



INTERNAL AUDIT DIVISION

AUDIT REPORT

The Security Council Affairs Division in DPA

Internal controls were generally in place. Further efficiency could be gained by improving the procedures for (a) documenting the Security Council practices, (b) selecting candidates for serving in the Panels of Experts, (c) recruiting experts, and (d) organizing meetings of the subsidiary bodies of the Security Council

22 October 2010
Assignment No. AP2010/560/01

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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: Mr. B. Lynn Pascoe, Under-Secretary-General
A: for Political Affairs

DATE: 22 October 2010

Ms. Angela Kane, Under-Secretary-General
for Management

REFERENCE: IAD: 10- **00890**

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



SUBJECT: **Assignment No. AP2010/560/01 - Audit of the Security Council Affairs Division in DPA**
OBJET:

1. I am pleased to present the report on the above-mentioned audit.
2. In order for us to close the 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, 5, 6 and 8) in its annual report to the General Assembly and semi-annual report to the Secretary-General.

cc: Ms. Norma Chan, Director, a.i., Security Council Affairs Division, DPA
Mr. Rene Aquarone, Chief, OUSG, DGACM
Mr. Darko Mocibob, Senior Political Affairs Officer, DPA
Mr. Swatantra Goolsarran, Executive Secretary, UN Board of Auditors
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Ms. Eleanor Burns, Chief, Peacekeeping Audit Service, OIOS
Ms. Amy Wong, Programme Officer, IAD, OIOS
Mr. Rohan Wijeratne, UN Board of Auditors

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

Audit of the Security Council Affairs Division in DPA

OIOS conducted an audit of the Security Council Affairs Division (SCAD) in the Department of Political Affairs (DPA). The overall objective of the audit was to assess the adequacy and the effectiveness of internal controls in providing administrative support and secretariat services by SCAD to the Security Council and its subsidiary bodies. The audit was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.

In general, internal controls were in place and the representatives of the Security Council were satisfied with the level of support provided by SCAD. The following is a summary of the main audit results:

- The documentation relating to Security Council practices were not always available in a comprehensive and organized manner to facilitate the retrieval of documents for research and information sharing;
- The Secretariat Branch had an informal dual reporting structure, and roles and responsibilities of its staff were not formally documented which reduced the accountability and ability of the Chief of the Branch to delegate tasks;
- There were delays of up to 17 years in preparing and publishing the Repertoire of the Practice of the Security Council which diminished its usefulness. SCAD made an effort to reduce the backlog and also took proactive action in posting advance versions of the Repertoire on the Security Council's website;
- Guidelines had not been developed to govern the recruitment and administration of experts serving on the Panels of Experts established by the Security Council increasing the risk that the waivers and exceptions granted to the experts may create an expectation of employment benefits;
- SCAD did not maintain records showing comparative evaluation of the short-listed candidates for possible appointment to the Panels of Experts, which may reduce transparency in the selection process;
- There was a need to address the issues of quality, availability and diversity of candidates in the roster of experts to ensure it remained an effective recruitment tool; and
- There were cancellations of meetings of the subsidiary bodies of the Security Council due to a lack of interpretation services and meeting facilities.

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I. INTRODUCTION

1. The Office of Internal Oversight Services (OIOS) conducted an audit of the Security Council Affairs Division (SCAD) in the Department of Political Affairs (DPA). The audit was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.

2. SCAD is the division of DPA responsible for providing substantive support and secretariat services to the United Nations Security Council (Security Council) and its subsidiary bodies. The Security Council comprises 15 members of which five are permanent and ten are elected on a two-year term. SCAD is headed by a Director who reports to the Assistant Secretary-General for Political Affairs.

3. SCAD consists of the following four organizational units: (i) the Security Council Secretariat Branch (SCSB) responsible for providing substantive and administrative support to the Security Council and responding to queries from Member States and staff of the Secretariat regarding procedural and substantive matters of the Security Council; (ii) the Security Council Subsidiary Organs Branch (SCSOB) responsible for providing substantive support and secretariat services to the Security Council's subsidiary organs including sanctions committees; (iii) the Security Council Practices and Charter Research Branch (SCPCRB) responsible for drafting and maintaining the Repertoire of the Practice of the Security Council (Repertoire), an official record of the proceedings of the Security Council, and responding to queries and requests on procedural and historical matters relating to the work and methods of the Security Council; and (iv) the Military Staff Committee Secretariat which provides secretariat support and advice to the Military Staff Committee of the Security Council.

4. As of December 2009, SCAD was providing support to the Security Council subsidiary bodies including eleven sanctions committees, seven Panels of Experts, and several working groups.

5. For the biennium 2008-2009, SCAD had a regular budget of \$14.2 million for funding 51 authorized posts (28 Professional and above and 23 General Service) and other non-post requirements. In addition, there was a trust fund of \$0.2 million for updating the Repertoire. Costs for the Panels of Experts mandated by the Security Council were funded under the budget for special political missions.

6. Comments made by DPA and DM are shown in *italics*.

II. AUDIT OBJECTIVES

7. The main objective of the audit was to assess the adequacy and the effectiveness of internal controls in providing administrative and substantive support by SCAD to the Security Council and its subsidiary bodies focusing on:

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- (a) Governance structure, roles and responsibilities of SCAD, policies and procedures;
 - (b) Planning, coordinating and servicing meetings of the Security Council and other administrative functions;
 - (c) Advising and guiding the Security Council and its subsidiary bodies on procedural and substantive matters; and
 - (d) Monitoring and oversight of the production and dissemination of the official records of the Security Council and its subsidiary bodies.

III. AUDIT SCOPE AND METHODOLOGY

8. The audit covered SCAD activities in providing support to the Security Council and its subsidiary bodies focusing on operations for the period 1 January 2008 to 31 December 2009, as well as current practices, where appropriate.

9. The audit included a review of relevant documents, policies and procedures, manuals and standard operating procedures. It also included assessment and testing of internal controls in higher risk areas of SCAD operations. Interviews were held with key personnel in SCAD and other departments involved in support of the Security Council activities. OIOS also interviewed experts serving in Panels of Experts of sanctions committees and representatives of the Security Council to obtain feedback on quality of SCAD's support to them.

IV. AUDIT FINDINGS AND RECOMMENDATIONS

10. In general, internal controls were in place, and the representatives of the Security Council were satisfied with the level of support provided by SCAD. The following paragraphs outline some areas where improvement is needed:

A. Governance

Need to document the Security Council practices in a comprehensive and organized manner and to ensure proper transfer of knowledge

11. To increase information sharing and sustain its institutional memory, SCAD developed a comprehensive knowledge management system including division-wide databases and office guidelines. Also, the Security Council practices and working methods were available in various forms and sources including: (a) iSCAD database; (b) individual files of the current and former staff members of SCAD; (c) the Repertoire; and (d) the Research Request Database managed by SCPCRB. However, there was a need to document these practices in a comprehensive and organized manner for ease of access, research and information sharing.

12. SCAD staff interviewed indicated the need for appropriate training on research and retrieval of required information from the various sources for more systematic tracking of the Security Council proceedings. Also, considering recent and forthcoming movement and retirement of long-term serving managers and key staff of SCAD, there was a need to improve transfer of knowledge to facilitate sustained support to the Security Council.

13. The database (iSCAD) used by the Division did not render itself to ease of research and retrieval of information. To enhance its political research/analysis capabilities, SCAD initiated a project to revamp iSCAD. Once done, this will allow easy data tracking of the Security Council mandates, enable automatic updating of the Security Council's website and improve the reporting capabilities of the database.

Recommendation 1

(1) The Security Council Affairs Division should ensure that all Security Council working methods and practices are documented in a comprehensive manner and staff involved are properly trained to facilitate transfer of knowledge within the Division to sustain effective support to the Security Council and its subsidiary bodies.

14. *The Security Council Affairs Division accepted recommendation 1 and stated that it was recording working methods and practices in several different repositories. To implement the recommendation, SCAD decided to work with the concept of a Division-wide database into which all three Branches would enter working methods and practices of special interest which were not easily accessible through other sources. Staff of all three Branches would be trained to enter cases in the database and to use the database as a research tool. Recommendation 1 remains open pending confirmation that the Division-wide database has been implemented and all SCAD staff have been trained to use the database.*

Need for wider delegation of tasks in SCSB

15. Increased Security Council activities resulted in greater work load for SCAD staff concerning meetings, correspondence, and enquiries on the Security Council practices. SCAD had developed various tools to effectively allocate tasks within the Branches such as the activity reports schedule, evening duty roster, and SCSOB table of staffing responsibilities/committee assignments among others. However, there was a need for wider delegation of tasks in the SCSB such as: (a) preparation of the monthly forecasts of the Security Council activities; (b) preparation of the seizure summary statements on matters which are under active consideration by the Security Council; (c) processing credentials of the Security Council members; (d) oversight of document processing; and (e) tracking in-coming and out-going correspondence and other administrative functions. Also, professional staff in the Branch needed training on oversight of processing and disposition of documents considering precedents in handling similar documents.

16. Effective delegation saves time, develops and motivates staff and assists in the transfer of knowledge. Failure to delegate properly in SCAD resulted in long working hours for some staff and it did not guarantee that staff had acquired the required experience to take on critical tasks.

Recommendation 2

(2) The Security Council Affairs Division should further encourage wider delegation of tasks in the Secretariat Branch to enhance knowledge transfer and improve information sharing among staff.

17. *The Security Council Affairs Division accepted recommendation 2 and stated that work plans of all SCSB staff were being evaluated and updated, with a view to achieving a wider delegation of tasks in SCSB by 1 November 2010. Recommendation 2 remains open pending confirmation of wider delegation of tasks in SCSB.*

Lack of a formal reporting structure and clear reporting lines in the Secretariat Branch

18. A formalized structure and well defined reporting lines are essential for good governance and accountability. SCSOB and SCPCRB had clear reporting lines including well documented allocation of tasks and responsibilities. However, in SCSB, there was informal dual reporting to the SCAD Director and the Chief of the Branch, and staff roles and responsibilities were not formally defined and documented which reduced accountability and the ability of the Chief of the Branch to delegate tasks. In addition, the responsibilities of SCAD Branches for addressing the Security Council queries on procedural matters were not clear.

19. During the audit, several managerial responsibilities previously carried out by the Director of SCAD were reassigned to the Chief of SCSB. However, there is still a need to establish a formal reporting structure in the Secretariat Branch for improved accountability.

Recommendation 3

(3) The Security Council Affairs Division should ensure that responsibilities of all Branches and their staff are fully documented and the reporting lines are formally defined for improved accountability and effectiveness.

20. *The Security Council Affairs Division accepted recommendation 3 and stated that work plans for all SCSB staff were being evaluated and updated, after which a staffing chart setting out clear reporting lines would be established. Recommendation 3 remains open pending receipt of a copy of the organizational chart showing clearly defined responsibilities and reporting lines.*

B. Support to the Security Council and its subsidiary organs

Delays in the preparation and publishing of the Repertoire

21. The SCPCRБ is responsible for preparing the substantive content of the Repertoire that serves as an institutional memory of the evolving practice of the Security Council. The Department of General Assembly and Conference Management (DGACM) is responsible for publishing the Repertoire. As shown in Table 1 below, there were delays of up to 17 years in the preparation and publishing of the Repertoire, which diminished its usefulness.

Table 1: Status of the preparation and publishing of the Repertoire

Repertoire Supplement	Period	Publication date/Status
9 th (Published)	1981-1984	1992
10 th (Published)	1985-1988	2000
11 th (Published)	1989-1992	2007
12 th	1993-1995	Submitted to DGACM in November 2007.
13 th	1996-1999	Submitted to DGACM in February 2009
14 th	2000-2003	Drafting completed; all chapters are posted in advanced version except for parts of chapter VIII pending final approval.
15 th	2004-2007	All chapters are posted, except for parts of chapter VIII which are being drafted and finalized.
16 th	2008-2009	In progress: studies ongoing

22. While SCAD had made efforts to eliminate the backlog in the preparation of the Repertoire by publishing advance versions in the Security Council’s website, it had not developed appropriate benchmarks including timelines and resources for monitoring its preparation and publishing. According to SCAD, the backlog was partly attributable to the increase in the Security Council activities in terms of new missions, sanctions regimes and meetings which had resulted in increased work load and complexity in drafting the Repertoire. Also, the fluctuating nature of SCPCRБ staffing resources given that several posts were funded from general temporary assistance funds, trust funds and junior professional posts, further delayed the process.

23. SCAD informed OIOS that the annual reports of the Secretary-General to the General Assembly included benchmarks and timelines for the preparation of the Repertoire. These reports only presented the status of preparation of the Repertoire, and there is a need to establish a lead time and identify an optimal level of resources necessary for production of each supplement of the Repertoire.

Recommendation 4

(4) The Security Council Affairs Division should establish benchmarks and timelines for the preparation of the Repertoire of the Practice of the Security Council and continue working with DGACM to finalize its supplements and speed up the issuance of the Repertoire for use by Member States.

24. *The Security Council Affairs Division accepted recommendation 4 and stated that it would approach DGACM with the aim of assisting it in developing clear benchmarks, timelines and reporting systems to speed up the issuance of final volumes of the Repertoire in all official languages. SCAD also stated that they had already established internal benchmarks and timelines for the preparation of the Repertoire, and reported on the progress made in annual reports of the Secretary-General as well as in two annual briefings to the General Assembly. The delays were not solely caused by DGACM, as in the 17-year delay in the preparation and publishing of the Repertoire, it took 14 years for SCAD to submit the 12th Supplement (1993-1995) to DGACM for publishing. In addition, SCAD has not yet established specific benchmarks. Recommendation 4 remains open pending receipt of a copy of the document indicating benchmarks established by SCAD including the lead time and the optimal level of resources for the preparation of the Repertoire.*

Need for guidelines on recruitment and administration of experts serving in the Security Council Panels of Experts

25. As of December 2009, there were seven Panels of Experts (independent monitoring groups) established by the Security Council to monitor compliance with sanctions regimes, investigate possible sanctions violations and make recommendations to the relevant sanctions committee on improving their effectiveness. In addition, the 1540 committee (a non-sanction committee) had a Panel of Experts administered by the Office for Disarmament Affairs (ODA). Experts serving in these panels were administered under the Administrative Instruction for consultants and individual contractors (ST/AI/1999/7). However, their selection was made in consultation with and subject to the approval of the sanctions committee, and their appointment was made by the Secretary-General.

26. OIOS found that recruitment and administration procedures for the experts were not compliant with ST/AI/1999/7 resulting in an increase in exceptions and waivers as follows:

- As of December 2009, nine experts had served for prolonged periods without a break in service, contrary to the requirement of a 24-month service within a 36-month period established by ST/AI/1999/7. Upon expiry of their current contracts, four experts of the Al-Qaida and Taliban Sanctions Committee's panel would have been serving for over seven years, while five others in various panels would have been serving between two and three years. In addition, five other experts serving in the

1540 Committee's panel (administered by ODA) would have been serving between three and six years;

- Experts assigned to a duty station with a contract duration of at least one year were entitled to 15 days of paid, authorized break (without deductions of consultancy fees and cost of living allowances). The break was granted on an exceptional basis to the experts serving in the Al-Qaida and Taliban Panel of Experts; and
- At the discretion of the Office of Human Resources Management (OHRM) of the Department of Management (DM), experts serving on successive contracts were awarded an annual percentage increase in fees between two and ten per cent.

27. While SCAD had developed internal procedures for selection and appointment of experts, these had not been reviewed and approved by OHRM. Also, SCAD had consulted with OHRM to resolve administrative issues relating to the special status of experts but no guidelines had been developed. While the results of these consultations had been included to the extent possible in the Handbook for Experts maintained by SCAD, no new guidelines had been promulgated in an official document of the United Nations. There is a need for separate guidelines addressing the special status of experts considering that exceptions and waivers granted to experts may create the expectation of employment benefits and entitlements.

28. SCAD also did not maintain records on the selection process of candidates showing comparative evaluation of the short-listed candidates for possible appointment to the Panels of Experts, which may reduce transparency in the selection process. To address this issue, SCAD informed OIOS that the Division would maintain records of the evaluation of the candidates.

Recommendations 5 and 6

(5) DM, in coordination with DPA, should develop guidelines on recruitment and administration of experts serving in the Panels of Experts concerning recruitment/selection process, period of service, authorized breaks and annual increase in fees to ensure consistency in service conditions and to mitigate the risk of creating the expectation of United Nations staff benefits and entitlements.

(6) The Security Council Affairs Division should document and maintain records, to the extent possible, on the evaluation of candidates short-listed for possible appointment in the Panels of Experts to improve transparency in the selection process.

29. *DM accepted recommendation 5 stating that OHRM was finalizing the comprehensive guidelines for recruitment and administration of Panels of Experts of the Security Council as an exceptional arrangement to the general*

regulatory framework of consultants (ST/AI/1999/7) in view of their unique and recurring nature. OHRM targets to issue the guidelines in October 2010. The Security Council Affairs Division commented that it had initiated and actively engaged in consultations with relevant departments to address administrative issues of the experts serving in Panels of Experts. Recommendation 5 remains open pending receipt of a copy of the guidelines issued by OHRM on recruitment and administration of experts serving on the Panels of Experts.

30. *The Security Council Affairs Division accepted recommendation 6 stating that the experts selected by the Secretariat for the Panels of Experts must be subsequently endorsed by the relevant Security Council body which, while providing a robust, “dual key” system of approval, should be understood as an internal decision-making process. There is still a need for SCAD to maintain documents on the recruitment of experts. Recommendation 6 remains open pending confirmation that the evaluation of candidates short-listed for possible appointment in the Panels of Experts has been documented and records thereof have been maintained.*

Regular review of the roster of experts is necessary to ensure its effectiveness as a recruitment tool

31. SCAD maintains a roster for the selection of experts to serve in the Panels of Experts established by the Security Council. The main source of candidates over the years has been Note Verbales sent to Member States calling for candidates. SCAD also conducts outreach activities to professional organizations for candidates and actively obtains referrals from serving experts. According to SCAD, the roster was reviewed every two years including an ongoing review during the audit. As of 17 June 2010, the number of candidates in the roster had increased to 539 up from 450 in October 2009¹. However, SCAD needs to address the following issues concerning quality, availability and diversity of candidates in the roster to enhance its effectiveness as a recruitment tool:

- All candidates proposed by Member States were considered vetted and therefore placed in the roster without further review. There is a need to develop a rational evaluation system based on criteria such as past performance in panels, qualifications and experience to easily identify qualified candidates in the roster;
- The roster had 73 functional categories some of which were duplicative in nature. In addition, 20 candidates had not been categorized in the roster; and
- About 268 candidates or 50 per cent had remained inactive in the roster for 3 to 8 years. Action was taken during the audit and 251 names had been removed from the roster.

¹ E/AC.51/2010/2 dated 29 March 2010

32. Prior to and during the audit, SCAD addressed some of the following issues: (a) sending Notes Verbales to Member States and letters to professional organizations calling for more candidates; (b) reducing the number of functional categories to 23 and placing all candidates under respective categories; and (c) contacting 196 candidates who had remained inactive for over three years and reviewing 72 others without contacts for disposition. SCAD needs to address the remaining issues to enhance the effectiveness of the roster as a recruitment tool.

Recommendation 7

(7) The Security Council Affairs Division should: (a) develop an evaluation system to easily identify qualified candidates in the roster; and (b) establish time limits for retention of candidates in the roster.

33. *The Security Council Affairs Division accepted recommendation 7 and stated that both parts of the recommendation were being put into place in the context of the latest revision of the roster of experts. SCAD further commented that the names in the roster of experts were vetted before and after inclusion in the roster and that 251 names had been removed in a vetting process independent of Member States that nominated the candidates. Recommendation 7 remains open pending confirmation that the review of the roster of experts has been completed and time limits for retention of candidates in the roster have been established.*

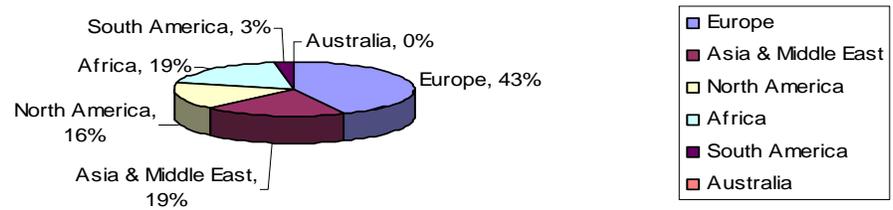
There was limited geographic and gender diversity in the Panels of Experts

34. As of December 2009, there was limited diversity in geographical representation and gender balance of the experts/consultants serving in the Panels of Experts. While female representation had slightly increased compared to prior years (i.e. three out of seven panels had at least one female expert; and the ratio of female experts had increased from 3:39 or eight per cent in 2005² to 4:37 or 11 per cent in 2009), the overall ratio still remained low.

35. Some 43 per cent of the experts were from Europe as shown in Figure 1, while an expert and a consultant in one of the panels were of the same nationality. The ST/AI/1999/7 requires that every effort is made to select consultants from the widest possible geographical base with consideration to achieve gender balance.

² AP2005/560/03

Figure 1: Geographical distribution of experts serving in the Panels of Experts



36. According to SCAD, every effort was made to increase gender distribution in groups but the conditions under which the experts operate had made it difficult to achieve a better gender balance. SCAD also stated that due regard had been made in selection of experts to avoid the same nationalities but this had not been extended to consultants. SCAD needs to continue with its efforts to improve the geographical representation among experts/consultants and further improve the gender balance.

Lack of administrative support for some Security Council working groups

37. According to DPA's mandate, SCAD is responsible for providing substantive support and secretariat services to the Security Council and its subsidiary bodies. In this regard, SCAD supports all sanctions committees and those working groups without a substantive office in the United Nations such as the Security Council Informal Working Group on Documentation and Other Procedural Questions, the Ad Hoc Working Group on Conflict Prevention and Resolution in Africa, the Security Council Working Group established pursuant to resolution 1566 (2004), and others. While substantive support for the Security Council Working Group on Children and Armed Conflict (WG-CAAC), the Working Group on Peacekeeping Operations and the Working Group on International Tribunals was provided through the substantive offices, no administrative support was provided.

38. Due to the increase in activities of the WG-CAAC since its formation in 2005 and the need to strengthen its institutional memory, the Security Council in its resolution 1882 (2009) requested the Secretary-General to provide additional administrative and substantive support for the WG-CAAC. This request was reiterated in presidential statements issued in S/PRST/2008/28, S/PRST/2009/9 and S/PRST/2010/10 and in various letters addressed to the Secretary-General.

39. While the United Nations' Office of the Special Representative of the Secretary-General for Children and Armed Conflict (CAAC) was providing substantive support to the WG-CAAC, it did not have the capacity to provide the administrative support requested by the Security Council. At the time of the audit, the Executive Office of the Secretary-General was in the process of consulting with the offices to assign this responsibility. Based on the action taken and pending the decision of the Office of the Secretary-General, OIOS does not

issue a recommendation but is of the opinion that SCAD should consider offering training and ongoing guidance to the substantive offices assigned the responsibility for providing administrative support to the Security Council working groups.

Lack of interpretation services and inadequate meeting facilities for the Security Council's subsidiary bodies

40. One of the principal roles of SCAD is servicing meetings of the Security Council and its subsidiary bodies. The Security Council members were generally satisfied with the support SCAD provides for the Security Council meetings. However, some subsidiary bodies such as the Al-Qaida and Taliban Sanctions Committee and the WG-CAAC experienced meeting cancellations due to a lack of interpretation services and rooms unavailability. As a result of meeting rooms' shortages, some of the working groups held meetings at the official premises of Missions to the United Nations. The representatives of the Security Council interviewed by OIOS stated that SCAD needed to improve their support in addressing requests for meeting facilities for the subsidiary bodies.

41. To address this issue, DGACM proposed that SCAD should make a formal request for resources to establish a team within DGACM whose services could be shared by the subsidiary bodies to provide interpretation services. DGACM further stated that SCAD should submit requests for meeting rooms well in advance to allow their prioritization. DGACM was also of the opinion that SCAD should consider allowing the Security Council Chamber and the Consultations room to be used, when available, for some of the meetings of the subsidiary bodies due to rooms shortages caused by the Capital Master Plan project.

Recommendation 8

(8) DPA, in consultation with DGACM should: (i) request for resources for establishing a team to provide interpretation services to the subsidiary bodies of the Security Council; and (ii) improve the current procedure of booking meeting rooms and consider allowing the Security Council Chamber and Consultations room to be used, when available, for meetings of the subsidiary bodies.

42. *DPA accepted recommendation 8 and stated that it was liaising with DGACM as to how a request for new budgetary resources for an additional team of interpreters could be put forward. It further stated that staff members of all three Branches had taken the DGACM training in the new eMEETS 2.0 database. Also, SCAD had developed a database tool which facilitates the transparent booking of conference services in advance by relevant subsidiary bodies and allows all relevant stakeholders to see the forthcoming programme of meetings and to discuss potential conflicts as soon as they emerge. However, SCAD stated that given the single team of interpreters and the limited number of rooms available for the Security Council bookings, it was not possible to meet all requests of the subsidiary bodies of the Security Council.* Recommendation 8

remains open pending confirmation that DPA has requested resources to establish an additional team of interpreters to support the Security Council subsidiary bodies.

C. Communication and information sharing with the Security Council members

Need for more proactive support and information sharing with the Security Council members

43. SCAD made efforts to improve communication with the Security Council members in accordance with a previous OIOS recommendation.³ Such efforts included briefings to newly elected members at the orientation workshop organized by the United Nations Institute for Training and Research (UNITAR) and at the annual workshop sponsored by the Government of Finland. In addition, SCAD regularly updated Security Council members with information on important developments in the practices and working methods of the Security Council via emails, other correspondence or postings in the Security Council's website. However, there is a need for SCAD to be more proactive in providing information to the Security Council members on the services it can provide to them during their membership.

44. The representatives of the Security Council interviewed by OIOS stated that, while the UNITAR and the Finnish sponsored workshops provided a good overview of the role of SCAD, there was a need to hold similar periodic briefings during the tenure of the members. Also, evaluation results of the 2007-2009 UNITAR and the Finnish sponsored orientation workshops identified the need to provide the members of the workshop with an orientation package and to put more emphasis on procedural questions, as well as dissemination of documents on the procedures of the Security Council.

Recommendation 9

(9) The Security Council Affairs Division should further improve information sharing with the members of the Security Council and its subsidiary bodies by conducting periodic briefings and providing proactive advice to the Security Council members on sources of information concerning practices and working methods of the Security Council.

45. *The Security Council Affairs Division accepted recommendation 9 and stated that, in cooperation with the Security Council political coordinators, it plans to organize periodic briefings on the Security Council's working methods and procedures and sources of information thereof. In addition, the Division intends to prepare, as it did in 2009 for the first time, an information package for the new incoming members of the Security Council attending the annual workshop sponsored by the Government of Finland. Recommendation 9 remains*

³ E/AC.51/2007/2/Add.2

open pending confirmation that periodic briefings on the Security Council's working methods and procedures and an information package have been provided to members of the Security Council.

V. ACKNOWLEDGEMENT

46. We wish to express our appreciation to the Management and staff of DPA and DM for the assistance and cooperation extended to the auditors during this assignment.

STATUS OF AUDIT RECOMMENDATIONS

Recom. no.	Recommendation	Risk category	Risk rating	C/O ¹	Actions needed to close recommendation	Implementation date ²
1.	The Security Council Affairs Division should ensure that all Security Council working methods and practices are documented in a comprehensive manner and staff involved are properly trained to facilitate transfer of knowledge within the Division to sustain effective support to the Security Council and its subsidiary bodies.	Governance	High	O	Confirmation that the Division-wide database has been implemented and all SCAD staff have been trained on the use of the database.	February 2011
2.	The Security Council Affairs Division should further encourage wider delegation of tasks in the Secretariat Branch to enhance knowledge transfer and improve information sharing among staff.	Governance	Medium	O	Confirmation of wider delegation of tasks in SCSB.	November 2010
3.	The Security Council Affairs Division should ensure that responsibilities of all Branches and their staff are fully documented and the reporting lines are formally defined for improved accountability and effectiveness.	Governance	Medium	O	Receipt of a copy of the organizational chart showing clearly defined responsibilities and reporting lines.	December 2010
4.	The Security Council Affairs Division should establish benchmarks and timelines for the preparation of the Repertoire of the Practice of the Security Council and continue working with DGACM to finalize its supplements and speed up the issuance of the Repertoire for use by Member States.	Operational	Medium	O	Receipt of a copy of the document indicating benchmarks established by SCAD including the lead time and the optimal level of resources for the preparation of the Repertoire.	December 2010
5.	DM, in coordination with DPA, should develop guidelines on recruitment and administration of experts serving in the Panels of Experts concerning recruitment/selection process, period of service, authorized breaks and annual increase in	Operational	High	O	Receipt of a copy of the guidelines issued by OHRM on recruitment and administration of experts serving on the Panels of Experts.	October 2010

Recom. no.	Recommendation	Risk category	Risk rating	C/O ¹	Actions needed to close recommendation	Implementation date ²
	fees to ensure consistency in service conditions and to mitigate the risk of creating the expectation of United Nations staff benefits and entitlements.					
6.	The Security Council Affairs Division should document and maintain records, to the extent possible, on the evaluation of candidates short-listed for possible appointment in the Panels of Experts to improve transparency in the selection process.	Operational	High	O	Confirmation that the evaluation of candidates short-listed for possible appointment in the Panels of Experts has been documented and records thereof have been maintained.	June 2011
7.	The Security Council Affairs Division should: (a) develop an evaluation system to easily identify qualified candidates in the roster; and (b) establish time limits for retention of candidates in the roster.	Operational	Medium	O	Confirmation that the review of the roster of experts has been completed and time limits for retention of candidates in the roster have been established.	April 2011
8.	DPA, in consultation with DGACM should: (i) request for resources for establishing a team to provide interpretation services to the subsidiary bodies of the Security Council; and (ii) improve the current procedure of booking meeting rooms and consider allowing the Security Council Chamber and Consultations room to be used, when available, for meetings of the subsidiary bodies.	Operational	High	O	Confirmation that DPA has requested resources to establish an additional team of interpreters to support the Security Council subsidiary bodies.	November 2010
9.	The Security Council Affairs Division should further improve information sharing with the members of the Security Council and its subsidiary bodies by conducting periodic briefings and providing proactive advice to the Security Council members on sources of information concerning practices and working methods of the Security Council.	Operational	Medium	O	Confirmation that periodic briefings on the Security Council's working methods and procedures and an information package have been provided to members of the Security Council.	June 2011

1. C = closed, O = open 2. Date provided by DM and DPA in response to recommendations.