



OIOS

Office of Internal Oversight Services

INTERNAL AUDIT DIVISION

AUDIT REPORT

**Office of the High Representative for
the Least Developed Countries,
Landlocked Developing Countries, and
Small Island Developing States
(OHRLLS) and the Office of Special
Adviser for Africa (OSAA)**

**Need for review of the programmatic structures
of OHRLLS and OSAA, and strengthening of
programme and human resource management**

5 February 2009

Assignment No. AN2008/860/01

United Nations  Nations Unies

INTEROFFICE MEMORANDUM

MEMORANDUM INTERIEUR

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

TO Mr. Cheick Sidi Diarra, USG and High Representative for
A the Least Developed Countries, Landlocked Developing
Countries, and Small Island Developing States (OHRLLS)
and the Office of Special Adviser for Africa (OSAA)

DATE 5 February 2009

Mr. Vijay Nambiar, Chef de Cabinet, Executive Office of
the Secretary-General

Mr. Sha Zukang, Under-Secretary-General, Department of
Economic and Social Affairs



REFERENCE IAD: 09- 02198

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

SUBJECT **Assignment No. AN2008/860/01 - Audits of OHRLLS and OSAA**

OBJET:

1. I am pleased to present the report on the above-mentioned audit.
2. Based on your comments, we are pleased to inform you that we will close recommendations 3, 20 and 27 in the OIOS recommendations database as indicated in Annex 1. In order for us to close the remaining recommendations, we request that you provide us with the additional information as discussed in the text of the report and also summarized in Annex 1.
3. Please note that OIOS will report on the progress made to implement its recommendations, particularly those designated as high risk (i.e., recommendations 1, 2, and 23 in its annual report to the General Assembly and semi-annual report to the Secretary-General.

cc: Mr. Swatantra Goolsarran, Executive Secretary, UN Board of Auditors
Ms. Maria Gomez Troncoso, Officer-in-Charge, Joint Inspection Unit Secretariat
Mr. Moses Bamuwanye, Chief, Oversight Support Unit, Department of Management
Mr. Byung-Kun Min, Programme Officer, OIOS
Mr. William Petersen, Chief, New York Audit Service, OIOS

INTERNAL AUDIT DIVISION

FUNCTION

“The Office shall, in accordance with the relevant provisions of the Financial Regulations and Rules of the United Nations examine, review and appraise the use of financial resources of the United Nations in order to guarantee the implementation of programmes and legislative mandates, ascertain compliance of programme managers with the financial and administrative regulations and rules, as well as with the approved recommendations of external oversight bodies, undertake management audits, reviews and surveys to improve the structure of the Organization and its responsiveness to the requirements of programmes and legislative mandates, and monitor the effectiveness of the systems of internal control of the Organization” (General Assembly Resolution 48/218 B).

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EXECUTIVE SUMMARY

Audits of the Office of the High Representative for the Least Developed Countries, Landlocked Developing Countries, and Small Island Developing States (OHRLLS) and the Office of Special Adviser for Africa (OSAA)

OIOS conducted an audit of the Office of the High Representative for the Least Developed Countries, Landlocked Developing Countries, and Small Island Developing States (OHRLLS) and the Office of Special Adviser for Africa (OSAA). The overall objective of the audit was to assess the: (i) efficiency and effectiveness of programme management of OHRLLS and OSAA with respect to their mandates; and (ii) compliance with UN policies and procedures and the adequacy of internal controls over governance, financial management, programme management, and human resources management. The audit was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.

The programmes for both OHRLLS and OSAA are aimed at sustaining international support through advocacy and analytical work, providing an intergovernmental forum for deliberations; and mobilizing and coordinating the UN system organizations to implement actionable resolutions arising from their respective intergovernmental deliberations. OSAA's mandate covers fifty-three African countries. Thirty seven of these countries are also covered under the programmes for Least Developed Countries (LDCs), Landlocked Developing Countries (LLDCs) and Small Island Developing States (SIDS). Therefore, 70 per cent of the countries covered by OSAA are also covered by OHRLLS.

Since there is an overlap in the targeted audience, there is considerable potential for coordination and synergy between the two offices servicing the mandates for OHRLLS and OSAA. In OIOS' view, the Secretary-General should, in consultation with the General Assembly, review the entire programmatic structure of both OHRLLS and OSAA with an aim to establish a single programme under an Under-Secretary-General (USG), in order to eliminate overlap and duplication in providing services for the targeted countries. In view of the above and the fact that the Secretary-General had placed both the programmes under the management of a single Under-Secretary-General, OIOS has consolidated its findings for both OHRLLS and OSAA in this one report.

In particular, OHRLLS did not comply with the approved organizational structure and reporting lines. Nor did it prepare and use annual work plans. As a result, its goals for the staff were not aligned to its divisional goals and were not monitored in accordance with the organizational arrangements approved by the General Assembly.

Further, OHRLLS internal housekeeping indicated that it did not comply with interagency arrangements for seconded staff, fill vacancies efficiently, use an internal roster of consultants and adhere to the Performance Appraisal System requirements of the UN Administrative Instructions.

OSAA did not ensure that the interdepartmental task force was duly constituted with formal terms of reference for the participating organizations. Further, OSAA did not fill vacancies efficiently therefore depending largely on temporary staff, and did not comply with UN regulations on the selection of consultants.

Consequently, the administrative support provided to both of the programmes and their efforts to coordinate in the delivery of their programmatic goals needed improvement in a number of areas.

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I. INTRODUCTION

1. The Office of Internal Oversight Services (OIOS) conducted an audit of the Office of the High Representative for the Least Developed Countries, Landlocked Developing Countries, and Small Island Developing States (OHRLLS) and the Office for the Special Adviser for Africa (OSAA). The audit was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.

2. OSAA's mandate covers fifty-three African countries. Thirty seven of these countries are also covered under the programmes for Least Developed Countries (LDCs), Landlocked Developing Countries (LLDCs) and Small Island Developing States (SIDS). Therefore, 70 per cent of countries covered by OSAA are also covered by OHRLLS. This forms 35 per cent of OHRLLS total coverage which covers 105 countries. Details for the OHRLLS and OSAA budget for 2006-2007 and 2008-2009 are shown in table 1.

Table 1: OHRLLS and OSAA budget estimates for 2006-2007 and 2008-2009 (in US\$ thousands)

Programme	Year	Regular Budget	Extra-Budgetary	Total
OHRLLS	2006-2007	5,052.7	2,849.4	7,902.1
	2008-2009	5,569.4	1,120.5	6,689.9
OSAA	2006-2007	7,070.3	577.3	7,647.6
	2008-2009	7,360.1	470.0	7,830.1
TOTAL		25,052.5	5,017.2	30,069.7

3. Comments made by OHRLLS, OSAA, the Department of Economic and Social Affairs (DESA) and the Executive Office of the Secretary General (EOSG) are shown in *italics*.

II. AUDIT OBJECTIVES

4. The main objectives of the audit were to:
- (a) Assess the efficiency and effectiveness of programme management of OHRLLS and OSAA with respect to the implementation of their mandates; and
 - (b) Assess compliance with UN policies and procedures and the adequacy of internal controls over governance, financial management, programme management, and human resources management.

III. AUDIT SCOPE AND METHODOLOGY

5. The audit covered the period from 1 January 2004 to 31 December 2007. The audit also reviewed the realignment of OHRLLS with OSAA carried out in January 2008.

IV. AUDIT FINDINGS AND RECOMMENDATIONS

A. Organizational structure for OHRLLS and OSAA

Structure for OHRLLS and OSAA needs review for achieving efficiency in programme delivery

6. The programmes for both OHRLLS and OSAA are aimed at sustaining international support through advocacy and analytical work, providing an intergovernmental forum for deliberations, and mobilizing and coordinating the UN system organizations to implement actionable resolutions arising from their respective intergovernmental deliberations. However, since there is a substantial overlap in their targeted audiences (see paragraph 2), there is considerable potential for coordination and synergy between the two offices in servicing their mandates.

7. The Secretary-General proposed a realignment of the offices in a 30 October 2007 memorandum addressed to the Chairman of the African Group of the General Assembly, with a view to obtaining a greater degree of coherence and coordination in the work of the offices through a consolidation of authority and responsibility, and in order to use resources optimally. The organization chart attached to the memorandum proposed the merger of the advocacy and administration functions while placing both the offices under a single Under-Secretary-General (USG) directly reporting to the Secretary-General. The offices were placed under a single USG with effect from 22 January 2008, but the consolidation of the advocacy and administrative offices was not pursued.

8. In the revised estimates for 2008-2009 (A/62/708), the Secretary-General referred to the realignment of OHRLLS and OSAA under the leadership of one USG. The report proposed the replacement of the post of the USG and one general service post for OSAA with five posts (professional and general service). There was no proposal to merge the advocacy and administrative functions between the two offices which have remained separate, with the Department of Social and Economic Affairs' (DESA) Executive Office serving as the executive office for both offices.

9. Regulation 6.2 of the Regulations Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation (ST/SGB/2000/8), requires the prior approval of the General Assembly in order for an entire sub-programme to be reformulated. The merging of the two departments represents a reformulation of an entire sub-programme requiring the prior approval of the General Assembly, whereas the replacement of a USG post with lower level posts could be proposed within the budgetary process. In OIOS' view, while the placement of the two offices under a single USG is a positive measure and will help in advancing the synergies of the offices, additional efficiencies could be achieved by reviewing the structure of the offices so as to eliminate overlap and duplication in their provision of services for the targeted countries.

Recommendation 1

(1) The Secretary-General should review the entire programmatic structure for both OHRLLS and OSAA in order to reduce the overlap and duplication in providing services for the targeted countries.

Recommendation 2

(2) The Secretary-General should submit the reformulated proposal to the General Assembly for prior approval in accordance with UN regulations.

10. *The Executive Office of the Secretary-General noted that the Secretary-General's proposal of realignment of the two offices to advance their synergies was continuing to face political opposition of a number of G77 countries as reflected in the recent Fifth Committee deliberations. However, the EOSG will review the recommended course of action in the context of the 2010-2011 budget. Recommendation 1 remains open pending receipt of documentation showing that action was taken in the proposed 2010-2011 budget.*

11. *The Executive Office of the Secretary-General and the OHRLLS Administration accepted recommendation 2 and stated that should there be any reformulated proposals the Secretariat would submit these through the General Assembly. Recommendation 2 remains open pending receipt of documentation showing the action taken in the proposed 2010-2011 budget.*

B. OHRLLS

1. Programme management

12. The mandate of OHRLLS derives from the General Assembly's resolution 55/279 of 12 July 2001, which endorsed the Brussels Programme of Action for the Least Developed Countries for the decade 2001-2010 adopted by the Third United Nations Conference on the Least Developed Countries. Resolution 55/279 was complemented by resolution 56/227 (28 February 2002), whereby the General Assembly established the Office of the High Representative pursuant to the functions recommended by the Secretary-General¹ in his report on the follow-up mechanism for coordinating, monitoring, and reviewing the implementation of the Brussels Programme of Action for the Least Developed Countries for the decade 2001-2010. Since its establishment, OHRLLS is responsible for the Barbados Programme of Action and the Mauritius Strategy for the Sustainable Development of Small Island Developing States, as well as the Global Framework for Transit Transport Cooperation between Landlocked and Transit Developing Countries, and the donor

¹ A/56/645, "Follow-Up Mechanism for Coordinating, Monitoring, and Reviewing the Implementation of the Programme of Action for the Least Developed Countries for the Decade 2001-2010" – Report of the Secretary-General, 23 November 2001

community and relevant paragraphs of the United Nations Millennium Declaration for those countries. The mandate of OHRLLS is to ensure:

- (a) Mobilization and coordination of international support for the effective implementation of the (i) Brussels Programme of Action for the Least Developed Countries for the Decade 2001-2010; (ii) Almaty Programme of Action: Addressing the Special Needs of Landlocked Developing Countries within a New Global Framework for Transit Transport Cooperation for Landlocked and Transit Developing Countries; and (iii) Barbados Programme of Action for the Sustainable Development of Small Island Developing States;
- (b) Enhanced monitoring and follow-up to the three programmes of action;
- (c) Advocacy and promotion of global awareness with respect to the three groups of countries (LDCs, LLDCs, and SIDS); and
- (d) Reporting at the global level on the implementation of the Brussels Programme of Action and the Almaty Programmes of Action as effective tools for reaching the international development goals of the relevant countries.

13. OHRLLS is staffed with a Director at the D-2 level, nine professionals, and four general service staff. The number of programmed outputs planned for the 2008-2009 biennium was 96.

Operational responsibilities of OHRLLS and DESA in relation to the SIDS programme need to be clarified and rationalized based on available resources

14. OIOS assessed the functioning of the institutional arrangements for the SIDS programme, which was allocated between OHRLLS and DESA. The UN mandate for SIDS is allocated between OHRLLS and DESA as shown in Table 2:

Table 2: UN SIDS Mandate of OHRLLS and DESA

UN SIDS Mandate		
	OHRLLS	DESA
1.	Supports the coordinated follow-up of the Barbados Programme of Action for the Sustainable Development of Small Island Developing States.	Provides coordinated support for the implementation of the outcome of the 1999 special session of the General Assembly for the review and appraisal of the progress in the implementation of the Barbados Programme of Action for the Sustainable Development of Small Island developing States.
2.	Undertakes advocacy work in favor of the Small Island Developing States in partnership with the relevant parts of the United Nations as well as with the civil society, media, academia and foundations.	Provides substantive secretariat support to intergovernmental and inter-agency processes related to the monitoring, review and coordination of the implementation of the Barbados Programme of Action.
3.	Assists in mobilizing international	Acts as a liaison and focal point for

UN SIDS Mandate	
OHRLLS	DESA
	support and resources for the implementation of the Barbados Programme of Action.
	governments, organs, programmes and agencies of the United Nations system, as well as other relevant intergovernmental and non-governmental organizations, on matters related to the follow-up to the conference and the implementation of the Barbados Programme of Action.
4.	Provides support to group consultations on SIDS.
	Prepares reports to be submitted to the Commission on Sustainable Development, and other relevant bodies, on the implementation of the Barbados Programme of Action, drawing on the inputs from all appropriate sources.
5.	
	Provides support, as appropriate, to other activities emanating from the Barbados Programme of Action.
6.	
	Follows up with the World Summit on Sustainable Development (WSSD) Plan of Implementation related to SIDS.

Source: OHRLLS and DESA websites

15. According to the General Assembly's resolution 59/311, "the Department of Economic and Social Affairs will continue to provide substantive support to intergovernmental and inter-agency processes related to the monitoring, review, and coordination of the implementation of the SIDS Programme and act as the focal point for governments, the UN system and other relevant intergovernmental and non-governmental organizations. On the other hand, OHRLLS will perform activities relating to advocacy and the mobilization of international support and resources on behalf of the small island developing States."

16. From a review of the activities organized by OHRLLS and DESA in 2004 and 2007, it was difficult to segregate activities relating to substantive servicing and advocacy. For example, OHRLLS organized four special events, finalized one publication entitled "Programme of Action: Small Island States", which was disseminated during the ten-year review of the Programme at Port-Louis, Mauritius in January 2005, and one newsletter entitled "Newsletter for Small Island Development States." During the same period, DESA organized two annual SIDS Day events for reviewing the implementation of the Barbados Programme of Action and new developments in the sustainable development of SIDS. It also held a high-level roundtable on SIDS issues, an expert group meeting, and regional and inter-regional meetings of the SIDS; and produced three publications, including the "World Statistics Pocketbook for Small Island Developing States". DESA maintains the SIDS Network (SIDSnet), an online service that raises awareness, promotes capacity-building, facilitates information sharing, and coordinates action on the big issues faced by small islands, and hosts the SIDS Experts Network, a group of experts that convene to generate valuable reports on the sustainable development challenges facing SIDS.

17. OIOS' review of programmed outputs indicated that there was difficulty in distinguishing between OHRLLS and DESA's operational roles and responsibilities because the substantive servicing and advocacy activities could not be easily separated. In OIOS' view, there should be a single programme for SIDS jointly prepared by DESA and OHRLLS, the responsibilities for which should be distributed between the two departments based on available resources.

18. As a result of resolutions made by the General Assembly from 2002-2005 (57/262, 58/213A, 59/229 and 59/311), DESA requested and was allocated one P4 in the 2008-2009 budget to support the SIDS programme. OHRLLS made no request for additional resources in the 2008-2009 budget. In February 2008, OHRLLS in its revised estimates relating to the programme budget for the biennium 2008-2009 (A/62/708) requested one additional professional post to support the SIDS programme and DESA requested two additional professional posts. As of August 2008, these requests were pending decisions by the General Assembly. In the absence of additional resources, OHRLLS and DESA should jointly review and rationalize the objectives of the SIDS programme of work.

Recommendation 3

(3) The High Representative for OHRLLS and the Under-Secretary-General, DESA, should collaborate closely at the time of the programme budget preparations to assure an integrated approach to programming between the two departments based on available resources.

19. *The OHRLLS Administration accepted recommendation 3 and stated that as the SIDS component under OHRLLS and DESA represents sub-programme elements in its Strategic Framework, and additionally spans two budget sections, it is proposed to implement this recommendation by collaborating with each other at the time of the programme budget preparations to assure an integrated approach to programming the activities to be carried out. DESA stated that every two years, the Executive Committee for Economic and Social Affairs (EC-ESA) conducts a comprehensive coordination of the draft programme budget proposals of its member entities. Specifically, programming of work in the least developed countries, landlocked developing countries and small island developing states is undertaken within the thematic cluster on countries in special situations, which is chaired by OHRLLS. OHRLLS agreed with DESA since the EC-ESA captures the mechanism established for collaboration. Based on the assurance given by OHRLLS and DESA that they will collaborate at the time of the programme budget preparation and through the two yearly review at EC-ESA, recommendation 3 has been closed.*

Inter-agency coordination needs strengthening

20. In 2003, the Secretary-General established the Inter-Agency Task Force (IATF) to enable the key organs, organizations, and bodies of the UN system to improve coordination and enhance cooperation on matters pertaining to the preparatory process leading up to, and including the Mauritius International meeting, which is a ten year review of the Barbados Programme of Action. However, the IATF was discontinued after the conclusion of the Mauritius meeting in 2005 and inter-

agency coordination was not re-established until July 2005 when the General Assembly, by resolution 59/311, requested the Secretary-General, through DESA, to “articulate a plan with recommendations for action and proposed activities for the coordinated and coherent implementation of the Mauritius Strategy...by the relevant United Nations bodies, the specialized agencies, regional commissions and other organizations of the United Nations system within their respective mandates, and to report thereon to the [General Assembly]....” In response, DESA established the Inter-agency Consultative Group on SIDS (IACG), comprising all relevant UN bodies.

21. OIOS assessed the functioning of the IACG and found that it had not convened in 2006. DESA explained that, due to limited resources, it was not able to host the inter-agency meetings during 2006. In 2007-2008, DESA held a total of five IACG meetings which were attended by OHRLLS and 15 out of the 65 (24 per cent) invited UN departments and offices away from headquarters, programmes, funds, specialized agencies, and other related entities of the UN system. OIOS noted that the low participation at the inter-agency meetings rendered the mechanism ineffective in tapping the synergies of the UN system. DESA and OHRLLS need to jointly review the effectiveness of the IACG with a view to enhancing collaboration amongst UN entities on SIDS issues.

Recommendation 4

(4) The High Representative for OHRLLS and the Under-Secretary-General, DESA should jointly review the effectiveness of the Inter-agency Consultative Group on Small Island Developing States and take corrective action to increase the participation at the Inter-agency Consultative Group meetings.

22. *The OHRLLS Administration accepted recommendation 4 and stated that upon the invitation of the USG DESA, in his function of Chair of the Inter-agency Consultative Group, the High Representative stands ready to jointly review the effectiveness of the IACG on SIDS. DESA also accepted this recommendation and stated that it will take necessary action in consultation with OHRLLS to determine how to make the IACG mechanism more effective in tapping the synergies of the system.* Recommendation 4 remains open pending actions taken by OHRLLS and DESA to strengthen the effectiveness of the IACG.

Organizational arrangements and reporting lines need to comply with approved budgets and UN instructions on the Performance Appraisal System

23. The OHRLLS organizational chart contained in the approved budget fascicle (A/62/6) provides the: (i) assignment of authority and responsibility; (ii) empowerment and accountability; and (iii) appropriate lines of reporting for the staff. According to the approved 2008-2009 programme budget, the operations of OHRLLS are headed by a D-2, who is responsible for providing overall coordination of staff and day-to-day management of OHRLLS, including the Policy Development and Coordination, Monitoring and Reporting Service (PDCMRS) and the Advocacy and Outreach (AO) unit. According to the job description, the D-2 is also responsible for deputizing/backstopping for the High Representative when required. A Chief of Unit was appointed at the D-1 level to provide overall coordination of staff and day-to-day

management of PDCMRS, whilst a professional at the P-4 level was appointed to provide overall coordination of staff and management of the AO unit.

24. In practice, the organizational reporting lines were not functioning in accordance with the approved organization chart. According to ST/SGB/2007/7 and the job descriptions of the Programme Officers, they were to carry out their duties under the guidance of the Chief of Unit who was charged with the responsibility to oversee the implementation of the PDCMRS work programme. However, during 2004-2007, the Chief of Unit did not discharge the managerial functions over the LDC and LLDC sub-programmes, performing instead the day-to-day functions of the SIDS sub-programme. During this same period, the High Representative performed the day-to-day managerial functions of the unit, including the supervision of the unit's staff. This was confirmed through interviews with the staff and from a review of the Performance Appraisal System (PAS) reports, which listed the High Representative as both the First Reporting Officer (FRO) and the Second Reporting Officer (SRO) for the staff of the Unit, namely, the D-1 and the P-2 assigned to the OHRLLS SIDS sub-programme, and the Programme Officers (P-5) responsible for the LDC and LLDC sub-programmes.

25. Furthermore, since the High Representative was acting as both the FRO and SRO for the purpose of evaluating the staff's performance, there was inadequate segregation of duties in managing the staff and providing performance feedback. According to Administrative Instruction ST/AI/2003/3, the FRO is responsible for, amongst other duties, providing supervision on the overall work of the staff member throughout the reporting period. The SRO, who is the FRO's supervisor, is responsible for, amongst other duties, (i) holding the FRO accountable for appraising staff in accordance with the PAS guidelines; and (ii) resolving disagreements between staff and the FRO in the implementation of the PAS. In assuring fairness and consistency throughout the PAS cycle when defining performance expectations, the SRO also has the broader responsibility of ensuring that the PAS is consistently and fairly applied across work units by all FROs who report to him or her. In OIOS' view, there is a need to comply with the approved organization chart of OHRLLS in order to assure adequate segregation of duties between the FRO and SRO and enhance accountability.

Recommendation 5

(5) The OHRLLS Administration should comply with the organizational arrangements contained in the 2008-2009 proposed programme budget document approved by the General Assembly, and should ensure that evaluation of staff performance in the Performance Appraisal System is completed in accordance with the requirements of the ST/AI/2003/3.

26. *The OHRLLS Administration accepted recommendation 5 and stated that the new OHRLLS executive direction and management is committed to ensuring that the evaluation of staff performance in the PAS is completed in accordance with the requirements of the ST/AI/2003/3. Recommendation 5 remains open pending provision of documentation indicating completion of PAS in accordance with ST/AI/2003/3.*

Recommendations not being followed up systematically

27. Through its annual and mid-term review reports, OHRLLS provides critical information and statistical data to the Secretary-General, the General Assembly and the Economic and Social Council (ECOSOC) to facilitate their review and assessment of the progress of the implementation of the Brussels Programme of Action, supporting the LDCs, and the Almaty Programme of Action supporting the LLDCs. OHRLLS also makes recommendations, as appropriate, on steps needed to ensure the full and effective implementation of the programmes of action supporting LDCs and LLDCs. OHRLLS made 97 recommendations (71 to LDCs; 26 to LLDCs) in its annual reports and mid-term reviews of the programme of action for the LDCs for the period 2004-2007. These reports covered themes such as governance, trade imbalance, transit and transportation issues, and technical assistance to enhance the coordinated implementation of the LDCs and LLDCs programmes of action. These recommendations formed the basis for the General Assembly and ECOSOC resolutions. However, most of the recommendations were vaguely stated in terms of proposing specific solutions, naming a focal point responsible for their implementation; and specifying timelines for implementation.

28. The OHRLLS management confirmed that it did not regularly track the recommendations that had subsequently been adopted as General Assembly and ECOSOC resolutions, nor did it report to the intergovernmental bodies on the status of the implementation of the mandated resolutions. Moreover, OHRLLS did not have a database system for tracking and monitoring its recommendations. Consequently, the General Assembly and ECOSOC resolutions relating to OHRLLS were not being followed up systematically.

Recommendations 6 and 7

(6) The OHRLLS Administration, in its annual report, should: (i) identify the focal point responsible for implementing recommendations adopted as intergovernmental resolutions; (ii) specify the timeline for implementation; and (iii) report to the intergovernmental bodies on the progress of the implementation of the resolutions arising out of its recommendations.

(7) The OHRLLS Administration should create a database to track and monitor the progress of the implementation of all General Assembly and Economic and Social Council resolutions arising out of its recommendations.

29. *The OHRLLS Administration did not accept recommendation 6 stating that the identification of focal points responsible for implementing recommendations adopted as intergovernmental resolutions is regularly done by the ECOSOC and General Assembly secretariats, which also determine the timeline for their implementation. OHRLLS has been asked by the intergovernmental bodies to dedicate*

the annual report to reporting on the implementation of the respective programmes of action, preferably focused in a results oriented manner against the goals and indicators established. OIOS points out that although the General Assembly and ECOSOC make the decisions, it is OHRLLS that services these bodies. In OIOS' view, the elements of effective servicing should include the identification of the focal point and timeline for implementation of recommendations and be clearly reflected and followed up in OHRLLS annual reports. Recommendation 6 is kept open pending OHRLLS action to have these aspects included in its annual report.

30. *The OHRLLS Administration accepted recommendation 7 and stated that it would like to create a database to track and monitor the progress of the implementation of all General Assembly and ECOSOC resolutions arising out of its recommendations. To this end, it has repeatedly requested resources for a data base administrator, which has not yet materialized.* Recommendation 7 remains open pending the creation of a database to track the recommendations.

Translation of documents and website content in the French language needs improvement

31. OIOS noted that of the 105 countries OHRLLS is mandated to cover, 37 (35 per cent) were English-speaking and 28 (27 per cent) were French-speaking. The remaining 40 (38 per cent) constituents either spoke Spanish, Arabic, or unofficial UN languages. Despite the diverse language orientation of its constituents, OHRLLS does not translate its publications in French. According to OHRLLS, it had mainly relied on its internal capacity to translate publications, requesting translation services from the UN for official documents only when sufficient funds were available. Due to a lack of resources, OHRLLS was not able to translate publications on a consistent basis.

32. Moreover, the French version of the OHRLLS website had not been updated with the current news, events, and OHRLLS publications maintained on the English website. Given the fact that over 27 per cent of the OHRLLS constituent countries are French-speaking, there is a critical need for OHRLLS to update the French version of its website on a regular basis. Additional budgetary resources should be requested if necessary to support translation needs.

Recommendation 8

(8) The OHRLLS Administration should request resources to translate documents into the official UN languages of its constituent countries and update its French website in order to adequately serve the needs of all its constituents.

33. *The OHRLLS Administration accepted recommendation 8 and stated that the resources are being requested in the context of the Secretary-General's proposed programme budget for the biennium 2010-2011.* Recommendation 8 remains open pending action taken in the proposed 2010-2011 budget.

Non-reimbursable loan arrangements need to be clearly documented

34. OHRLLS acquires additional staff resources through secondment arrangements with other organs of the UN system. This management practice is in line with General Assembly resolution 56/279, which invited “the organs, organizations, and bodies of the [UN] system, and other relevant multilateral organizations, to provide full support to, and cooperation with, [OHRLLS]”. Accordingly, from 2006 to 2008, OHRLLS arranged for the secondment of two staff members from the United Nations Children’s Fund (UNICEF) and the United Nations Development Programme (UNDP). The purpose of the secondments was to help support OHRLLS, inter alia, with its five-year review of the implementation of the Brussels Programme of Action. However, the secondments were not supported by a “Memorandum of Inter-Organization Exchange” (MIOE), and the general terms, conditions, responsibilities, and duties of the releasing and receiving agencies were not clearly documented. This was in contravention of the Inter-Agency Mobility Accord’s requirements. OHRLLS could not explain to OIOS the UNICEF staff members’ contributions to the OHRLLS work programme.

Recommendation 9

(9) The OHRLLS Administration should ensure that it complies with the Inter-Agency Mobility Accord’s requirements to document staffing arrangements through the use of a Memorandum of Inter-Organization Exchange.

35. *The OHRLLS Administration accepted recommendation 9 and stated that it has taken note of this recommendation and will, if so advised by its Executive Office, make use of a Memorandum of Inter-Organization Exchange. Recommendation 9 remains open pending action taken to formalize the Memorandum of Inter-Organizational Exchange.*

Annual work plans should be prepared

36. The Secretary-General’s Bulletin “Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation, and the Methods of Evaluation” (ST/SGB/2000/8), paragraph 1(e), requires programme managers to “translate objectives into programmes and work plans in which the responsibilities and tasks of those who are to implement them are specified”. Work plans are also a necessary means for monitoring the implementation of the programme of work against planned resources. OIOS observed that OHRLLS had not formulated a formal work plan between 2004 and 2007.

37. The Director of OHRLLS explained that in lieu of annual work plans, the programme of work is guided by the overall goals and objectives set out in the Proposed Programme Budget. Detailed expectations and tasks were outlined in the PAS work plans of the individual staff members responsible for carrying out the tasks. The High Representative also conducted frequent staff meetings to update staff on the progress of the programme of work. Despite these measures, interviews with the staff indicated that the OHRLLS work processes did not provide for effective cooperation, information exchange, and knowledge-sharing between units, and that staff were not aware of the activities being carried out in the other units. OIOS found one case where the two units had worked on similar activities, but had not closely collaborated

to achieve the overall objective. In order to enhance the effectiveness and performance of each unit, OHRLLS needs to develop a formal work plan, outlining the goals and objectives of each unit, and linking them to the individual PAS.

Recommendation 10

(10) The OHRLLS Administration should ensure that annual work plans are prepared in accordance with ST/SGB/2000/8.

38. *The OHRLLS Administration accepted recommendation 10 and stated that it will endeavor to prepare more detailed annual work plans. Recommendation 10 remains open pending receipt of the annual work plan for 2009.*

2. Human resources management

Vacancy management needs improvement

39. Between 2004 and 2007, there was a high turnover of posts, including a total of 10 vacancies in the professional and general service levels, due to mobility and attrition. The post of the Chief of Unit (D-1), which provides leadership to the Policy Development and Coordination, Monitoring and Reporting Service, was vacant for a total of 15 months during the period, and, most recently, had been vacant for 10 consecutive months (November 2007-August 2008). Although the post had been advertised in the Galaxy system, the candidates had not been interviewed. The absence of a Chief of Unit negatively affected the functioning of the Policy Development and Coordination, Monitoring and Reporting Service Unit, and particularly the SIDS Unit, for which the Chief of Unit performed key functions.

40. During 2004-2007, OHRLLS filled professional posts with temporary staff. This practice led to 12 rotations in four of the 11 professional posts and an overall vacancy rate of 12 per cent for all professional posts. The high turnover and vacancy rate impacted OHRLLS' overall capacity to carry out its programme of work.

41. The OHRLLS management stated that it endeavored to fill vacancies as efficiently as possible, but was not always able to do so due to slow recruitment processes. Temporary staff and retirees were often used to fill vacancies until candidates could be recruited. While temporary replacements can help to alleviate staffing gaps on a short-term basis, this practice is not conducive for effective human resources planning. OHRLLS needs to fill its vacancies in a timely manner to ensure that it has the necessary staff resources to carry out its programme of work.

Recommendation 11

(11) The OHRLLS Administration should ensure that its vacant posts are filled expeditiously.

42. *The OHRLLS Administration accepted recommendation 11 and stated that it will ensure that its vacant posts are filled expeditiously, within the dependencies associated with the present vacancy management system. Recommendation 11 is kept*

open pending filling of the office's vacant posts and receipt of documentation showing the updated status on vacancy management.

Compliance with UN instructions on competitive selection of consultants needs to be improved

43. According to Administrative Instruction ST/AI/2003/9, managers are required to ensure competitive selection of consultants and use an internal roster. However, OHRLLS does not maintain an internal roster of consultants from which to make selections on the basis of competition. OIOS' review of 14 consultancy contracts in the period 2004-2007 showed that in three cases, OHRLLS did not consider at least three qualified candidates for the assignment. In two of these cases, the consultants had two consecutive engagements each. It is important that OHRLLS complies with the UN instructions on the competitive selection of consultants, and that all selections are supported by a written justification to assure OHRLLS' transparency and accountability in the engagement process.

Recommendations 12 and 13

The OHRLLS Administration should:

(12) establish an internal consultant roster to facilitate the selection of consultants and to ensure transparency of the process; and

(13) document the names of at least three consultants for each consultancy selection in accordance with ST/AI/2003/9.

44. *The OHRLLS Administration accepted recommendation 12 and stated that the use of consultants by OHRLLS has been rather limited so far and when necessary they have been able to use the roster at DESA's Executive Office. To the extent possible OHRLLS will endeavour to establish a parallel internal consultant roster. Recommendation 12 remains open pending action by OHRLLS to establish a roster for consultants.*

45. *The OHRLLS Administration accepted recommendation 13 and stated that it has adhered to the provisions of ST/AI/2003/9 and will of course continue to do so. OIOS reiterates that in three out of the fourteen cases reviewed, three candidates were not considered when making the selection of the consultant. Recommendation 13 remains open pending action taken by OHRLLS to review its actions in the 3 cases cited by OIOS and ensure compliance with the provisions of ST/AI/2003/9 in all future cases of hiring consultants.*

Compliance with UN Staff Rules on completing e-PAS needs to be improved

46. Pursuant to Administrative Instruction ST/AI/2002/3, the e-PAS should be used to evaluate staff performance. The e-PAS reports should be prepared for all staff up to the ASG level. OIOS found, however, that the e-PAS reports for 2004 to 2007 were not completed in a timely manner. For example, the e-PAS reports for the 2005-2006 cycle were not completed until June 2007. The importance of the timeliness of

e-PAS completion was highlighted by a staff member's rebuttal to a negative feedback 15 months after the close of the 2006-2007 cycle, which resulted from inadequate and untimely feedback on the expectations of the staff member. The e-PAS also enables management and staff to mutually establish the subsequent work plan goals, set performance standards using the UN core competencies, link individual work plans to the overall programme of work, and to identify training opportunities to enhance staff development.

Recommendation 14

(14) The OHRLLS Administration should ensure that performance appraisals are completed in a timely manner to ensure that staff members' individual goals are established and their performance evaluated on an annual basis.

47. *The OHRLLS Administration accepted recommendation 14 and stated that the OHRLLS Administration will ensure that performance appraisals are completed in a timely manner. Recommendation 14 remains open pending receipt of documentation indicating PAS evaluations have been completed in a timely manner.*

C. OSAA

1. Programme management

48. OSAA was established by the Secretary-General, on 1 May 2003, following General Assembly resolutions 57/7 and 57/300 of 4 November 2002 and 20 December 2002 respectively.

49. OSAA's functions are mandated in the Secretary-General's bulletin ST/SGB/2003/6, as follows:

(a) To support the General Assembly and ECOSOC in their deliberations on Africa;

(b) To coordinate and guide the preparation of Africa-related reports and inputs, in particular support for the New Partnership for Africa's Development (NEPAD), by the United Nations system and the international community, including the private sector and civil society;

(c) To coordinate the interdepartmental task force on African affairs, to ensure a coherent and integrated approach for United Nations support for Africa, including following up on the implementation of all global summit and conference outcomes related to Africa;

(d) To initiate reports on critical issues affecting Africa and in particular on the interrelated issues of peace and development;

(e) To coordinate global advocacy in support of NEPAD;

(f) To act as the focal point for NEPAD within the United Nations Secretariat at Headquarters; and

(g) To undertake special assignments related to Africa at the discretion of the Secretary-General.

50. OSAA's strategic framework is included in programme 9 of the biennial programme plans and priorities. Subprogramme 1: Coordination of global advocacy of and support for NEPAD is the responsibility of OSAA. Subprogrammes 2 and 3 pertain to the roles of the Economic Commission for Africa (ECA) and the Department of Public Information (DPI), respectively, in supporting NEPAD.

MOU between OSAA and ECA is needed for distribution of operational responsibilities in support of the New Partnership for Africa's Development (NEPAD)

51. OSAA and ECA are mandated to arrange global and regional/sub regional coordination and advocacy activities, respectively, in supporting NEPAD. These mandates, although distinct in their respective geographical jurisdictions, require some coordination in order to ensure that their overall advocacy strategies are aligned. The Director, OSAA explained to OIOS that there are several instances of collaboration, and OSAA and ECA communicate with each other regularly on all issues. The current mechanisms for cooperation include the Regional Consultative Mechanism, where OSAA is the convener of the cluster on Communication and Advocacy. Other consultation and cooperation mechanisms are the Committee for Programme and Coordination and the participation at conferences and other informal means of communication. However, the distribution of operational responsibilities in the UN system for coordination between the two offices has not been clearly defined. In OIOS' view, without a clear distribution of operational responsibilities between the two entities, there is a risk of duplication and overlap of activities, and a loss of synergies in OSAA's and the Economic Commission for Africa's (ECA) overall efforts to support NEPAD.

Recommendation 15

(15) OSAA should formalize a Memorandum of Understanding with the Economic Commission for Africa for the distribution of operational responsibilities relating to coordination and advocacy activities at the global and regional/sub regional level in the UN system.

52. *The OSAA Administration accepted recommendation 15 and stated that the recommendation would be implemented through the distribution of operational responsibilities relating to coordination and advocacy activities that already exist, in the form of "a Framework for Cooperation between OSAA and ECA."* The Framework for Cooperation lays out the general division of responsibilities but does not detail the specific activities that will be undertaken separately by OSAA and ECA in their overall support of NEPAD. Recommendation 15 remains open pending receipt of documentation indicating the distribution of responsibilities which details the activities to be undertaken separately by ECA and OSAA.

Need for a formal strategy to mobilize external support for NEPAD

53. The Committee for Programme and Coordination acknowledged that coordination of global advocacy of and support for NEPAD was critical but indicated that the Office of the Special Adviser should develop a strategy for outside support and not limit its focus to support obtainable from the UN system. OSAA collaborates with several outside bodies in meetings and expert groups and in the preparation of discussion papers. However, OSAA does not have a formal strategy for obtaining outside support.

Recommendation 16

(16) OSAA should develop a formal strategy for mobilizing outside support for the New Partnership for Africa's Development.

54. *The OSAA Administration accepted recommendation 16 and stated that this will be done even though a formal strategy already exists. OSAA stated that the central purpose of the "Friends of OSAA" is precisely to mobilize external support for the implementation of NEPAD. Recommendation 16 remains open pending receipt of the formal strategy established by OSAA.*

No database for monitoring resolutions

55. OSAA made a total of 50 recommendations in the Secretary-General's reports to the General Assembly and ECOSOC in the years 2005-2007. Of the 50 recommendations, 25 were stated generally and did not specify the activities to be undertaken to implement the recommendations, and 34 of the recommendations did not specify the focal points that would be responsible for follow up of the recommendations.

56. The 25 non-specific recommendations consisted of: (i) five generic recommendations on establishing the United Nations system-wide mechanism and enhancing collaboration including sharing and working together; (ii) eighteen generic recommendations on taking actions to strengthen the impetus for the implementation of NEPAD and providing greater financial and other support to Africa; and (iii) two recommendations requesting the private sector's commitment to support NEPAD and requesting Africa's development partners to make quick financial outlays of significant amounts for the implementation of NEPAD programmes.

57. The 34 recommendations without a specific focal point responsible for implementation included: (i) eight recommendations which requested the international community to act upon them; and (ii) nine recommendations requesting the UN system and agencies for implementation. Seventeen recommendations did not contain any focal points for follow-up of the implementation. These recommendations formed the basis for General Assembly resolutions on an annual basis. OSAA did not maintain a central database to record the status of the implementation of resolutions by the General Assembly. Every year OSAA requests the entities of the UN system and member states to report their implementation status of these resolutions.

Recommendations 17 and 18

The OSAA Administration should:

(17) ensure that its recommendations to intergovernmental bodies specify the actions to be taken and identify the focal points that will be responsible for the follow up of these recommendations; and

(18) create and maintain a database to monitor the implementation status of General Assembly resolutions related to NEPAD.

58. *The OSAA Administration accepted recommendation 17 and stated that this was already being done.* OIOS reiterates this recommendation as this action was not evident in the OSAA annual reports reviewed by OIOS. Recommendation 17 remains open pending receipt of documentation showing the actions to be taken on the recommendations of the intergovernmental bodies, including the identification of focal points responsible for follow up of the recommendations in its annual report.

59. *The OSAA Administration accepted recommendation 18 and stated that this has already being done.* OIOS reiterates that in its review, there was no central database being maintained to record the status of the implementation of resolutions by the General Assembly. Recommendation 18 remains open pending receipt of documentation indicating that a database has been established to monitor the General Assembly's resolutions relating to NEPAD.

Interdepartmental task force on African affairs not consistently coordinated

60. One of OSAA's mandates is the coordination of the interdepartmental task force on African affairs to ensure a coherent and integrated approach for United Nations support for Africa, including following up on the implementation of all global summit and conference outcomes related to Africa.

61. The first meeting of the interdepartmental task force was held on 13 July 2004. The second meeting was held approximately one year later on 24 March 2005. Since then the task force has remained inactive principally due to the lack of a USG for OSAA from May 2007 until January 2008.

62. The interdepartmental task force has not been constituted with formal terms of reference for the participating organizations. Additionally, the frequency of meetings was not prescribed, nor was the expected level of participation in the meetings predetermined. The meetings were attended by participants ranging from the P4 to the USG's level. Due to the lack of formalization of the terms of reference for the interdepartmental coordination meetings, the meetings were not being accorded a consistent status by other participating agencies. In OIOS' view, coordination activity may have been weakened as a result of not having regular interdepartmental meetings.

Decrease in responses to questionnaires

63. In compiling the reports required to be submitted to the General Assembly, OSAA depends upon the cooperation of other departments to complete its questionnaires on their activities with regard to Africa. This helps OSAA in performing its coordination role and in the preparation of Africa-related reports in the United Nations.

64. During the period 2004 to 2007, there was a decline in the number of departments responding to the questionnaires sent out by OSAA from 36 (92%) in 2004 to 28 (72%) in 2007. OSAA considered the response rate to its 2007 questionnaire a sufficient basis for its report to broadly reflect UN support for NEPAD.

Recommendation 19

(19) The OSAA Administration should ensure that the proposed terms of reference of the inter-agency task force includes details of its constitution including membership composition and frequency of meetings, and that the terms of reference are agreed to by all participating entities of the task force.

65. *The OSAA Administration accepted recommendation 19 and stated that the explanation and documentation already provided to OIOS on this matter, demonstrated that these arrangements are already in place.* The terms of reference for the task force provided to OIOS were in draft form. The details for the terms of reference included in the draft agenda of 31 March 2004 needed to be formalized into a terms of reference. Recommendation 19 remains open pending receipt of documentation indicating the formal task force's terms of reference.

Information not updated on OSAA website

66. OSAA's website is maintained in the six UN languages. While the English website is updated regularly, the websites of other languages are not updated. Parliamentary documents on the Chinese language website were updated to 2005 only, and there are 12 non-parliamentary publications on the French language website, as opposed to 39 in the English language website. Some out-of-date information still exists on the French language website, such as information about the Special Adviser (still referring to the former USG, Mr. Legwaila). Some documents are listed twice, e.g. Private Sector section in English and Societe Civile section in the French website. Out-of-date information affects the credibility of the office's website, and diminishes the usefulness of the information for the francophone clients and other non-English speaking communities.

Recommendation 20

(21) OSAA should maintain the French language website so that its information is up-to-date and to ensure that its French speaking audience in Africa is reached. When the information is

only available in English, the French webpage should include a link to the document on the English website.

67. *The OSAA Administration accepted recommendation 20 and stated that this will be done subject to the availability of resources. Recommendation 20 remains open pending actions taken by OSAA on updating its website.*

Client feedback not systematically recorded

68. Client satisfaction measurement practices can be of benefit in programme planning, monitoring and reporting. From discussions with the OSAA administration, client satisfaction is currently measured informally through the feedback received from Member States and the comments contained in the various reports commenting on OSAA activities. OSAA informed OIOS that its website provides for receipt of feedback from clients. However, OSAA could not provide OIOS with the past record of client feedback received on the website in order to assess the actions taken by OSAA on client feedback.

Recommendation 21

(22) OSAA should carry out a client satisfaction survey to assess the needs of its clients and maintain a record of client feedback received on its website.

69. *The OSAA Administration accepted recommendation 21 and stated that this will be done. Recommendation 21 remains open pending receipt of the results of the client feedback survey and availability of this record on the OSAA website.*

2. Human resources management

Vacancy management needs improvement

70. According to the Senior Manager's Compact for 2008 between the USG for OSAA and the Secretary-General, the target is to reach a vacancy rate for OSAA of less than five per cent. A vacancy rate exceeding five per cent could affect the delivery of the programmes. Table 3 below shows the status of vacancies in the office as of April 2008 based on the 2006/07 approved posts. A comparison of the actual posts filled on a regular basis, to that of the established regular posts, indicates that as at 31 December 2007, OSAA operated at a 53 per cent vacancy rate and that 26 per cent of its posts were filled by temporary staff. Seventeen per cent of professional level posts and 49 per cent of general service staff posts were filled by temporary staff.

Table 3: Staffing Table of OSAA as at April 2008

Positions	Approved posts biennium 06/07	Filled	Temporarily filled	Secondment / Sick Leave	Vacant	Vacancy rate*
USG	1	1	0	n/a	0	0%
D2	1	1	0	n/a	0	0%
D1	2	0	1	1	0	100%
P5	2	2	0	n/a	0	0%
P4	2	0	1	1	0	100%
P3	4	4	0	n/a	0	0%
Total P & above	12	8	2	2	0	33%
GS total	7	1	3	2	1	86%
Total All Staff	19	9	5	4	1	53%

Note: Vacancy rate equals total approved posts minus posts filled by fixed-term staff.

71. OSAA explained that its inability to fill these positions was due to the uncertainty of the continuation of the Office's mandate by the GA. Other examples noted were the cancellation of a vacancy announcement in one case, a query raised by the Central Review Body (CRB) on the proposed selection of a candidate in a second case and the refusal of another selected candidate to take on a position offered in a third case. As a result, the overall situation for OSAA is that the office was operating with 47 per cent of its staff complement and the functioning of the office has been largely dependent on temporary staffing for extended periods.

D-1 vacancies not permanently filled

72. One of the D-1 positions (Post # 7014) in OSAA has been blocked for a staff member, who served for less than four months in the post before going on secondment to UNDP, from 23 March 2005 to date. There is an agreement with UNDP to block this position up to December 2008, a total period of 3 1/2 years. The second D-1 position became vacant in January 2007 and was advertised in Galaxy on 6 February 2007. The recruitment process for this vacancy was cancelled at the request of the OSAA management, due to uncertainty regarding the restructuring of the Office.

73. The effective accomplishment of the OSAA work programme is jeopardized by the prolonged absence of staff from key positions. OSAA is a relatively small office which has undergone a number of leadership changes in its five years of existence (three USG's in five years). The prolonged blocking of posts (especially managerial posts) impedes the overall direction and leadership within OSAA. Staff morale, including those staff serving in officer-in-charge positions for indefinite and extended periods of time, is also affected due to their uncertain prospects in the office. This is reflected in the high staff turnover within the department (average staff duration has been two years) and vacancies in approved posts which have remained unfilled.

Recommendation 22

(23) OSAA should expedite the recruitment for all vacant posts and reduce its dependence on temporary staffing.

74. *The OSAA Administration accepted recommendation 22 and stated that it explained the special circumstances during 2006 – 2008 which, inter alia, were partly responsible for the unusually high vacancy rate. OSAA also demonstrated that several of the vacancies have been filled. Nevertheless, action is being expedited to fill the remaining vacancies. Recommendation 22 remains open pending receipt of documentation that indicates the filling of the office's vacant posts with regular staff including the updated status on vacancy management.*

Staff training not conducted

75. Staff training is regarded as an integral part of staff development and staff management. To be effective, training should be tailored to the actual job requirements of staff members. A review of the staff training schedules since 2004 showed that there has been no substantive training provided to staff. Training provided was limited to mandatory training in the areas of security, ethics and integrity. While such training is very important for staff development, it was noted that there was no training plan to identify specific substantive training requirements for staff members. Lack of appropriate training could lower staff morale, productivity and performance.

Recommendation 23

(24) OSAA should identify staff training needs for the Office and request funds for this activity in its next budget request for 2010 -2011.

76. *The OSAA Administration accepted recommendation 24 and stated that action is being taken. Recommendation 23 remains open pending receipt of documentation indicating that the staff training needs have been identified and funds have been requested in the proposed budget for 2010-2011.*

e-Pas staff evaluations not completed in a timely manner

77. The e-PAS for two of the seven staff members on board at the time of the audit were not yet completed for the e-Pas cycles which ended on 31 March 2006 and 31 March 2007, respectively. This represents a non-compliance of the United Nations instructions on completing the e-Pas and using it as an annual evaluation tool.

Recommendation 24

(25) OSAA should ensure that the performance appraisals are completed in a timely manner for all staff.

78. *The OSAA Administration accepted recommendation 24 and stated that action is being taken. Recommendation 24 remains open pending completion of PAS for 2006-2008.*

Competitive selection of consultants requires improvement

79. A review of the selection process for consultants showed that there were problems in selection noted in at least six cases (30 per cent) of the 20 cases selected for testing. OIOS found that:

- (a) Two of the three candidates considered did not have the required knowledge for the assignment (OBID 13197);
- (b) Two candidates were repeatedly considered (albeit not selected) despite their CVs not having been updated over 2 years between the 2 assignments (OBID 13422);
- (c) A candidate who drafted the initial paper under a consulting project was rehired to finalize the same paper (OBID 11715);
- (d) A consultant with a poor past evaluation was rehired. He had not been paid since the required output had not been delivered four months after the expiration of the contract (OBID 15126); and
- (e) A consultant drafted his own terms of reference for extending his contract and was rehired to implement the strategy he wrote (OBID 11715 and OBID 12649).

80. In addition OSAA does not maintain a roster of qualified candidates for the consideration of consultants. OSAA stated that the pool of consultants on Africa has been very limited and that they tried to follow the UN regulations in all cases.

Recommendations 25 and 26

The OSAA Administration should:

- (26) create and maintain a roster of qualified and eligible candidates from which it should recruit its consultants; and**
- (27) ensure that three qualified candidates are considered when selecting consultants; and that the consultants are properly utilized and overseen.**

81. *The OSAA Administration accepted recommendation 25 and stated that there is already a roster of consultants. DESA's Executive Office stated that in terms of paragraph 4.1 of ST/AI/1999/7, the central roster is to be developed by OHRM and, in response to recommendation 7 from OIOS audit no. AN/2007/540/02, DESA is also developing its own roster. Recommendation 25 remains open pending receipt and review of the OSAA roster.*

82. *The OSAA Administration accepted recommendation 26 and stated that three candidates have always been considered before the final selection of the most qualified consultant. DESA's Executive Office stated that the use of the checklist for reviewing requests for consultants and individual contractors implemented on 1 June*

2008 by the Executive Office of DESA would address this recommendation. In reviewing requests, the Executive Office will ensure that the recommendation is taken into account. Based on DESA Executive Office's response, Recommendation 26 has been closed.

V. ACKNOWLEDGEMENT

83. We wish to express our appreciation to the Management and staff of OHRLLS and OSAA for the assistance and cooperation extended to the auditors during this assignment.

RESPONSE AND IMPLEMENTATION OF RECOMMENDATIONS

Recom. no.	Recommendation	Risk category	Risk rating	C/O ¹	Actions needed to close recommendation	Implementation date ²
1.	The Secretary-General should review the entire programmatic structure for both OHRLLS and OSAA in order to reduce the overlap and duplication in providing services for the targeted countries.	Governance	High	O	Documentation showing the action taken in the proposed 2010-2011 budget.	Not provided
2.	The Secretary-General should submit the reformulated proposal to the General Assembly for prior approval in accordance with UN regulations.	Governance	High	O	Documentation showing the action taken in the proposed 2010-2011 budget.	Not provided
3.	The High Representative for OHRLLS and the Under-Secretary-General, DESA, should collaborate closely at the time of the programme budget preparations to assure an integrated approach to programming between the two departments based on available resources.	Governance	High	C	Action completed.	Implemented
4.	The High Representative for OHRLLS and the Under-Secretary-General, DESA should jointly review the effectiveness of the Inter-agency Consultative Group on Small Island Developing States and take corrective action to increase the participation at the Inter-agency Consultative Group meetings.	Governance	Medium	O	Documentation showing the actions taken by OHRLLS and DESA to strengthen the effectiveness of the IACG.	Not provided
5.	The OHRLLS Administration should comply with the organizational arrangements contained in the 2008-2009 proposed programme budget document approved by the General Assembly, and should ensure that evaluation of staff performance in the	Compliance	Medium	O	Documentation showing the action taken for the provision of documentation indicating completion of PAS in its office.	Not provided

Recom. no.	Recommendation	Risk category	Risk rating	C/O	Actions needed to close recommendation	Implementation date ²
6.	Performance Appraisal System is completed in accordance with the requirements of the ST/AI/2003/3. The OHRLLS Administration should, in its annual report: (i) identify the focal point responsible for implementing as recommendations adopted as intergovernmental resolutions; (ii) specify the timeline for implementation; and (iii) report to the intergovernmental bodies on the progress of the implementation of the resolutions arising out of its recommendations.	Operational	Medium	O	Documentation showing the action taken by OHRLLS to have these aspects included in its annual report.	Not provided
7.	The OHRLLS Administration should create a database to track and monitor the progress of the implementation of all General Assembly and Economic and Social Council resolutions arising out of its recommendations.	Information Resources	Medium	O	Documentation showing the action taken to create a database to track the recommendations.	Not provided
8.	The OHRLLS Administration should request resources to translate documents into the official UN languages of its constituent countries and update its French website in order to adequately serve the needs of all its constituents.	Operational	Medium	O	Documentation showing the action taken in the proposed 2010-2011 budget.	Not provided
9.	The OHRLLS Administration should ensure that it complies with the Inter-Agency Mobility Accord's requirements to document staffing arrangements through the use of a Memorandum of Inter-Organization Exchange.	Human Resources	Medium	O	Documentation showing the action taken to formalize the Memorandum of Inter-Organizational Exchange.	Not provided
10.	The OHRLLS Administration should ensure that annual work plans are prepared in accordance with the UN Regulations and Rules contained in ST/SGB/2000/8.	Compliance	Medium	O	Documentation showing the action taken for the provision of the annual work plan for 2009.	Not provided

Recom. no.	Recommendation	Risk category	Risk rating	C/O ¹	Actions needed to close recommendation	Implementation date ²
11.	The OHRLLS Administration should ensure that its vacant posts are filled expeditiously.	Human Resources	Medium	O	Documentation showing the action taken to fill the office's vacant posts and the updated status on vacancy management.	Not provided
12.	The OHRLLS Administration should establish an internal consultant roster to facilitate the selection of consultants and to ensure transparency of the process.	Human Resources	Medium	O	Documentation showing the action taken by OHRLLS to establish a roster for consultants.	Not provided
13.	The OHRLLS Administration should document the names of at least three consultants for each consultancy selection in accordance with ST/AI/2003/9.	Compliance	Medium	O	Documentation showing the action taken by OHRLLS to ensure compliance with the provisions of ST/AI/2003/9.	Not provided
14.	The OHRLLS Administration should ensure that performance appraisals are completed in a timely manner to ensure that staff members' individual goals are established and their performance evaluated on an annual basis.	Compliance	Medium	O	Documentation showing the action taken for the provision of documentation indicating the completion of PAS.	Not provided
15.	OSAA should formalize a Memorandum of Understanding with ECA for the distribution of operational responsibilities relating to coordination and advocacy activities at the global and regional/sub regional level in the UN system.	Governance	Medium	O	Documentation indicating the distribution of responsibilities which detail the activities to be undertaken separately by ECA and OSAA.	Not provided
16.	OSAA should develop a formal strategy for mobilizing outside support for NEPAD.	Strategy	Medium	O	Documentation showing the formal strategy established by OSAA.	Not provided
17.	OSAA should ensure that its recommendations to intergovernmental bodies specify the actions to be taken and identify the focal points that will be responsible for the follow up of these recommendations.	Operational	Medium	O	Documentation showing the action taken by OSAA to reflect the actions to be on the recommendations of the intergovernmental bodies, including the identification of focal points responsible for follow up.	Not provided
18.	OSAA should create and maintain a database to monitor the implementation status of General Assembly resolutions related to NEPAD.	Information Technology	Medium	O	Documentation showing the action taken for the provision of documentation indicating that a database has been established to monitor the General Assembly's resolutions	Not provided

Recom. no.	Recommendation	Risk category	Risk rating	C/O	Actions needed to close recommendation	Implementation date ²
19.	OSAA should ensure that the proposed terms of reference of the inter-agency task force includes details of its constitution including membership composition and frequency of meetings, and that the terms of reference are agreed to by all participating entities of the task force.	Operational	Medium	0	Documentation indicating the formal task force's terms of reference. relating to NEPAD.	Not provided
20	OSAA should maintain the French language website so that its information is up-to-date and to ensure that its French speaking audience in Africa is reached. When the information is only available in English, the French webpage should include a link to the document on the English website.	Operational	Medium	0	Documentation showing the action taken by OSAA to update its website.	Not provided
21	OSAA should carry out a client satisfaction survey to assess the needs of its clients and maintain a record of client feedback received on its website.	Governance	Medium	0	Documentation showing the action taken for the provision of the results of the client feedback survey and availability of this record on the OSAA website.	Not provided
22	OSAA should expedite the recruitment for all vacant posts and reduce its dependence on temporary staffing.	Human Resources	High	0	Documentation showing the action taken for the provision of documentation that indicates the filling of the office's vacant posts with permanent staff., including the updated status on vacancy management	Not provided
23	OSAA should identify staff training needs for the Office and request funds for this activity in its next budget request for 2010 -2011.	Human Resources	Medium	0	Documentation indicating that the staff training needs have been identified and funds have been requested in the proposed budget for 2010-2011.	Not provided
24	OSAA should ensure that the performance appraisals are completed in a timely manner for all staff.	Compliance	Medium	0	Documentation showing the action taken for the completion of PAS for 2006-2008.	Not provided
25	OSAA should create and maintain a roster of qualified and eligible candidates from which it should recruit its consultants.	Human Resources	Medium	0	Documentation showing the action taken to establish the OSAA roster.	Not provided

Recom. no.	Recommendation	Risk category	Risk rating	C/O ¹	Actions needed to close recommendation	Implementation date ²
26	OSAA should ensure that three qualified candidates are considered when selecting consultants; and that the consultants are properly utilized and overseen.	Human Resources	Medium	C	Action completed	Implemented

1. C = closed, O = open

2. Date provided by OHRLLS and OSAA in response to recommendations.