing of experience and knowledge within PMSS and between PMSS and field missions is personality based. Appropriate mechanisms are not in place to capture this informal element of knowledge management. There is no linkage between training and career development or between training and skills sets needed for job functions. There are no mechanisms to manage staff development in the field, and no programme exists to prepare staff for increased responsibilities. Furthermore, absence of an effective staff development policy and succession planning is detrimental to preparing and retaining core staff necessary to

take on the emerging challenges of field missions. It is important to build a cadre of expert professionals with the ability to lead and implement peace operations. In this regard, DPKO has developed a handbook on multidimensional peacekeeping operations with the incorporation of the standardized training modules (Level I) of all the essential components of peacekeeping operations. However, training modules for Level II and III are yet to be developed.

Recommendations 28 – 30


DPKO should:

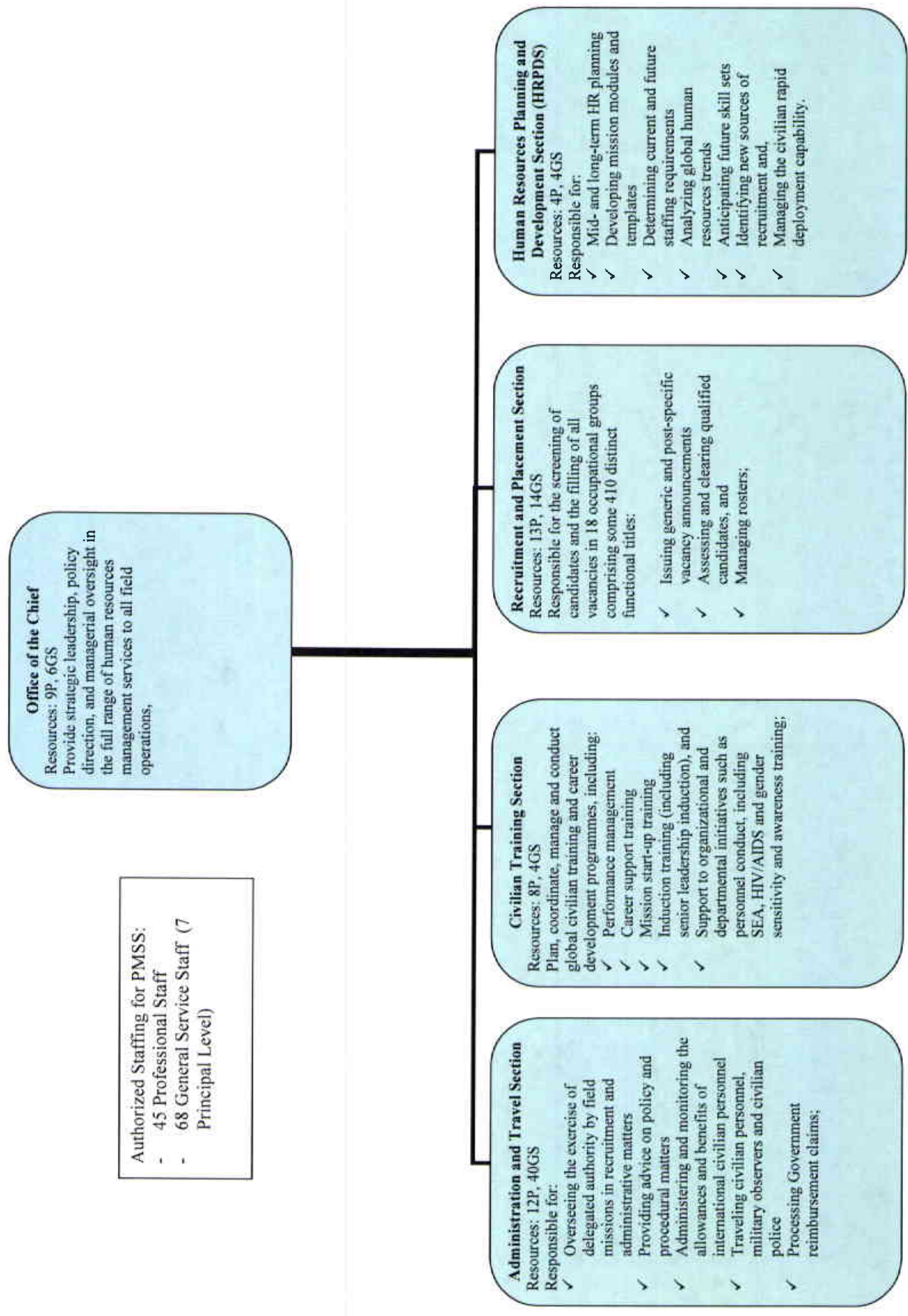
- (i) Issue reporting guidelines to field missions on the implementation of training programmes and establish mechanisms to evaluate and track training programmes (AP2005/600/18/28);
- (ii) Co-develop, with OHRM, comprehensive training packages for field missions' human resources officers (AP2005/600/18/29); and
- (iii) Develop the standardized training modules for level II and III ensuring that the modules are flexible and appropriate for emerging requirements and that they incorporate lessons learned and best practices (AP2005/600/18/30).

116. *DPKO and OHRM accepted recommendations 28, 29 and 30.* These recommendations remain open pending receipt from DPKO of a copy of: (a) reporting guidelines on the implementation of training programmes and standard operating procedures to evaluate and track training programmes; (b) training packages for field missions' human resources officers; and (c) standardized training modules for level II and III.

VI. ACKNOWLEDGEMENT

117. We wish to express our appreciation to the Management and staff of DPKO, OHRM and UNMIS for the assistance and cooperation extended to the auditors during this assignment.


Dagfinn Knutsen, Chief
Peacekeeping Audit Service
Internal Audit Division-I, OIOS



Office of the Chief

Resources: 9P, 6GS
Provide strategic leadership, policy direction, and managerial oversight in the full range of human resources management services to all field operations,

- Authorized Staffing for PMSS:
- 45 Professional Staff
 - 68 General Service Staff (7 Principal Level)

Administration and Travel Section

Resources: 12P, 40GS
Responsible for:

- ✓ Overseeing the exercise of delegated authority by field missions in recruitment and administrative matters
- ✓ Providing advice on policy and procedural matters
- ✓ Administering and monitoring the allowances and benefits of international civilian personnel
- ✓ Traveling civilian personnel, military observers and civilian police
- ✓ Processing Government reimbursement claims;

Civilian Training Section

Resources: 8P, 4GS
Plan, coordinate, manage and conduct global civilian training and career development programmes, including:

- ✓ Performance management
- ✓ Career support training
- ✓ Mission start-up training
- ✓ Induction training (including senior leadership induction), and support to organizational and departmental initiatives such as personnel conduct, including SEA, HIV/AIDS and gender sensitivity and awareness training;

Recruitment and Placement Section

Resources: 13P, 14GS
Responsible for the screening of candidates and the filling of all vacancies in 18 occupational groups comprising some 410 distinct functional titles:

- ✓ Issuing generic and post-specific vacancy announcements
- ✓ Assessing and clearing qualified candidates, and
- ✓ Managing rosters;

Human Resources Planning and Development Section (HRPDS)

Resources: 4P, 4GS
Responsible for:

- ✓ Mid- and long-term HR planning
- ✓ Developing mission modules and templates
- ✓ Determining current and future staffing requirements
- ✓ Analyzing global human resources trends
- ✓ Anticipating future skill sets
- ✓ Identifying new sources of recruitment and,
- ✓ Managing the civilian rapid deployment capability.

DPKO Vacancy Announcements

Annex 2

<u>Level</u>	<u>V/A No</u>	<u>V/A Date</u>	<u>Mission</u>	<u>Post</u>	<u>Education</u>	<u>Experience</u>	<u>Remarks</u>
D2	185	20/7/04	UNOMIG	DSRSG	Advanced University Degree, preferably PhD	Minimum 20 years	Generic Job Profile (GJP) not available Length of service longer than required (15 years)
	329	2/12/04	UN Field Missions	Director of Administration	Advanced University Degree or a relevant combination of professional training and certification and extensive experience	Over 15 years	GJP not available Degree does not seem to be a requirement
D1	366	4/8/04	UNMISSET	Chief of Staff	Advanced University degree	Minimum 15 yrs	GJP not available VA advertised 4/8/04 with closing date 11/8/04
	325	1/12/04	UN Field Missions	Chief Admin. Officer	Advanced University degree or a relevant combination of professional training and certification and extensive experience	Minimum 10 - 15	GJP not available Degree does not seem to be a requirement Length of service shorter than required (15 years)
P5	300	29/7/04	UNMIL	Senior Political Officer	Advanced degree or a relevant combination of professional training, certification and experience GJP – Advanced University Degree or a combination of professional training and certification and experience in the electoral field	Minimum 10 years GJP – minimum 10 years	The degree does not appear to be a requirement even in GJP; The key work electoral field experience is missing from the DPKO VA
	777	12/9/04	UNMEE	Senior Legal Adviser	Advanced Degree in Law from a university of recognized standing . Full admission to Law practice in at least one recognized national jurisdiction	At least 13 – 15 years GJP – 10-15 years	Unusual wording Length of service longer than required
	906	23/9/04	UNAMIS	Chief, Integrated Support service	GJP – Advanced Degree in law Advanced University Degree or an equivalent combination of education and extensive relevant experience Same as GJP	At least 15 years GJP – 10 years	Length of service longer than required
P4	630	30/08/04	UNMIL	MOVCON Chief of Section	Advanced degree – a combination of professional training, certification and experience may be accepted in lieu of the advanced degree	At least 7	GJP not available Degree does not appear to be a requirement – the key word education is missing

DPKO Vacancy Announcements

Annex 2

<u>Level</u>	<u>VA No</u>	<u>VA Date</u>	<u>Mission</u>	<u>Post</u>	<u>Education</u>	<u>Experience</u>	<u>Remarks</u>
	581	20/08/04	UNMEE	Chief of UNIT	Advanced degree – a combination of professional training, certification and experience may be accepted in lieu of the advanced degree GJP – Telecommunication engineer – advanced degree or the equivalent combination of education, certification and experience	Minimum 7 GJP – minimum 8	No identification of the profile (chief of unit without mentioning the unit) Degree does not appear to be a requirement – the key word education is missing
	598	23/08/04	Multiple	Best Practices Officer	Advanced degree or a relevant combination of professional qualifications, <i>academic</i> training and applicable experience	At least 7 years	No GJP Unclear wording (academic training)
	163	9/11/04	UNMISSET	Chief General Services	University Degree, and/or the equivalent technical education combined with work experience sufficient to establish competency in the management of a UN General Services Section	Minimum of 7 to 9 years	No GJP Same VA advertised as follows: VA 100 – 26/20-10/11 VA 127 – 1/11-3/11 Post dually classified P4/FS7 with the same requirements Ambiguous education requirements
	680	8/9/04	UN Field	Chief GIS Missions	Advanced degree or engineering degree	Minimum 12 years	GJP not available Length of service longer than required
	790	13/9/04	ONUB	Chief Joint Logistics Officer	University degree (masters or equivalent) or equivalent related professional training or experience (see also VA448) GJP – advanced degree or an equivalent combination of education and extensive relevant experience	8-12 years GJP – 7 years	Degree does not appear to be a requirement – the key word education s missing Length of service longer than required
	165	9/7/04	UNMIL	OIC Sea Movement	Bachelors or equivalent. A combination of education, certification and experience.	Minimum 6	Title advertised – OIC
	220	17/7/04	ONUB	Chief COE	Master degree or an equivalent combination of education (professional certification and field experience)	Minimum 4 yrs	GJP not available Number of years lesser than required (minimum 5)
	219	17/7/04	ONUB	Chief PCIU	Bachelor degree or an equivalent combination of education (professional certification and field experience)	Minimum 4 yrs	GJP not available Number of years shorter than required (minimum 7) Inconsistencies (see VA220) between similar VAs posted the same day
	217	17/7/04	ONUB	Air Safety Officer	Pilot license GJP (TPT Officer) - same	Minimum 10 GJP (TPT Officer) – 5 years	Length of service longer than required (5 years)

DPKO Vacancy Announcements

Annex 2

<u>Level</u>	<u>VA No</u>	<u>VA Date</u>	<u>Mission</u>	<u>Post</u>	<u>Education</u>	<u>Experience</u>	<u>Remarks</u>
	234	21/7/04	UNAMIS	Air Safety Officer	Pilot license GJP (TPT Officer) - same	Minimum 7 GJP (TPT Officer) – 5 years	Number of year longer than required (minimum 5) Inconsistencies (see VA234) between similar VAs posted the same day
	218	17/7/04	ONUB	Chief R & I	Bachelor degree or an equivalent combination of education (professional certification and field experience)	Minimum 4 yrs	GJP nor available Number of year shorter than required (minimum 7)
	565	16/8/04	UNMOGIP	Chief Finance Officer	University degree or a relevant combination of academic qualifications and experience Same as GJP	Progressively responsible, job related experience Same as GJP	Post dual classified P3 /FS6 GJP does not specify the length of service required (same for all professional finance and budget positions)
	612	10/9/04	UNMEE	Engineer	Advanced University degree and extensive experience GJP - University degree or an equivalent combination of education and extensive experience in engineering	At least 7-10 years GJP – 5 years	Number of year longer than required GJP does not require an advanced degree
P2	683	8/9/04	UN Field Missions	GIS Officer	At least an advanced university degree (preferably Masters) or an engineering degree	Minimum 5 years	GJP not available Number of year longer than required (2-3 years)
FS7	864	27/9/04	UNFICYP	Chief, General Services	University degree, or relevant combination of experience with technical training	Minimum 10 years	GJP not available
	965	29/9/04	UNTSO	Chief - General Services	University degree, or relevant combination of experience with technical training	At least 7-10 years	GJP not available
FS6	135	8/7/04	UNFICYP	Property Management Officer	Post-Secondary education or equivalent combination of academic qualification and practical experience	From 8 to 10 years	GJP not available Ambiguous education requirements Length of service shorter than required (10 years)
	953	30/9/04	UNMEE	Human Res. Assistant (Training)	Completion of secondary education. Bachelor degree desirable	Minimum 8 years. At least 3 years of practical experience in teaching for holders of bachelor's degree.	GJP available (PMSS) but not used Ambiguous requirements. Experience requirements contradict the education ones, i.e. a bachelor is not desirable but required.
	190	13/7/04	UNMOGIP	Information Technology Assistant	University degree or an equivalent combination of education, certification and experience	Minimum 14	GJP available (PMSS) but not used Length of service longer than required (5 years)

DPKO Vacancy Announcements

Annex 2

<u>Level</u>	<u>VA No</u>	<u>VA Date</u>	<u>Mission</u>	<u>Post</u>	<u>Education</u>	<u>Experience</u>	<u>Remarks</u>
	410	4/8/04	UNTSO	Information Technology Assistant	University degree or an equivalent combination of education, certification and experience	Minimum 5 yrs	GJP available (PMSS) but not used Inconsistencies (see VA410) between similar VAs posted the same period
	853	29/9/04	UNIFIL	General Services Assistant	High School Diploma	Minimum 4 yrs at supervisory level	GJP not available Length of service shorter than required (8 years)
	212	17/7/04	ONUB	Air Operations Assistant	Diploma in Air Transportation or equivalent for military establishment. Professional pilot, aviation engineering, or air traffic control license is required.	Minimum 5	GJP not available Ambiguous and unrealistic education requirements for the level, i.e. professional pilot
	801	28/9/04	MONUC	Contracts Management Asst.	University degree	Minimum 4 years	GJP not available Unrealistic education requirements Number of years shorter than required
FS4	183	13/7/04	MINURSO	R & I Supervisor	High School Diploma	Minimum 5	GJP not available Number of years shorter than required (6 years)
	851	27/9/04	UNIFIL	Administrative Assistant	Graduate, with other Diploma courses in Administration	Minimum 5 yrs	GJP available (PMSS) but not used Vague education requirements Number of years shorter than required (6 years)
	952	28/9/04	UNMISSET	Human Resource Assistant	University degree or a relevant combination of qualifications and academic experience	Minimum 7	GJP available (PMSS) but not used Length of service longer than required (6 years with high school diploma; 3 years with a degree)
	799	28/9/04	MONUC	Contracts Management Assistant	Post-Secondary education	3 years	GJP not available Number of year shorter than required (6 years)