

ANNEX I
SUMMARY OF RECOMMENDATIONS

Audit of UNHCR human resources management functions outposted to the Global Service Centre

Para. no.	Recommendation	Accepted? (Yes/No)	Implementation date	Client comments
18	The UNHCR Personnel Administration and Payroll Section (PAPS) management should put in place a formal mechanism to assess PAPS staff training needs and should translate these needs into a training plan	Yes	Ongoing	<p>The UNHCR Personnel Administration and Payroll Section (PAPS) has, since its move from Geneva to Budapest in January 2008, held 38 internal training events for its own staff, as described in the text below. PAPS also held two Training Needs Assessment surveys for the PAPS staff, i.e. mid-2008 and mid-2010, based on which further training needs of staff have been identified. In addition PAPS launched the Needs Assessment Survey in May 2011, results of which are expected to be reviewed within the next few weeks.</p> <p>All PAPS newly recruited staff undergo a one week HR Induction Training and one week MSRP HR Induction training in the first weeks of their employment with UNHCR. The majority of staff members have been hired between October 2007 and March 2008 and the above described training sessions were provided to each of them.</p> <p>Following the general trainings, there was an evident and continuous need to train the newly recruited staff. The Training Needs Assessment Survey (NAS) for PAPS staff was then first <u>conducted in May/June 2008, allowing for the identification</u> of the critical topics for PAPS Staff. The full account of the 2008 NAS is described in detail in two attached documents “Training activities Summary for May 2008 and June 2008”. Following the NAS and continuous discussions with PAPS staff and management, <u>during 2008, a total of 28 training sessions</u> were provided to PAPS staff in Budapest (full list entitled “CALENDAR OF PAPS TRAINING EVENTS 2008/2009” is attached</p>

			<p>to this summary).</p> <p>The efforts continued in 2009, where PAPS kept implementing the training plan following the NAS. In 2009 a total of 10 HR training sessions were provided to PAPS staff in Budapest. In addition, in 2009 there was a roll-out of PAMS, the new performance management tool for the Organization. <u>Five PAPS staff members participated in PAMS train the trainers programme</u> and jointly with other selected GSC colleagues delivered the PAMS training sessions for 192 staff members of Global Service Center.</p> <p>After spending 2008 and 2009 in focusing on building up the capacity of PAPS own staff, in 2010 PAPS shifted its focus to capacity building of the Field Operations (A total of 176 field based staff were trained by PAPS in 2010). Within this process, PAPS continued to enhance the knowledge and skills of its internal trainers for the 9 newly developed HR training programmes for the various groups of staff of the Organization. <u>All 26 trainers participated in two Train the Trainers learning programme in April and in June 2010.</u></p> <p>The new Needs Assessment Survey (NAS) for PAPS staff was launched in June 2010. The results of the NAS were announced in the October 2010 meeting of trainers with a view to launching the internal training sessions to the staff members as of last quarter of 2010. The table of identified topics is herewith attached. <u>The most critical training for Volsep and Agreed terminations was organized in July 2010.</u> In addition, in 2010 all the newly recruited staff in PAPS have received the induction HR training.</p> <p>In May 2011, PAPS launched the new Needs Assessment Survey to identify whether the topics of interest identified through the NAS in 2010 still remain the priority. Following the analyses of the</p>
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				results of the NAS, expected to be available within the next few weeks, PAPS will make it a priority to deliver the necessary training sessions to its own staff during the next 12 months period.
22	The UNHCR Personnel Administration and Payroll Section (PAPS) management should develop guidance for staff in PAPS in order to clarify to PAPS staff the roles and responsibilities of the Policy Section and the Legal Affairs Section over interpretations of human resources rules and regulations.	Yes	31 December 2011	PAPS, in consultation with Director of DHRM, the HR Policy Section and the Legal Affairs Section, will develop appropriate guidelines which will be then disseminated among PAPS, LAS and Policy Section staff.
27	The UNHCR Personnel Administration and Payroll Section (PAPS) should review and revise the formal delegation of authority document for human resources related questions (currently IOM/FOM 079/2003). The review should reflect the actual delegation of authority as per the implementation of new policies and procedures and the need for this delegation to be monitored at field level to ensure that it is used appropriately	Yes	31 December 2011	PAPS, under the lead of the HR Policy Section, will provide inputs for the drafting of the updated IOM-FOM relating to the Delegation of Authority.
32	The UNHCR Division of Human Resources Management (DHRM) management, in consultation with the Personnel Administration and Payroll Section (PAPS) and Career Management Support Section (CMSS), should review the current questionnaires in place. This review should clarify roles and responsibility with respect to collecting information from staff leaving the organization, and allocate the necessary resources for conducting them and undertaking the necessary analysis and follow up action.	Yes	31 December 2011	Having taking note that the Audit confirms that PAPS has put in place a control framework for performance measurement, it is acknowledged that additional work and follow up is required in respect of the exit questionnaire. While then stressing that the exit questionnaire is not a tool managed by PAPS, DHRM confirms that the questionnaire will be reviewed and that resources will be allocated for the analysis and follow up of the response received from former staff members.
35	The UNHCR Personnel Administration and Payroll Section (PAPS) should put in place an effective control mechanism to ensure that, in the absence of workflow in the MSRP Human Resources module, entries have been approved at the right level of authority.			This recommendation reiterates to a certain extent the recommendation already provided by the auditors in December 2008 during the audit of the MSRP HR Module. In this respect, PAPS has been analyzing in detail how such a recommendation could be implemented at no additional costs and without making heavier the current HR/MSRP audit process. The following process is then proposed for which,

				however, a DIST feasibility analysis has not yet been received. MSRP HR auditors would receive the audit reports through their MSRP HR Work list, instead of receiving them via e-mail. The auditors would receive a notification e-mail about the new item received in their MSRP HR Work list, based on which they would know that they have to log in MSRP HR module, check the Work list, open the daily audit report, take the necessary action and finally log out from the Work list by clicking the "Mark Worked" button; in doing so, they will take full responsibility for the correctness of the data entry that is listed in the audit report. Should the auditors agree with this process and subject to a positive technical reply from DIST, the new procedure will be implemented as soon as the enhancement request in the MSRP module is implemented by DIST.
38	The UNHCR Personnel Administration and Payroll Section (PAPS) should put in place a database to enable storage, tracking and analysis of mission recommendations and their implementation	Yes	31 December 2011	PAPS has created, since 2009, a mission checklist to guide colleagues undertaking missions to the Field in reviewing/addressing all major HR issues. Further, since 2010, colleagues have been encouraged to prepare mission reports in a coherent manner and to follow a standard formula. The guiding principles are the preparation of a precise but at the same time concise report with, as an annex, a table reporting the major recommendation (agreed upon with the field colleagues during the mission), along with time-frame for follow-up. Then and in full agreement with this recommendation, more detailed guidelines will be issued on report drafting along with clear instructions on the follow-up system and the final summary on non compliance. Such reports shall be filed in live link under "missions" and the responsible Officer will be assigned with the task in ensuring that follow-up with operation takes place. Best practices, lessons learnt, and shortcomings, once identified, shall guide PAPS in conducting more focused trainings.
41	The UNHCR Personnel Administration and Payroll Section (PAPS) should put in place self-certification	Yes	30 September 2011	Although occasional ad-hoc requests were made to staff who exercised the lump sum travel option to

	spot checks of lump sum travel payments to confirm that staff have complied with rules and payment has been used for the intended purpose of the travel.			provide supporting documents in addition to the self-certification, PAPS has not yet introduced systematic spot checks to confirm that staff have complied with applicable rules and that payment has been used for the intended purpose of the travel. Then, PAPS will issue to all PAAs instructions on how to randomly audit compliance. By using the existing table in the Live link listing all issued travel authorizations, the Data Management Sub-Unit will select randomly at the end of each semester, ten per cent of the staff members having undertaken statutory travel with the lump-sum option and will request relevant PAAs to approach the staff members and request provision of supporting documentation, to be provided within 30 days from the request. In the absence of a reply or in case of receipt of documentation not in conformity with the travel authorization, the lump-sum will be recovered. In circumstances where it is presumed that a staff member may have intentionally misused the entitlement, the case will then be referred to IGO following consultation with the Director of DHRM. The authority to proceed with a recovery and/or refer the case to the IGO is with the Chief of PAPS. The first round of spot checks will take place in July 2011.
42	The UNHCR Personnel Administration and Payroll Section (PAPS) should review and amend IOM/FOM 037/2006 with procedures for follow-up of travel claims not submitted within the time limit. These procedures should include tracking receipt of travel claims and action to be taken when claims are not received within 60 days, and action required for missing travel claims.	Yes	30 September 2011	The recommendation is acceptable in terms of the need for PAPS to put in place the necessary procedure to track receipt of travel claims/self-certifications, so as to ensure follow up in case of delay and action where recovery needs to be initiated. For this purpose, a mechanism will be established to duly prompt administrators to follow upon non-submission of travel claim/self certification once travel is completed. For this purpose, PAPS will again use (see above) the existing table in Live link listing all issued travel authorizations. However, Addendum 3 to the IOM/FOM/037/2006 has already established in its paragraphs 7-8, very clear guidelines on the procedure to be followed which is summarized as follows: where travel claim/self-certification is not received within 30

				days following completion of travel, a reminder is sent to the concerned staff members, which will only give additional 30 days for either submission of the travel documentation or provision of satisfactory justification for their non-submission, absence of which will prompt the recovery of the related amount from their next salary. In view of this, PAPS does not retain necessary to review and amend IOM/FOM/037/2006.
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