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INTEROFFICE MEMORANDUM

MEMORANDUM INTERIEUR

OFFICE OF INTERNAL OVERSIGHT SERVICES - BUREAU DES SERVICES DE CONTRÔLE INTERNE  
INTERNAL AUDIT DIVISION - DIVISION DE L'AUDIT INTERNE

TO: Ms. Susana Malcorra, Under-Secretary-General

DATE: 21 October 2011

A: Department of Field Support

REFERENCE: IAD: 11- 00638

FROM: Fatoumata Ndiaye, Director  
DE: Internal Audit Division, OIOS

*Fatoumata*

SUBJECT: **Assignment no. AP2011/615/02 - Audit of staffing table and post management**

OBJET:

**Overall results relating to the effective implementation and management of staffing tables and posts in field missions were partially satisfactory**

1. Attached please find the final report and audit results on the above-mentioned audit.
2. Annex I shows the status of recommendations. Please note that OIOS will report on the progress made to implement its recommendations in its annual report to the General Assembly and to the Secretary-General annually for important recommendations (nos. 1-5).
3. The audit also identified a number of opportunities for improvement (see Annex-II). While OIOS will not report on the implementation of these opportunities, we encourage you to implement them to improve the efficiency and effectiveness of your operations. OIOS will review their implementation as part of future audits.
4. Please note that under General Assembly resolution 59/272, a Member State may request that the final audit report be made available. Also note that pursuant to General Assembly resolution 64/263, OIOS has included the complete management response as an appendix to the present report.

cc: Mr. Anthony Banbury, Assistant Secretary-General, DFS  
Mr. Fabrizio Hochschild, Director, Field Personnel Division, DFS  
Mr. Seth Adza, Chief, Audit Response Team, DFS  
Mr. Swatantra Goolsarran, Executive Secretary, UN Board of Auditors  
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# **AUDIT REPORT**

## **Audit of staffing table and post management**

### **BACKGROUND**

The Department of Field Support (DFS) is mandated to provide administrative support services to the Departments of Peacekeeping Operations and Political Affairs through the delivery of dedicated support to United Nations peacekeeping operations, special political missions and other field presences which manage approximately twenty-nine thousand posts. More specifically, some of the core functions of the Field Personnel Division (FPD), DFS are to: (a) administer the international staff of field operations; (b) coordinate the development of standard operating procedures with the relevant areas of the Division; and (c) ensure consistency and high quality in the application of human resources management rules, policies and procedures, both at Headquarters and in field missions.

As of January 2011, FPD provided support services to 34 missions in various capacities. Five of these missions did not have a Director/Chief of Mission Support; therefore, FPD managed their staffing tables and posts. The remaining 29 missions managed their own staffing table but continued to receive support from FPD.

The related standard operating procedures (SOP), developed by FPD in April 2008, define staffing table management and post management as follows:

- a) Staffing table management – the placement or movement of staff members against posts within the approved post structure.
- b) Post management – the creation and maintenance of organizational structures and posts in Nucleus and post numbers in the Integrated Management Information System (IMIS), the utilization of approved staff resources to meet programmatic needs as well as loaning and blocking of posts to meet evolving requirements.

Accurate and effective staffing table and post management is essential for proper planning and forecasting, recruitment, staffing, administrating and monitoring of human resource management. The proper monitoring of the use of staffing resources enables informed budget decisions and enhances accountability and transparency in the use of human resources.

This audit was included in the 2011 OIOS risk-based work plan as DFS requested OIOS to review staffing table and post management activities at peacekeeping missions. Prior to starting the field audits, OIOS reviewed the relevant functions performed by FPD in supporting the missions.

### **OBJECTIVE AND SCOPE**

The audit was conducted to assess the adequacy and effectiveness of risk management, control and governance processes of DFS in providing reasonable assurance regarding the effective implementation and management of staffing tables and posts in field missions. The key controls tested for the audit included: (a) delegation of authority; (b) regulatory framework; (c) training and development plans; and (d) information technology support. The audit covered the period from 1 July 2009 to 30 June 2011.

## AUDIT RESULTS

In the opinion of OIOS, risk management, control and governance processes of DFS examined were **partially satisfactory** to provide reasonable assurance regarding the effective implementation and management of staffing tables and posts in field missions. Standard operating procedures on staffing table and post management were developed by FPD and training in this area was conducted periodically. Additionally, FPD made efforts to monitor the management of staffing tables and posts as carried out by field missions. However, there were areas that needed improvement, including: (a) clarification and formalization of the roles and responsibilities of FPD in staffing table and post management; (b) revision of the SOP to include detailed procedures; (c) development of a training programme on staffing table and post management; (d) development of monitoring tools for use by FPD; and (e) use of all control features of Nucleus.

### **Roles and responsibilities of the Field Personnel Division to manage field mission staffing tables and posts**

The responsibility of the Field Personnel Operations Service, FPD, to manage the staffing tables and posts of five missions was not formalized. Additionally, the responsibility of the Organizational Design and Classification Unit (ODCU), FPD, for creating, extending and abolishing general temporary assistance positions as well as mission local staff posts in IMIS, and for reflecting changes in post/staff member location, when necessary, in both Nucleus and IMIS was not formalized.

**(1) DFS should clarify and formalize the roles and responsibilities of the Field Personnel Division in staffing table and post management.**

*DFS stated that FPD roles and responsibilities for creating posts, general temporary assistance positions, staffing tables and the monitoring of loaned posts would be defined in the revised SOP. The responsibilities and procedure to change the location of the post/staff will also be reflected. Finalization of the SOP will depend on the implementation of the Global Field Support Strategy, which entails a transfer of operational and transactional functions currently performed in the Field Personnel Specialist Support Service, FPD to the Global Service Centre in Valencia, Spain and further to the Regional Service Centres. Recommendation 1 remains open pending receipt of a copy of the revised SOP.*

### **Standard operating procedures and interim instructions on staffing table and post management**

FPD developed the SOP on Staffing Table and Post Management of United Nations Peace Operations in 2008. Prior to this, there had not been any formal document outlining procedures to be followed in this area. Since its development in 2008, the SOP had not been updated to reflect changes in policies and procedures on the management of staffing tables and posts. As a result, it needs revision to further clarify and give additional guidance on some policies and procedures. Additionally, DFS issued interim instructions by fax or e-mail to field missions. However, there was no central repository of the various instructions issued, and they were not easily accessible to staff involved in staffing table and post management.

**(2) DFS should revise the standard operating procedures for staffing table and post management for field missions to include detailed procedures and ensure that these procedures and interim instructions are widely available to effectively support and guide staff performing these functions.**

*With reference to its response to Recommendation 1, DFS stated that the revised SOP would reflect detailed procedures for staffing table and post management. The revision process may be lengthy as it requires coordination and feedback from stakeholders at Headquarters and field missions.*

Recommendation 2 remains open pending receipt of a copy of the revised SOP and evidence of its appropriate dissemination.

### **Training on staffing table and post management**

Training conducted for mission staff on staffing table and post management was not sufficient. Three sessions of the Programme for Advanced Compendium of Trainees (PACT) were conducted during the period audited. Only seven hours of the two-week session were dedicated to staffing table and post management. PACT training was attended only by staff at the FS-5 to P-4. Generally, Chief Civilian Personnel Officers did not attend this or any training on staffing table and post management. No training on this topic was arranged for Headquarters' staff involved in staffing table and post management.

**(3) DFS should develop a training programme and ensure that staff involved in staffing table and post management at Headquarters and in the field receive sufficient operational-level training on related policies and procedures.**

*DFS stated that ODCU would develop a complete training programme on staffing table and post management. Recommendation 3 remains open pending receipt of a copy of the training programme and plan for ensuring all staff involved in staffing table and post management at Headquarters and in the field receive the training.*

### **Monitoring the management of staffing tables and posts as conducted by field missions**

ODCU was not reviewing the Discrepancy Report on a monthly basis, as required by the SOP. The report, generated from Nucleus, lists incumbency differences between Nucleus and IMIS as these two systems are not integrated. The report does not compare post location information and staff member's category/grade level between the two systems. Additionally, there was no report available on loaned posts. As a result, FPD was not able to effectively and efficiently monitor the management of staffing tables and posts as conducted by the field missions.

**(4) DFS should ensure that mechanisms are in place and reports in Nucleus are available for use by the Field Personnel Division to enable effective and efficient monitoring of the management of staffing tables and posts as conducted by the field missions. These mechanisms should be used and reports reviewed on a regular basis.**

*DFS stated that the Information Management Unit (IMU), FPD would generate ad hoc and specialized reports showing post management changes based on the requirements of ODCU. FPD will review these reports periodically to monitor compliance with the SOP on staffing table and post management. Recommendation 4 remains open pending receipt of evidence of reports that are available and reviewed periodically to monitor the management of staffing tables and posts by field missions.*

### **Use of the Nucleus database**

Nucleus was not used to its full capacity as a tool for monitoring and supporting the field missions in staffing table and post management. For example, there was no report to monitor loans, and the Discrepancy Report was limited to incumbency discrepancies. The data existed but the system was ineffectively used. Nucleus' control features were not properly or correctly used resulting in erroneous reports and ineffective control over staffing table and post management.

**(5) DFS should make full use of the control features of Nucleus to effectively support and monitor**

**staffing table and post management.**

*DFS stated that the IMU, FPD would generate reports showing post management changes based on the requirements of ODCU and that these reports would be reviewed periodically. This only partially addresses the recommendation. Recommendation 5 remains open pending receipt of evidence that embedded control features of Nucleus are used effectively to ensure the proper control over staffing table and post management.*

**ACKNOWLEDGEMENT**

OIOS wishes to express its appreciation to the Management and staff of DFS for the assistance and cooperation extended to the auditors during this assignment.

## AUDIT RESULTS

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## I. INTRODUCTION

1. The Office of Internal Oversight Services (OIOS) conducted an audit of staffing table and post management as carried out by the Field Personnel Division (FPD) of the Department of Field Support (DFS). Comments made by FPD are in *italics*.

## II. AUDIT OBJECTIVE

2. The audit was conducted to assess the adequacy and effectiveness of risk management, control and governance processes of DFS in providing reasonable assurance regarding the effective implementation and management of staffing tables and posts in field missions. The key controls tested for the audit included: (a) delegation of authority; (b) regulatory framework; (c) training and development plans; and (d) information technology (IT) support. For the purpose of this audit, OIOS defined the key controls as follows:

(a) Delegation of authority - those controls that are designed to provide reasonable assurance that authority for staffing table and post management has been delegated formally and in accordance with relevant regulations and rules.

(b) Regulatory framework - those controls that are designed to provide reasonable assurance that policies and procedures exist to guide staffing table and post management activities.

(c) Training and development plans - those controls that are designed to provide reasonable assurance that training and development plans exist to ensure that staff skills and competencies are upgraded/updated in accordance with the demands of their jobs and their professional development needs in the area of staffing table and post management.

(d) IT support systems - those controls that are designed to provide reasonable assurance that Nucleus addresses the needs of the staffing table and post management function.

## III. AUDIT SCOPE AND METHODOLOGY

3. OIOS conducted this audit from March to June 2011. The audit covered the period from 1 July 2009 to 30 June 2011.

4. To gain a general understanding of the processes of managing staffing tables and posts of field missions, OIOS interviewed staff in FPD and reviewed documents, including the Standard Operating Procedures (SOP) on Staffing Table and Post Management of United Nations Peace Operations, relating to staffing table and post management. An activity-level risk assessment was conducted to identify and evaluate specific risk exposures, and to confirm the relevance of the key control in mitigating associated risks.

5. Through interviews, analytical reviews and tests of controls, OIOS assessed the existence and adequacy of written policies and procedures, and whether they were implemented consistently. Additionally, in order to focus the audit tests, OIOS sent a questionnaire to field missions to obtain feedback on the level of support received from FPD in this area.

## IV. OVERALL ASSESSMENT

6. In the opinion of OIOS, risk management, control and governance processes of DFS examined were **partially satisfactory** to provide reasonable assurance regarding the effective implementation and management of staffing tables and posts in field missions. Standard operating procedures on staffing table and post management were developed by FPD and training in this area was conducted periodically. Additionally, FPD made efforts to monitor the management of staffing tables and posts as carried out by the field missions. However, there were areas that needed improvement, including: (a) clarification and formalization of the roles and responsibilities of FPD in staffing table and post management; (b) revision of the SOP to include detailed procedures; (c) development of a training programme on staffing table and post management; (d) development of monitoring tools for use by FPD; and (e) use of all control features of Nucleus.

## V. AUDIT RESULTS

### A. Delegation of authority

Roles and responsibilities of the Field Personnel Division to manage field mission staffing tables and posts were not formalized

7. The responsibility of the Field Personnel Operations Service (FPOS), FPD, to manage the staffing tables and posts of five missions (Cameroon-Nigeria Mixed Commission/United Nations Office for West Africa, Office of the Special Envoy for Assistance to Pakistan, United Nations Regional Office for Central Africa, and United Nations Regional Centre for Preventive Diplomacy for Central Asia) was not formalized. As these five missions did not have a Director/Chief of Mission Support (DMS/CMS), their staffing tables and posts were managed in the Nucleus database and in the Integrated Management Information System (IMIS) by FPOS at Headquarters. Section 2.11.2. of the SOP on Staffing Table and Post Management of United Nations Peace Operations stated that the Chief of Section, FPOS, is responsible for the approval of recommendations for extension of appointments/assignments and their administration in IMIS for missions when such authority has not been delegated to the mission's DMS/CMS. However, there was no reference in the SOP to FPOS managing staffing tables and posts in Nucleus, and there was no formal document establishing this arrangement with the four missions.

8. Additionally, the responsibility of the Organizational Design and Classification Unit (ODCU), FPD, for creating, extending and abolishing general temporary assistance positions as well as mission local staff posts in IMIS, and for reflecting changes in post/staff member location, when necessary, in both Nucleus and IMIS was not formalized. Section 3.5. of the SOP included a statement on the responsibility of ODCU with regard to general temporary assistance positions and local staff posts but the responsibility to reflect changes in post/staff member location in both Nucleus and IMIS was not included.

#### Recommendation 1

**(1) DFS should clarify and formalize the roles and responsibilities of FPD in staffing table and post management.**

9. *DFS stated that FPD roles and responsibilities for creating posts, general temporary assistance positions, staffing tables and the monitoring of loaned posts would be defined in the revised SOP. The responsibilities and procedure to change the location of the post/staff will also be reflected. Finalization*

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*of the SOP will depend on the implementation of the Global Field Support Strategy, which entails a transfer of operational and transactional functions currently performed in FPOS, FPD to the Global Service Centre in Valencia, Spain and further to the Regional Service Centres. Recommendation 1 remains open pending receipt of a copy of the revised SOP.*

### **B. Regulatory framework – policies and procedures**

Standard operating procedures on staffing table and post management was not updated and interim instructions were not made widely available

10. FPD developed the SOP on Staffing Table and Post Management of United Nations Peace Operations in 2008. Prior to this, there had not been any formal document outlining procedures to be followed in this area. The purpose of this document, as stated in the SOP, was to “enable all staff members involved in human resources management to properly and effectively manage the resources allocated to their offices, including through the management of staffing tables and posts for the purposes and functions approved by the General Assembly.”

11. Since its development in 2008, the SOP had not been updated to reflect changes in policies and procedures on the management of staffing tables and posts. As a result, it needs revision to further clarify and give additional guidance on some policies and procedures. OIOS reviewed the SOP and interviewed staff involved in staffing table and post management in DFS and identified the following areas, among others, which require inclusion or clarification:

(a) The location of posts now has an affect on entitlements. The SOP did not stress the importance of post location and did not provide guidance on who should reflect a change in post/staff location in Nucleus and IMIS and how. An instruction was drafted in 2009 but has not yet been approved.

(b) Details regarding the loaning of posts were inadequate. The SOP did not specifically define what qualifies as a ‘loan’ and did not include sufficient details regarding how to process posts which are loaned encumbered versus unencumbered. Additionally, Section 4.2.3.1. of the SOP stated the “need must be documented based on the evolving mandatory requirements”. As post loans are to be processed on an exceptional basis, the SOP should provide clearer guidance on appropriate justifications for loaning posts.

(c) Limited guidance was provided regarding processing special post allowance (SPA) cases. The missions had been delegated the authority to process an SPA in IMIS. However, the first step in this process is to assign the staff member to the new position in IMIS, which must be processed by the FPOS as this authority had not been delegated to missions. Missions must notify FPOS of the action for processing and ensure Nucleus is updated to reflect the entire process as the systems are not integrated. The SOP did not include details regarding these steps and their importance. An e-mail clarifying these responsibilities was sent by ODCU on 16 June 2011 to post management focal points in the missions.

(d) Section 4.2.2.1. stated that ODCU is responsible for the creation and maintenance of mission staffing tables in Nucleus. While ODCU does create the staffing tables in Nucleus, it is not responsible for maintaining them. This should be clarified in the SOP.

(e) Monitoring roles and responsibilities of DFS in supporting field missions in their staffing table and post management need to be clearly defined. For example, Section 2.13.1. of the SOP

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stated that the Chief of ODCU analyzes the overall use of staffing table resources, including loaning and blocking of posts. There were no details regarding the mechanisms used to perform such analyses. In general, the SOP included very little details on the roles and responsibilities of FPD to monitor the staffing table and post management carried out by missions.

(f) Section 3.3. of the SOP stated that missions are to maintain and update information in the Field Personnel Management System. However, as of 1 January 2011, the data from this system was migrated to Nucleus and this system should no longer be used.

12. As several of the staffing table and post management actions are shared between the field mission staff and FPD, and as Nucleus and IMIS are not interfaced, it is important that roles and responsibilities be clearly defined to prevent any gaps in processing human resources actions. As a best practice, the revised SOP should be circulated for review by the Department of Management.

13. Additionally, DFS issued interim instructions by fax or e-mail to field missions. However, there was no central repository of the various instructions issued, and they were not easily accessible to staff involved in staffing table and post management. For example, a draft instruction on the movement of posts within the mission area, dated 22 October 2009, referenced three additional instructions regarding travel on official business, reassignment to a new duty station and mission reassignments. Only the instruction regarding reassignment to a new duty station, dated 24 June 2009, was provided to OIOS for review.

### **Recommendation 2**

**(2) DFS should revise the SOP for staffing table and post management for field missions to include detailed procedures and ensure that these procedures and interim instructions are widely available to effectively support and guide staff performing these functions.**

14. *With reference to its response to Recommendation 1, DFS stated that the revised SOP would reflect detailed procedures for staffing table and post management. The revision process may be lengthy as it requires coordination and feedback from stakeholders at Headquarters and field missions. Recommendation 2 remains open pending receipt of a copy of the revised SOP and evidence of its appropriate dissemination.*

15. Distribution of the SOP with the memorandum on corresponding roles and responsibilities were not supported by written acknowledgment by the DMS/CMS. On 21 February 2008, a memorandum was faxed from FPD to the DMS/CMS of field missions on mission roles and responsibilities in the implementation of the selection process in the Nucleus system. In the memorandum, DMS/CMS were given the responsibility to update the staffing table in Nucleus, in line with the attached SOP on Staffing Table and Post Management. In this regard, they were requested to confirm their acceptance of this responsibility. These confirmations were not managed and could not be found by FPD. **DFS could consider periodically distributing the SOP with a memorandum on corresponding general roles and responsibilities with regard to staffing table and post management to DMS/CMS and requiring written acknowledgment of these roles and responsibilities.** *DFS stated that it agreed with the suggestion to periodically distribute the SOP to the DMS/CMS, highlighting their roles and responsibilities and receiving their acknowledgment.*

### C. Training and development plans

#### Training on staffing table and post management was insufficient

16. Training conducted for mission staff on staffing table and post management was not sufficient. Three sessions of the Programme for Advanced Compendium of Trainees (PACT) were conducted during the period audited. Each session had 10 participants. Only seven hours of the two-week session were dedicated to staffing table and post management.

17. Limited training was conducted at the operational level, for those involved in staffing table and post management both in the field, which was confirmed through a questionnaire, and at Headquarters. PACT training was attended only by staff at the FS-5 to P-4 levels. Generally, Chief Civilian Personnel Officers did not attend this or any training on staffing table and post management. DFS indicated training was provided to FPOS staff in October 2007 and January 2008 which covered staffing table and post management. However, this training was limited in content and was prior to 1 July 2009, the effective date of the United Nations contractual reform. No further training on this topic was arranged for Headquarters' staff involved in staffing table and post management. However, a three module training course titled the Fundamentals of Human Resources Management in United Nations Field Missions was recently developed by eCornell and FPD which includes a high-level overview of the function of position management. This course will be made available to all Human Resources Officers/Assistants in field missions and FPD by the end of August 2011.

#### **Recommendation 3**

**(3) DFS should develop a training programme and ensure that staff involved in staffing table and post management at Headquarters and in the field receive sufficient operational-level training on related policies and procedures.**

18. *DFS stated that ODCU would develop a complete training programme on staffing table and post management.* Recommendation 3 remains open pending receipt of a copy of the training programme and plan for ensuring all staff involved in staffing table and post management at Headquarters and in the field receive the training.

### D. Regulatory framework – operational procedures

#### Staffing tables established and maintained in Nucleus did not agree to authorized posts issued by the Office of Programme Planning, Budget and Accounts

19. Comparisons of authorized posts, issued by the Office of Programme Planning, Budget and Accounts (OPPBA) for the 2010/11 budget period for the United Nations Stabilization Mission in Haiti (MINUSTAH), the United Nations Operation in Côte d'Ivoire (UNOCI) and the United Nations Integrated Mission in Timor-Leste (UNMIT), to Nucleus data were conducted. Additionally, a comparison of authorized posts, as provided to ODCU by Fbfd (as the Allotment Advice from OPPBA does not include these details) for the 2011 budget period for the United Nations Assistance Mission in Afghanistan (UNAMA), to Nucleus data was conducted. These comparisons yielded differences in the total number of posts by category/level (see Tables 1 and 2 below). At the end of 2010, FPD began to conduct an exercise to clean-up the staffing tables.

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**Table 1: Staffing table comparison - MINUSTAH, UNOCI and UNMIT**

	MINUSTAH	UNOCI		UNMIT
	FS	FS	UNV	UNV
Staffing table authorization – 2010/11	373	261	327	176
Nucleus – 1/7/10	374	262	320	175
Nucleus – 23/6/11 (audit testing date)	374	262	320	175

**Table 2: Staffing table comparison - UNAMA**

	UNAMA					
	D-1	P-4	P-3	P-2	FS	NPO
Staffing table authorization – 2010/11	9	120	118	62	205	291
Nucleus – 1/1/11	7	110	108	59	206	292
Nucleus – 23/6/11 (audit testing date)	7	110	108	59	206	292

20. Further review of the Nucleus data identified that the discrepancies in the number of FS posts for MINUSTAH, UNOCI and UNAMA may be the result of a system reporting error. The Excel version of the staffing table report in Nucleus, for the dates reviewed, yielded a duplicate listing of one of the FS posts. The other discrepancies could not be explained.

21. Additionally, comparisons were conducted of the detailed staffing list, provided by the Field Budget and Finance Division (FBFD) for the 2010/11 budget period for MINUSTAH and UNMIT, to Nucleus data on 1 July 2010 for two offices/sections selected from each mission. This comparison yielded no differences in the total number of posts by category/level, functional titles and incumbency status for the Communications and Public Information and Human Rights Sections of MINUSTAH. However, there were several differences for Democratic Governance Support Office and the Legal Affairs Section of UNMIT. For example:

- (a) The FBFD list included one additional P-4, Governance Officer, in the Democratic Governance Support Office.
- (b) The FBFD list included two L-L Administrative Assistants and one Driver versus two Governance Officers and one Administrative Assistant in Nucleus.

22. As FBFD did not provide the requested detailed staffing tables for the other two sampled missions, UNOCI and UNAMA, OIOS was unable to perform this comparison for these missions.

23. A list of staff for two sections selected from each mission (MINUSTAH, UNOCI, UNAMA and UNMIT) was provided by the respective mission. A comparison of these lists to Nucleus data for the same date in June 2011 yielded differences in the total number of posts by category/level as well as differences in functional titles and incumbency status. For example, the list provided by UNOCI for the Air Operations Section included three P-3, one P-2, four FS and 14 L-L positions which could not be matched to Nucleus. The differences will be followed-up on by OIOS resident auditors in a forthcoming audit on staffing table and post management in their respective missions. **DFS could develop a mechanism to ensure that the staffing tables established and maintained in Nucleus reflect the approved budget with respect to the total number of posts by category/grade, post location and functional title.** DFS stated that the Nucleus system had a function that each mission can attach official documents regarding posts and allotments for the staffing table period. ODCU, FPD creates staffing tables in Nucleus based on the records attached by missions which includes the approved budget with respect to number, category, level, functional title and location of posts.

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The Field Personnel Division did not sufficiently monitor the management of staffing tables and posts as conducted by field missions

24. ODCU was not reviewing the Discrepancy Report on a monthly basis, as required by the SOP. The report, generated from Nucleus, lists incumbency differences between Nucleus and IMIS as these two systems were not integrated. The report did not compare post location information between the systems. ODCU was to generate this report and distribute it to the respective field missions and FPOS for reconciliation on a monthly basis. FPD did not monitor or periodically review the reliability of data on post locations. As previously mentioned, the location of posts now has an affect on entitlements. As Nucleus and IMIS are not interfaced, it is critical that post locations are monitored to ensure that post location changes are appropriately reflected in IMIS as well as Nucleus.

25. Additionally, the Discrepancy Report does not compare the staff member's category/grade level between Nucleus and IMIS. Using the detailed Staffing Table from Nucleus for 23 June 2011, exported into Excel, OIOS identified seven cases for MINUSTAH and one case for both UNOCI and UNAMA whereby FS staff appeared to be inappropriately placed on P posts. For example, as listed in the Nucleus report for MINUSTAH, the following cases were identified: (a) one FS-7 on a P-5; (b) one FS-6 on a P-4; (c) one FS-5 on a P-3; (d) one FS-4 on a P-3; and (e) three FS-4 on P-2.

26. The SOP stated that posts should only be filled at the authorized budget level and that staff members should encumber a post within their respective category and at their personal level. However, in the absence of the availability of a post at the FS level, serving staff members at the FS-6 or FS-7 levels may be placed against a P-3 or P-4 post, respectively. The contract levels of the cases listed above are not in-line with this policy as represented in Nucleus. Additionally, OIOS found the following cases which required review by FPD:

**Table 3: Contract versus post grade level cases**

Post Grade	Contract Level	No. Cases
P-3	P-4	1
P-2	P-3	1
FS-OL	P-3	1
NPO	G-6	1
NPO	GL-5	4
L-L	NO-A	9
L-L	NO-B	2

27. There is a risk that posts are being misused and/or data used for decision-making purposes is inaccurate. Data on post location and category/grade level information should be included in the Discrepancy Report to enable FPD to identify differences in these areas which require reconciliation and potential correction in IMIS and/or Nucleus.

28. Additionally, ODCU was not monitoring the loan of posts on a monthly basis as outlined in the SOP (Section 2.13.2.). There was no report available on loaned posts. In April 2011, ODCU requested missions to provide a list of posts on loan, as they had concerns that missions may not reflect all loaned posts in Nucleus.

29. OIOS requested a report from FPD on posts which had been loaned at some point from 1 July 2009 to February 2011. Twenty sample cases out of 390 were selected and documents supporting these selections were requested of FPD for review. Of these 20 cases, six represented loaned posts, two represented corrections made to the location of a post in Nucleus and one represented the transfer of a

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post from one section to another but under the same programme manager which is not considered a loan. It was not clear why the remaining 11 cases were included in the report as they were not loans. As a result of the review of the six loan cases, OIOS noted the following:

- (a) In three cases, missions were loaning posts beyond the end of a budget period, contrary to the budget instructions from the Controller and the SOP.
- (b) In four cases, posts were loaned with an effective date prior to the date of approval.
- (c) In five cases, loan approval forms were not consistently uploaded into Nucleus.
- (d) In four cases, justifications for loaning posts were insufficient.
- (e) In three cases, encumbered posts were loaned.

30. Additionally, the use of loaned posts was not always appropriate. For example, a P-3 Political Affairs Officer in the Office of the Special Representative of the Secretary-General of UNOCI was loaned to the Office of the Police Commissioner for use as a Special Assistant, with effective dates 1 July 2010 to 30 June 2011. This post was used to hire a staff member on a one-year fixed-term contract on 13 September 2010. Additionally, a staff member was promoted on a P-4 post loaned from the Disarmament, Demobilization and Reintegration Section to the Medical Section of the United Nations Mission in Sudan. No procedures were in place to identify these cases.

31. While there was a need to monitor more the management of the staffing tables and posts as conducted by field missions, feedback provided to OIOS from field missions was generally positive as the mission staff involved in the management of staffing tables and posts were satisfied with the support they received from FPD in this area.

### **Recommendation 4**

**(4) DFS should ensure that mechanisms are in place and reports in Nucleus are available for use by FPD to enable effective and efficient monitoring of the management of staffing tables and posts as conducted by field missions. These mechanisms should be used and reports reviewed on a regular basis.**

32. *DFS stated that the Information Management Unit (IMU), FPD would generate ad hoc and specialized reports showing post management changes based on the requirements of ODCU. FPD will review these reports periodically to monitor compliance with the SOP on staffing table and post management. Recommendation 4 remains open pending receipt of evidence of reports that are available and reviewed periodically to monitor the management of staffing tables and posts by field missions.*

## **E. Information technology support**

The Field Personnel Division did not periodically validate the Nucleus user list

33. OIOS compared a report listing users of Nucleus, created by the Office of Information and Communications Technology (OICT), for DFS and the United Nations Integrated Peacebuilding Office in the Central African Republic (BINUCA) as of 24 May 2011 to a Post Incumbency Report from IMIS for the same date. OIOS observed that 15 out of 65 staff on the DFS user list and 76 out of 177 staff on the BINUCA user list could not be found in the respective Post Incumbency Report. No overall annual

## AUDIT RESULTS

review of the list of users and its validity was conducted by FPD. **DFS could conduct an annual review to validate the list of users of Nucleus for access control.** *DFS stated that the IMU, FPD would initiate a review process with the missions along the lines of the annual IMIS access rights review.*

### Nucleus was not used to its full capacity to monitor missions' staffing table and post management

34. Nucleus was not used to its full capacity as a tool for monitoring and supporting the field missions in staffing table and post management. For example, as noted above, there was no report to monitor loans, and the exception report (Discrepancy Report) was limited to incumbency discrepancies. The data existed but the system was ineffectively used.

35. Nucleus' control features were not properly or correctly used resulting in erroneous reports and ineffective control over staffing table and post management, as follows:

- (a) The staffing table, created in Nucleus by ODCU, is "locked" for use by field missions. Functional titles of posts were not locked allowing functional titles to be changed by missions.
- (b) Loaned posts were not precluded from rolling over from one budget period to the next.
- (c) One of the staffing table reports (Consolidated Staffing Table Report for Missions) in Nucleus available to missions and Headquarters' staff did not extract the proper data from the system.
- (d) The loan report created for review during the audit testing did not represent loans.
- (e) The system allowed posts to be loaned with an effective date prior to the date of approval.

36. FPD raised the concern that the monthly staffing complement report created by each field mission for use mainly by OPPBA, which provides statistics on planned and actual staffing levels, was time-consuming to prepare. Also, responses to the questionnaire sent to field missions regarding staffing table and post management generally yielded requests for additional reports and/or fields to be made available for statistical use. **DFS could review the reports in Nucleus to ensure statistical data required for analysis and use in decision-making is readily available.** *DFS stated that the IMU, FPD had developed standard reporting tools for staffing table management from 2006 to date, which is an ongoing process based on user requirements. These tools enable clients to view positions by mission and occupational group as well as specific data by gender and nationality.*

37. Additionally, there were several issues associated with the reliability of the data imported and processed by Nucleus, as identified by OIOS. These will be addressed in the upcoming audit of OICT.

38. As per the minutes of the Umoja Steering Committee, dated 7 July 2011, the Umoja project, which includes the implementation of a global enterprise resource planning solution, is delayed approximately one year. In order to accelerate progress and to adhere to the General Assembly's request to ensure compliance with International Public Sector Accounting Standards (IPSAS) at the United Nations in 2014, all efforts will be focused on moving the Organization to a global, stable IPSAS-compliant foundation prior to moving on to other elements of Umoja. Based on this delay, it is important that the control features of Nucleus are used fully.

## AUDIT RESULTS

### **Recommendation 5**

**(5) DFS should make full use of the control features of Nucleus to effectively support and monitor staffing table and post management.**

39. *DFS stated that the IMU, FPD would generate reports showing post management changes based on the requirements of ODCU and that these reports would be reviewed periodically.* This only partially addresses the recommendation. Recommendation 5 remains open pending receipt of evidence that embedded control features of Nucleus are used effectively to ensure the proper control over staffing table and post management.

**ANNEX I**  
**STATUS OF RECOMMENDATIONS**  
**Audit of staffing table and post management**

<b>Recom. no.</b>	<b>Recommendation</b>	<b>Risk category</b>	<b>Critical/ important</b>	<b>C/O<sup>1</sup></b>	<b>Actions need to close recommendation</b>	<b>Implementation date<sup>2</sup></b>
1	DFS should clarify and formalize the roles and responsibilities of the Field Personnel Division in staffing table and post management.	Operational	Important	O	Receipt of a copy of the revised SOP	30 June 2013, subject to the implementation of the GFSS
2	DFS should revise the standard operating procedures for staffing table and post management for field missions to include detailed procedures and ensure that these procedures and interim instructions are widely available to effectively support and guide staff performing these functions.	Operational	Important	O	Receipt of a copy of the revised SOP and evidence of its appropriate dissemination	30 June 2013, subject to the implementation of the GFSS
3	DFS should develop a training programme and ensure that staff involved in staffing table and post management at Headquarters and in the field receive sufficient operational-level training on related policies and procedures.	Operational	Important	O	Receipt of a copy of the training programme and plan for ensuring all staff involved in staffing table and post management at Headquarters and in the field receive the training	30 June 2012
4	DFS should ensure that mechanisms are in place and reports in Nucleus are available for use by the Field Personnel Division to enable effective and efficient monitoring of the management of staffing tables and posts as conducted by field missions. These mechanisms should be used and reports reviewed on a regular basis.	Operational	Important	O	Receipt of evidence of reports that are available and reviewed periodically to monitor the management of staffing tables and posts as conducted by field missions	30 June 2012
5	DFS should make full use of the control features of Nucleus to effectively support and monitor staffing table and post management.	Operational	Important	O	Receipt of evidence that embedded control features of Nucleus are used effectively to ensure the proper control over staffing table and post management	30 June 2012

1. C = closed, O = open

2. Date provided by DFS in response to recommendations

**ANNEX II**  
**OPPORTUNITIES FOR IMPROVEMENT**  
**Audit of staffing table and post management**

Para. no.	Opportunity for improvement	Client comments
15	DFS could consider periodically distributing the standard operating procedures with a memorandum on corresponding general roles and responsibilities with regard to staffing table and post management to the Director/Chief of Mission Support and requiring written acknowledgment of these roles and responsibilities.	<i>DFS stated that it agreed with the suggestion to periodically distribute the standard operating procedures to the Directors or Chiefs of Mission Support, highlighting their roles and responsibilities and receiving their acknowledgment.</i>
23	DFS could develop a mechanism to ensure that the staffing tables established and maintained in Nucleus reflect the approved budget with respect to the total number of posts by category/grade, post location and functional title.	<i>DFS stated that the Nucleus system had a function that each mission to attach official documents regarding posts and allotments for the staffing table period. The Organizational Design and Classification Unit in the Field Personnel Division (FPD) creates staffing tables in Nucleus based on the records attached by missions which includes the approved budget with respect to number, category, level, functional title and location of posts.</i>
33	DFS could conduct an annual review to validate the list of users of Nucleus for access control.	<i>DFS stated that the Information Management Unit (IMU), FPD would initiate a review process with the missions along the lines of the annual Integrated Management Information System access rights review.</i>
36	DFS could review the reports in Nucleus to ensure statistical data required for analysis and use in decision-making is readily available.	<i>DFS stated that the IMU, FPD had developed standard reporting tools for staffing table management from 2006 to date, which is an ongoing process based on user requirements. These tools enable clients to view positions by mission and occupational group as well as specific data by gender and nationality.</i>