



OIOS

Office of Internal Oversight Services

INTERNAL AUDIT DIVISION

AUDIT REPORT

Documents management system in UNMIK

UNMIK generally complied with policies and guidelines on records management and archiving, but improvement was needed considering the volume and criticality of documents

25 September 2009

Assignment No. AP2009/650/01

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. Lamberto Zannier
A: Special Representative of the Secretary General
UNMIK

DATE: 25 September 2009

REFERENCE: IAD: 09-02911

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

Fatoumata

SUBJECT: **Assignment No. AP2009/650/01 – Audit of documents management system in United Nations**
OBJET: **Interim Administration Mission in Kosovo (UNMIK)**

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 recommendation 5 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, 4, 9, 10 and 11) in its annual report to the General Assembly and semi-annual report to the Secretary-General.

cc: Mr. Robert Earl Sorenson, Chief of Staff, UNMIK
Mr. Bernard Lee, Chief of Mission Support, UNMIK
Mr. Swatantra Goolsarran, Executive Secretary, UN Board of Auditors
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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

Document management system in UNMIK

OIOS conducted an audit of the document management system in the United Nations Mission in Kosovo (UNMIK). The overall objective of the audit was to assess the adequacy and effectiveness of internal controls relating to archiving services to protect Mission data. The audit was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.

UNMIK established a Records and Archiving Unit (RAU) in June 2007, which was responsible for managing and archiving records. The Mission also launched an archiving project to expedite the archiving process in anticipation of the liquidation of the Mission then targeted at June 2008. UNMIK generally complied with the Secretary-General's bulletins and guidelines issued by the Headquarter Archives and Records Management Section (ARMS) in managing and archiving records except for those functions such as in municipalities where some records had been handed over to successor authorities prior to issuance of guidelines to staff. OIOS identified the following opportunities for improvement:

- Development of a strategic plan for records management and archiving based on a survey of work would ensure adequate resource allocation for effective records management and archiving and that milestones and target dates are met;
- Establishment of retention periods and classification of documents created within the departments as required by the ARMS guidelines could facilitate the identification of relevant and critical records for archiving;
- Institution of an archiving project monitoring, including quality control mechanisms, would lead to compliance with set milestones and targets, and ensure accuracy and completeness of archiving; and
- Installation of instruments such as smoke detectors, fire alarms and intrusion detection, which are linked to security office and the implementation of an evacuation plan and secure backup storage site, would ensure the safety and security of vital documents stored at RAU offices.

OIOS has made a number of recommendations to address the issues identified during the audit to further enhance the existing controls and contribute towards better records management.

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I. INTRODUCTION

1. The Office of Internal Oversight Services (OIOS) conducted an audit of documents management system in the United Nations Mission in Kosovo (UNMIK). The audit was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.
2. UNMIK is required to hand over all original records to the successor governing authorities of Kosovo. Before the handover, the Mission is required to make copies of all documents for archiving in accordance with the Secretary-General's bulletins ST/SGB/2007/5 and ST/SGB/2007/6 dated 12 February 2007 and mission-specific guidance on disposition of UNMIK records and archives dated 14 February 2007. UNMIK is also required to ship copies of the aforementioned documents, along with other confidential and permanent records to the UN Headquarters in New York for archiving.
3. The Mission established a Records and Archives Unit (RAU) in June 2007, whose responsibility is to plan, organize, manage and coordinate the effective and efficient preservation and archiving of documents. It was envisaged then that the Mission would be liquidated by June 2008. The RAU would not have been able to complete archiving by this target date. The Mission therefore launched an archiving project, under the RAU, which included five mobile teams to expedite photocopying of records and shipping of documents to the UN Headquarters. In addition, the Mission appointed archiving decision points in sections and units that were responsible for identifying and prioritizing records for archiving. The Mission also identified focal points to liaise and supervise the photocopying and archiving process.
4. Since its inception in 1999, the Mission has created multiple records in various formats, which included records generated by different electronic systems under a decentralized recordkeeping environment. In June 2007, the United Nations Archives and Records Management Section (ARMS) advisory team to the Mission estimated that approximately four million files, representing about 50 million pages, would be copied and archived.
5. Comments made by UNMIK management are shown in *italics*.

II. AUDIT OBJECTIVES

6. The main objectives of the audit were to assess the adequacy and effectiveness of internal controls relating to archiving services to protect the Mission data and more specifically to:
 - (a) Determine whether the Mission was complying with the UN and DPKO instructions regarding data archiving and information handling;
and
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- (b) Determine whether the Mission had adequate resources and facilities to comply with the directives of UN and DPKO regarding data archiving and information handling;

III. AUDIT SCOPE AND METHODOLOGY

7. The audit reviewed the record management system including the activities of the RAU, and archiving decision and focal points. The audit focused on compliance with instructions contained in the Secretary-General's bulletins, information circulars and mission specific guidance on disposition of UNMIK records and archives for the period from January 2007 to December 2008.

8. The audit did not cover the archiving of records of the former Provincial Institutions of Self Government (PISG), the Kosovo Trust Agency and the Kosovo Archives Institute as these institutions had been handed over to the local authorities and the responsible staff had left the Mission. As well, the audit did not cover the archiving activities of the Organization for Security and Cooperation in Europe (OSCE) and European Union which are independent organizations.

9. The audit methodology involved reviewing policy and planning documents, standard operating procedures and instructions, as well as directives of UNMIK and the ARMS. The auditors interviewed key personnel involved in records management and archiving. Site inspections were conducted at UNMIK Administrative Headquarters, Customs, Department of Justice, Judicial Council, Office of Missing Persons and Forensic and other relevant offices that maintained records relating to the Mission's role as interim administrator in Kosovo.

IV. AUDIT FINDINGS AND RECOMMENDATIONS

A. Compliance with policies and guidelines

Responsibilities of offices for document management

10. The ST/SGB/2007/5, dated 12 February 2007, requires that departments and offices develop and implement a policy regarding retention of their records, including transitory records. For this purpose, a records retention schedule is required, subject to approval of the UN ARMS. The retention schedule should identify the minimum retention periods taking into account administrative, fiscal and legal requirements. It should also identify those records that are to be archived. Accordingly, ARMS prepared a detailed retention list, namely the Peacekeeping Operations Retention Schedule (PORS), which is available on its website.

11. Retention periods for most of the documents created within the four pillars of the Mission, as well as the procedures followed to retain documents were not

uniform. Except for the Office of Political Affairs and the Finance Section, the focal points within departments were not aware of the requirements of the ARMS and most of them did not know that an ARMS website existed. OIOS noted that only the Finance Section, out of a sample of ten departments and sections, applied the PORS from the ARMS website.

12. Further, the Mission issued guidelines to focal and decision points on copying, disposal of records and handover of files to competent governing authorities in January 2008. This was six months after commencement of the archiving project.

13. The absence of a standardized and uniform records management process made it difficult for focal and decision points to identify and prioritize records for archiving. This was further exacerbated by the Mission's delay in issuing the necessary guidelines regarding copying, disposal and handover of files. There was likelihood therefore of files having been handed over to governing authorities without retaining records that may have future financial or legal implications for the UN.

Recommendation 1

(1) The UNMIK Office of Mission Support should ensure that archiving focal and decision points identify and prioritize records for archiving in accordance with Peacekeeping Operations Retention Schedule to meet administrative, fiscal and legal requirements.

14. *The UNMIK Administration accepted recommendation 1 and stated that as a result of the UNMIK reconfiguration, few of the original archiving project focal and decision points remain on UNMIK staff. The UNMIK RAU is in the process of developing a smaller network of recordkeeping focal and decision points to ensure that departments and offices are aware of and will implement UN recordkeeping guidelines such as the PORS. Recommendation 1 remains open pending confirmation that decision and focal points have been identified to implement recordkeeping guidelines.*

Responsibilities of staff members

15. ST/SGB/2007/5 requires that, prior to separation from service, staff members shall make arrangements for transferring to the ARMS or to the office with delegated authority, those records in their possession which are no longer required for business purposes and shall not remove any records from United Nations premises. UNMIK circulated ST/SBG/2007/5 together with Information Circular No. 01/2008 in January 2008. However, specific guidelines were not issued regarding handover of records before checking out of the Mission. As a result, staff members leaving the Mission were cleared without proof that they had handed over all the official documents in their possession which could result in loss of valuable documents and information.

16. The Mission indicated in its Information Circular No. 01/2008 that RAU would train departments and offices in the new archiving process for closed, inactive peacekeeping records including the creation of an electronic listing of files placed in uniquely numbered UNMIK archiving boxes. However, training was not provided and staff members in some offices were not aware that records were the property of the UN. In the Department of Justice for instance, staff members were of the view that the independence of a judiciary required that the judges' decision files should be kept confidential and handed over to the successor government judiciary instead of the UN.

17. Furthermore, the Secretary-General's bulletin ST/SGB/2007/5 states that staff members shall not alter, destroy, misplace or render useless any official document, record or file that is intended to be kept as a record of the Organization. Staff members are permitted to destroy documents and records in keeping with the provisions of retention policy guidelines that have been approved by ARMS. However, the RAU reported in its August-September 2008 monthly report that after moving from Mission Headquarters, RAU staff recovered 25 boxes of records, some of them sensitive, from a waste dump. RAU could not confirm whether any investigation was carried out and corrective action was taken. OIOS noted that instructions were not provided to staff to safeguard documents when relocating from closed offices which could result in leakages and/or loss of sensitive and vital information.

Recommendations 2 to 4

The UNMIK Administration should:

- (2) Issue guidelines regarding handover of records before staff members check out of the Mission and ensure the guidelines are enforced effectively;**
- (3) Ensure that all staff members are adequately trained in all the relevant policies and guidelines regarding records management; and**
- (4) Issue guidelines for safeguarding records especially during closure or moving of offices.**

18. *The UNMIK Administration accepted recommendation 2 and stated that guidelines were issued as part of the archiving project which outlined some basic recordkeeping procedures for all departments of the Mission (Information Circular no 2008/1). A revised guideline similar to IC 2008/1 focusing on the roles and responsibilities of staff and the remaining work of the archiving project will be issued before the end of December 2009. Recommendation 2 remains open pending issuance of revised guidelines regarding handover of records before staff check out of the Mission.*

19. *The UNMIK Administration accepted recommendation 3 and stated that due to the reduced size of the Mission since the drawdown process, training in preparing records for transfer according to RAU and ARMS guidelines has been*

carried out on an ad hoc basis to offices transferring records. The RAU will continue to train and provide support to staff working on transferring records to RAU for permanent or temporary storage and to recordkeeping focal points. Recommendation 3 remains open pending provision of training to recordkeeping focal points and staff working on transferring records to RAU.

20. The UNMIK Administration accepted recommendation 4 and stated that a revised guideline similar to IC 2008/1 focusing on the roles and responsibilities of staff and the remaining work of the archiving project will be issued before the end of December 2009. Recommendation 4 remains open pending issuance of revised guidelines for safeguarding records.

B. Resource management

Equipment in the RAU

21. The ARMS study group suggested providing fifteen photocopiers (ten for the mobile teams and five in the storage area), and six scanners for the RAU. The Mission had a running contract for provision of photocopiers with a private contractor. At the date of the audit, the RAU had 12 photocopiers allocated to different mobile teams and only one scanner for photocopying and scanning documents in the Mission.

22. Most of the photocopiers provided to the mobile teams were old and frequently broke down requiring regular repairs which hampered the work of the archiving teams. The Chief of RAU also reported the problems of photocopiers in the monthly report to senior Mission Management stressing the need to replace faulty photocopiers. The Chief of Supply stated that he did not receive any direct complaint from the Chief of RAU. Consequently, the Mission did not take steps to replace the faulty equipment despite the contract providing for such remedy.

Recommendation 5

(5) The UNMIK Office of Mission Support should ensure that faulty equipment is timely replaced in line with the contract provisions.

23. The UNMIK Administration accepted recommendation 5 and stated that faulty equipment has been disposed of and replaced during drawdown and reconfiguration of the Mission. Based on the action taken by UNMIK, recommendation 5 has been closed.

C. Archiving Process

24. Section 5.1 of ST/SGB/2007/5 stipulates that ARMS shall be responsible for establishing policy and setting standards, including the design of record-keeping systems and procedures for the management of records and archives of the United Nations, including their use, storage, retention, disposition and access rights. ARMS is also charged with the responsibility of establishing policy and standards for the structure, content and context of electronic records, in order to

ensure that they are accurately created and captured in their integrity and preserved without alteration and remain accessible for as long as the electronic record is retained.

25. To ensure compliance with these instructions, an advisory team of the ARMS visited the Mission in May 2007 and developed a draft working plan for the records management and archiving project.

Strategic planning

26. The ARMS advisory team noted that there was little or no strategic planning in relation to preparing Mission's records and archives for transition. The team proposed that all the pillars and sections of the Mission should conduct identification surveys and prepare lists of records to estimate the actual volume of work, assess the resource requirements and be used as a basis for evaluating the performance of the RAU personnel.

27. OIOS noted that the Mission had not formulated any strategic plans. Although the survey was performed, the Mission did not utilize the results to develop the scope of the archiving project with specific milestones and timelines. This was mainly attributed to inadequate staff in the RAU. Consequently resources required for the archiving project could not accurately be estimated.

28. The mobile photocopying teams informed OIOS that they estimated the workload after assessing the number of files and estimating the average number of copies done in a day in a particular section which was then used to set target dates. However, the target dates were flexible due to different factors including the condition of photocopying machines.

Recommendation 6

(6) The UNMIK Office of Mission Support should ensure that a strategic plan for records management and archiving is developed on the basis of a survey of the workload, with explicit milestones and a defined scope of work.

29. *The UNMIK Administration accepted recommendation 6 and stated that a plan for the remaining work of the RAU and the archiving project will be developed by October 2009. Recommendation 6 remains open pending development and implementation of a strategic plan on records management.*

Target dates

30. The archiving plan was developed by ARMS advisory team on the premise that the Mission would be liquidated by June 2008, and the liquidation process would require 120 days. Therefore, it was proposed that a time frame of ten months was required to complete the archiving project. However, the Security Council decided to extend Resolution 1244 thereby extending the life of the

Mission. The Mission therefore, should have revised the targets and milestones and re-organized the archiving project.

31. The RAU started the work of identifying and copying documents in July 2007. As per the ARMS team working plan and assumption of the transitional period of 120 days, the target period of ten months was to end in April 2008. However, Management did not review the target dates in the light of the decision to reconfigure the Mission instead of liquidation, changes in status of resources and magnitude of work to agree on new milestones.

32. The timely revision of the target dates would also have necessitated the revision of milestones for the archiving project and criteria for evaluating the performance of the photocopying teams. Consequently, RAU and its mobile teams were still engaged in the photocopying exercise at the end of March 2009. The unit and the teams were unable to give a specific date when they expected to complete the work.

Project monitoring and quality control

33. ARMS proposed a coordinated programme and work plan for the archiving project to be successful. The proposed strategy was to analyze the functions, activities, processes and transactions of each department and identify the records which document these operations. The strategy placed great emphasis on quality management in view of the unique nature of the Mission. Quality management related specifically to the comprehensiveness of photocopying, quality of the copies and transfer process to New York.

34. The Mission assigned the responsibility of project monitoring and reporting to the Working Group of Records and Archives, under the Transitional Planning Group which was led by the Office of Strategy Coordinator. However, the Working Group became non-functional after a few meetings due to the departure of key staff members as a result of the closure of UNMIK offices in various municipalities and handover of functions to the successor authorities. The Mission did not take measures to replace the members of the Working Group or delegate the responsibility of monitoring and quality control to another senior manager.

35. The reliability and accuracy of the records management project depended upon accurate identification of records by the decision and focal points. However, as pointed out above, the monitoring working group was not functional and therefore the work of the decision and focal points was not monitored. In addition, decision and focal points did not submit regular progress reports to management.

36. Discussions with the mobile teams revealed that generally focal points did not organize files according to the ARMS classification. For example, there was no system of certifying the total number of pages in a particular file before handing it over to the RAU mobile teams for photocopying. After photocopying, no checks were carried out by the focal points to review quality of the copies and completeness of the files.

37. Focal points were of the view that the responsibility for ensuring reliability, completeness and confidentiality of photocopied records lay with the RAU. RAU on the other hand did not include information about the work performed by focal and decision points in its monthly reports to the Director of Mission Support. As a result, RAU and the focal points could not confirm the accuracy and completeness of the photocopied records. Therefore there was no assurance that all the pertinent records were photocopied and archived which may result in UNMIK's failure to corroborate its decisions and activities in case of future financial or legal obligations.

Recommendations 7 and 8

The UNMIK Office of Mission Support should:

(7) Restore project monitoring mechanisms, either through appointing members to the working group or by delegating responsibility to a senior manager; and

(8) Institute and implement a quality control mechanism to review quality of copies and ensure completeness of records.

38. *The UNMIK Administration accepted recommendation 7 and stated that the Chief, General Services will monitor implementation of the work plan and progress will be reported to the Chief of Mission Support. Recommendation 7 remains open pending development and implementation of an adequate monitoring mechanism.*

39. *The UNMIK Administration accepted recommendation 8 and stated that as the copying project has reduced in staff from over 40 to 3, quality control will be ensured by training in the use of new photocopying machines and monitoring the quality of copies. Recommendation 8 remains open pending provision of training in the use of new photocopying machines and monitoring the quality of copies produced.*

D. Security of records

Storage facility

40. The RAU storage facility holds copies of documents awaiting shipment to New York as well as sensitive and confidential original documents which will eventually be handed over to the successor governing authorities.

41. The storage facility does not have proper security in that there is lack of fire alarms, smoke detectors and intrusion detection instruments which should also be linked to the Security Office. RAU reported the shortcomings in security arrangements to Mission management as indicated in the August and October 2007 monthly reports.

42. There was therefore a risk of destruction and loss of vital records due to poor security and safety and lack of evacuation plans to ensure records are safeguarded.

Recommendations 9 and 10

The UNMIK Office of Mission Support should:

(9) Ensure adequate safety and security of the records by instituting measures such as provision of fire alarms, smoke detectors and intrusion detection instruments which should be linked to the Security Office; and

(10) Adopt an evacuation plan and arrange appropriate storage facilities at the backup site.

43. *The UNMIK Administration accepted recommendation 9 and stated that as a first priority RAU is working on shipping records of permanent value to ARMS in New York to ensure that they are housed in an appropriate storage facility. RAU will be working with sections in the Mission to ensure that appropriate safeguards are in place in records storage areas. Subject to available staff resources RAU will develop a disaster plan requiring co-operation and input from stakeholders across UNMIK and identifying private sector service providers and other agencies that can provide facilities to recover and protect damaged records in the event of a disaster. Recommendation 9 remains open pending shipment of permanent records to ARMS and confirmation of the necessary improvements in records storage facilities to ensure that they are properly safeguarded.*

44. *The UNMIK Administration accepted recommendation 10 and stated that an evacuation plan for records in RAU storage is to be developed by end March 2010. Recommendation 10 remains open pending development and implementation of evacuation plan for records in RAU storage.*

E. Access to records

Access to KTA and Central Bank documents

45. Kosovo Trust Agency (KTA) was created by UNMIK Regulation 2002/12 to hold in trust and administer Socially Owned Enterprises (SOEs) and Public Owned Enterprises (POEs). KTA identified over 500 SOEs and privatized over 300 SOEs by June 2008. Twenty per cent of the proceeds from privatization were to be distributed to former staff of the affected SOEs. The KTA trust funds of Euro 450 million are held in KTA accounts with Central Banking Authority of Kosovo (CBAK).

46. However, the privatization of the SOEs resulted in claims and counter-claims contesting the ownership of the properties and names of former employees. The RAU was not granted access to KTA documents. Similarly, the RAU did not have access to CBAK records of the fiscal and monetary decisions

taken by UNMIK in its role of interim administration. Without copies or access to such records, UNMIK may not be in a position to justify the decisions taken or provide relevant and adequate information concerning the privatization of SOEs or fiscal and monetary decisions taken.

Recommendation 11

(11) The UNMIK Office of the Special Representative of the Secretary-General should negotiate access to the records of Kosovo Trust Agency and Central Banking Authority of Kosovo for the period that UNMIK functioned as interim administrator to ensure that the Mission makes copies of all relevant documents.

47. *The UNMIK Administration accepted recommendation 11 and stated that the RAU will raise the issue of an MOU with UNMIK Office of Legal Adviser to provide access to the records of these two agencies. The RAU will support the implementation of any MOU or other guidelines relating to the transfer and copying of interim administration records of successor agencies. Recommendation 11 remains open pending the implementation of an MOU with successor agencies to access records.*

F. Lessons learnt

Commencement of the archiving project

48. The task of archiving documents generated from inception of the Mission in 1999, commenced in February 2007. However, from 2005, the Mission initiated the transfer of competencies to the local successor authorities. In this regard, the Department of Civil Administration (municipalities and local institutions) had handed over most of the files to their counterparts without retaining copies. In addition, focal points and other concerned staff in the department left the Mission due to reconfiguration which resulted in loss of institutional memory and information about exact number of files handed over to the local successor authorities.

49. Similarly, the OSCE, which financed Pillar III of UNMIK (Democratization and Institution Building), had already handed over the records of Radio-Television Kosovo, Independent Media Commission, Ombudsperson Institution of Kosovo and Kosovo Judicial Institute to the successor authorities. Copies of these records were not retained since the handover took place before OSCE received UNMIK's instructions on archiving issued in February 2007. Timely implementation of ST/SGB/242 and issuance of guidelines on records management could have mitigated the gap in both cases.

Staffing Resources

50. The Secretary General's bulletin ST/SGB/242, dated 26 June 1991, requires Missions to establish permanent organization structures to perform the functions of records management and archiving. UNMIK established RAU only in June

2007. Prior to that date, the archiving function was performed under the supervision of the unit responsible for check-in and check-out.

51. The Mission did not allocate adequate resources in the budgets for the fiscal years 2007/08 and 2008/09 for the RAU. The Mission utilized posts borrowed from other sections to staff the Unit. In addition, the RAU faced a high vacancy rate during the period 2007 to March 2009 which was mainly attributed to the reconfiguration process. The local staff in the Unit also decreased by 30 per cent. Management explained that since the establishment of the Unit, UNMIK had difficulty in recruiting and retaining professional staff.

52. The high vacancy rate for the RAU contributed to weaknesses identified during the audit and hampered the progress of the archiving project. In addition, the Chief of the RAU identified various consequences and effects that the lack of resources had on productivity, efficiency and effectiveness of the RAU operations. These included loss of institutional memory, non-identification of risks to the mission with reference to records management and archiving, a lack of proper liaison with the decision and focal points, lack of training for mobile teams and staffs' general lack of awareness of requirements for records management and archiving. In OIOS' opinion, adequate staffing in the RAU could have ensured efficient and effective archiving operations.

Electronic Archiving

53. The Mission, through Information Circular No. 01/2008 dated 22 January 2008, decided that important records relating to interim administration would be photocopied and transferred to New York for archiving. At the start of the archiving project in 2007, the RAU estimated that 4 million files, approximately 50 million pages, were to be archived. Lack of an electronic archiving system at the Mission level slowed down the archiving project since the documents had to be photocopied, filed in a manila folder, packed in a box and then shipped to New York in a container. As at 20th March 2009, a total of 11 containers holding 3,408 boxes had been shipped to New York.

54. OIOS is of the opinion that electronic archiving could have been faster and less cumbersome. The Mission would have had the ability to verify completeness and accuracy of archived records. Furthermore, electronic archiving would have reduced the consumption of paper in its operations.

V. ACKNOWLEDGEMENT

55. We wish to express our appreciation to the Management and staff of UNMIK 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 UNMIK Office of Mission Support should ensure that archiving decision points identify and prioritize records for archiving in accordance with Peacekeeping Operations Retention Schedule to meet administrative, fiscal and legal requirements.	Compliance	High	O	Identification of focal and decision points to implement recordkeeping guidelines.	October 2009
2	The UNMIK Office of Mission Support should issue guidelines regarding handover of records before staff members check out of the Mission and ensure the guidelines are enforced effectively.	Compliance	Moderate	O	Issuance of revised guidelines regarding handover of records before staff check out of the Mission.	October 2009
3	The UNMIK Office of Mission Support should ensure that all staff members are adequately trained in all the relevant policies and guidelines regarding records management.	Human Resources	Moderate	O	Provision of training to record keeping focal points and staff working on transferring records to RAU.	Not provided
4	The UNMIK Office of Mission Support should issue guidelines for safeguarding records especially during closure or shifting of offices.	Operational	High	O	Issuance of revised guidelines for safeguarding records.	December 2009
5	The UNMIK Office of Mission Support should for the future ensure that faulty equipment is timely replaced in line with the contract provisions.	Operational	Moderate	C	Implemented.	11 September 2009
6	The UNMIK Office of Mission Support should ensure that a strategic plan for records management and archiving is developed on the basis of a survey of the workload, with explicit milestones and a defined scope of work.	Governance	Moderate	O	Development and implementation of a strategic plan on records management.	October 2009
7	The UNMIK Office of Mission Support	Compliance	Moderate	O	Development and implementation of the	Not provided

Recom. no.	Recommendation	Risk category	Risk rating	C/ O ¹	Actions needed to close recommendation	Implementation date ²
	should restore project monitoring mechanisms, either through appointing members to the working group or by delegating responsibility to a senior manager.				work and monitoring mechanism.	
8	The UNMIK Office of Mission Support should institute and implement a quality control mechanism to review quality of copies and ensure completeness of records.	Compliance	Moderate	O	Provision of training in the use of new photocopying machines and monitoring the quality of copies.	Not provided
9	The UNMIK Office of Mission Support should ensure adequate safety and security of records by instituting measures such as provision of fire alarms, smoke detectors and intrusion detection instruments which should be linked to the security office.	Safety and security	High	O	Shipment of permanent records to UN ARMS and safeguarding records storage facilities.	March 2010
10	The UNMIK Office of Mission Support should adopt an evacuation plan and arrange appropriate storage facilities at the backup site.	Safety and security	High	O	Development and implementation of evacuation plan for records in RAU storage.	March 2010
11	The UNMIK Office of the Special Representative of the Secretary-General should negotiate access to the records of Kosovo Trust Agency and Central Banking Authority of Kosovo for the period that UNMIK functioned as interim administrator to ensure that the Mission makes copies of all relevant documents.	Operational	High	O	Implementation of an MOU with successor agencies to access records.	Not provided

1. C = closed, O = open

2. Date provided by UNMIK in response to recommendations.

ANNEX 2

*Use this page if the orientation of Annex 2 is portrait. If the orientation is landscape, insert a section break at the end of Annex 1 and continue on the new page. (On the **Insert** menu, point to **Break**, select **Next page** under **Section break types**.) Leave the page blank if not required; do not delete it.*