

**Confidential**

TO: Mr. Gurpur Kumar, Deputy Director,  
A: Internal Audit Division,  
Office of Internal Oversight Services

DATE: 16 May 2011

REFERENCE:

THROUGH:

S/C DE:

FROM: Anthony Banbury, Assistant Secretary-General  
DE: for Field Support



SUBJECT: **Draft OIOS report on the audit of strategic planning for ICT**  
OBJET: **requirements in the Information and Communications Technology**  
**Division of the Department of Field Support – Assignment no.**  
**AP2010/615/1**

1. I refer to your memorandum dated 11 April 2011, regarding the above-mentioned audit. Please find attached our comments on the recommendations and issues contained in the draft report.
2. Thank you for the opportunity to comment on the draft report. We stand ready to provide any further information that may be required.

cc: Mr. Soon-hong  
Ms. Burns  
Ms. Wong

**RESPONSE AND IMPLEMENTATION OF RECOMMENDATIONS**  
**Assignment No. AT2010/6/15/1 – Audit of strategic planning for ICT requirements in the ICTD/DFS**

Annex 1

Para. no.	Recommendation	Risk category	Risk rating	Accepted (Yes/No)	Implementation date	Client Comments
20	DFS/ICTD, in consultation with OICT, should establish coordination mechanisms for ensuring clear alignment of their respective ICT strategic plans in support of the knowledge management programme. This process should include an analysis and agreement on ICT priorities, goals, dependencies, roles and accountabilities between the respective offices.	Strategy	Medium	Yes	Q3 2011	As stated in paragraph 18 of the report, ICTD and the OICT created strategic plans based on mutual consultations. The report also notes that the ICTD strategy is in line with, and in fact, a manifestation of the OICT knowledge management strategy. This recommendation relates to knowledge management and how ICTD supports knowledge management by providing infrastructure and technologies, rather than leadership in this area. DPKO's Information Management Unit (IMU) takes a leading role in this discipline. In addition, OICT is working on enterprise solutions in this area (Enterprise Content Management). The Director of ICTD will work closely with OICT and DPKO's IMU on this issue. The next strategic guidance for the field will be issued in June 2011 and will include a linkage with the Secretariat's knowledge management programme.
25	DFS/ICTD should: i) document in its annual strategic goals its roles and initiatives for supporting the implementation of the information management strategy of DFS/DPKO; and ii) establish clear linkages between strategic objectives, outputs and planned	Strategy	Medium	Yes	Q1 2012	The Director of ICTD will ensure that ICTD's annual strategic goals include its role and initiatives in supporting the implementation of the information management strategy of DPKO/DFS and that these are also made clearer in future guidance to the field. Linkages between the

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	initiatives.					strategic objectives, outputs and planned initiatives will be developed as a corollary.
26	DFS/ICTD, in coordination with OICT and the ERP/UMOJA Project, should review the current and future initiatives on threat assessment, strategic management and asset management, to ensure alignment and avoid duplications with the ERP/UMOJA system.	Governance	Medium	Yes	Q3 2011	ICTD and OICT are working very closely with the UMOJA team, both at a strategic level as well as on a day to day basis, to ensure alignment at all levels and avoid duplication in these areas. However, ICTD will conduct a further review with the OICT and the UMOJA team to be completed in the 3 <sup>rd</sup> quarter of 2011.
30	DFS/ICTD, in coordination with OICT, should develop a comprehensive information architecture model ensuring that the information requirements of peacekeeping operations are adequately addressed. The model should define the flow of information and the basic structure, content, and relationships of the applications and systems employed to process the data needed in support of DFS operations.	Information Resources	Medium	Yes	Dependent on implementation of Secretariat-wide architecture.	ICTD has been working closely with OICT on a Secretariat-wide architecture. The DPKO/DFS Information Architecture will be formulated as an integrated component of the Enterprise Architecture of the United Nations Secretariat which will cover business, information, solutions and technology alignment. ICTD has been engaging OICT and has expressed its commitment to work together when the Secretariat's Enterprise Architecture activity commences.
32	DFS/ICTD should develop and implement procedures for monitoring and enforcing the adoption of the ICT standards.	Information Resources	Medium	No	N/A	ICTD complies with the ICT standards established by OICT. ICTD participates in the Information and Communications Technology Board Policies and Standards meeting held on a quarterly basis by OICT to review ICT standards for services and equipment. It also disseminates the minutes of these meetings as well as provides guidance to all field missions on systems contracts and standardization issues. ICTD

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35	DFS/ICTD should adequately justify the use of contractors for technical support of DPKO/DFS core operations at headquarters and the field.	Information Resources	Medium	No	N/A	<p>monitors and enforces the ICT standards through various mechanisms such as: (a) technical approval of local procurement authority for ICT resources that are not included in established System Contracts; (b) Approval of ICT initiatives exceeding thresholds established in the . ICT governance structures for field missions – see attached guidance to field missions; (c) review and monitoring of missions ICT acquisitions in the Galileo system; (d) field visits to missions; and (e) Training during the annual ICT conference. Based on the explanation provided, we suggest that the recommendation be closed.</p> <p>DFS wishes to clarify that only UNOPS and UNICC are utilized for core ICT functions. UNOPS and UNICC personnel are United Nations staff and not commercial contractors. As such, they are subject to the same regulatory oversight as Secretariat staff. In addition, the usage of these personnel is explicitly disclosed in the budget submissions that are reviewed and approved by the General Assembly (please see paragraphs 352 through 357 of the Secretary-General's report, A/65/761 on the budget for the support account for peacekeeping operations for the period from 1 July 2011 to 30 June 2012).</p>