TO: Mr. Jasbir Lidder,
A: Deputy Special Representative of the Secretary-General,
United Nations Mission in Sudan (UNMIS)

DATE: 1 November 2011

REFERENCE: IAD: 11-00660

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

SUBJECT: **Assignment No. AP2011/632/19 – Audit of archiving and records management in UNMIS**
OBJET: **Overall results relating to the effective archiving and records management in UNMIS were satisfactory**

1.   Attached please find the final report on the above-mentioned audit.

2.   The audit identified an opportunity for improvement (see Annex). While OIOS will not report on the implementation of this opportunity, we encourage you to implement it to improve the efficiency and effectiveness of your operations.

3.   Please note that under General Assembly resolution 59/272, a Member State may request that the final report be made available. Also note that pursuant to General Assembly resolution 64/263, OIOS has included the complete management response as an appendix to the present report.

4.   We wish to express our appreciation to the Management and staff of UNMIS for the assistance and cooperation extended to the auditors during the assignment.

cc: Mr. Nicolas Von Ruben, Director of Mission Support, UNMIS
      Mr. Paul McNeill, Senior Administrative Officer, UNMIS
      Mr. Clark Toes, Chief, Department of Field Support Liquidation Team
      Ms. Susanne Frueh, Executive Secretary, Joint Inspection Unit
      Mr. Swatantra Goolsarran, Executive Secretary, UN Board of Auditors
      Mr. Seth Adza Chief Audit Response Team, DFS
      Mr. Moses Bamuwamye, Executive Secretary, IAAC
      Mr. Zachary Ikiara, Chief, Oversight Support and Coordination Unit, DM
      Mr. Byung-Kun Min, Special Assistant to the USG-OIOS
      Ms. Eleanor T. Burns, Chief Peacekeeping Audit Service, OIOS
      Ms. Amy Wong, Programme Officer, Internal Audit Division, OIOS

FINAL AUDIT REPORT

Audit of archiving and records management in UNMIS

BACKGROUND

By resolution 1997, the Security Council mandated the liquidation of the United Nations Mission in Sudan (UNMIS), effective 11 July 2011 with a deadline for completion by 15 December 2011. The Mission's liquidation plan required the completion of the archiving of records by 31 August 2011.

The Information Records Management Unit, comprised of eight staff and headed by an Information Management Officer was responsible for ensuring records were archived. In order to achieve this, UNMIS had implemented the Total Records and Information Management system (TRIM) in February 2011, and sections/offices were encouraged to digitize and upload records in TRIM prior to shipping hard copies to United Nations Archives and Records Management Section in New York (UN ARMS). By mid-August 2011 some 200,000 records were uploaded in TRIM.

This audit was included in OIOS 2011 risk-based work plan due to the liquidation of the Mission, and the importance of ensuring procedures were in place to safeguard confidential and vital records of UNMIS.

OBJECTIVE AND SCOPE

The audit was conducted to assess the adequacy and effectiveness of risk management, control and governance processes of UNMIS in providing reasonable assurance regarding the effective management of the archiving and records management process. The key control tested for the audit included that related to regulatory framework. The audit covered the period from 1 January 2011 to 24 August 2011.

AUDIT RESULTS

In the opinion of OIOS, risk management, control and governance processes examined in UNMIS were **satisfactory** to provide reasonable assurance regarding its effective management of the archiving and records management process. UNMIS had provided sufficient training and guidance to staff responsible for archiving records, and although there were some minor errors and losses of data, in general UNMIS confidential and vital records have been adequately safeguarded. UNMIS had not developed a policy of approving the destruction of records to mitigate against the loss of valuable information. *UNMIS took note of the observations of OIOS, and stated that it will add value to the procedures established in the United Nations Mission in South Sudan.*

ACKNOWLEDGEMENT

OIOS wishes to express its appreciation to the Management and staff of UNMIS for the assistance and cooperation extended to the auditors during this assignment.

CONTENTS

I. INTRODUCTION

1. The Office of Internal Oversight Services (OIOS) conducted an audit of archiving and records management in the United Nations Mission in Sudan (UNMIS). Comments made by UNMIS are shown in *italics*.

II. AUDIT OBJECTIVE

2. The audit was conducted to assess the adequacy and effectiveness of risk management, control and governance processes of UNMIS in providing reasonable assurance regarding the effective archiving and records management process. The key controls tested for the audit related to regulatory framework. For the purpose of this audit, OIOS defined regulatory framework as controls that are designed to provide reasonable assurance that policies and procedures exist to guide the operations of archiving and managing records.

III. AUDIT SCOPE AND METHODOLOGY

3. OIOS conducted this audit in August 2011. The audit covered the period from 1 January 2011 to 24 August 2011.

4. To gain an understanding of the current practices, processes and activities of archiving and records management in UNMIS, OIOS interviewed information and records management staff, assigned focal points for archiving documents, and visited the archiving container in Khartoum where all documents were held prior to shipment to United Nations Archives and Records Management Section (ARMS) in New York. OIOS reviewed documents including policies and procedures relating to archiving and records management including the Peacekeeping Operations Retention Schedule (PORS), the UN ARMS record keeping toolkit for peacekeeping operations, and the Department of Field Support (DFS) Liquidation Manual. An activity level risk assessment was conducted to identify and evaluate specific risk exposures, and to confirm the relevance of the selected key control in mitigating the associated risks.

5.   Through interviews, analytical reviews and tests of controls, OIOS assessed the existence and adequacy of policies and procedures, and whether they were implemented consistently.

IV. OVERALL ASSESSMENT

6.   In the opinion of OIOS, risk management, control and governance processes examined in UNMIS were **satisfactory** to provide reasonable assurance regarding its effective archiving and records management process. UNMIS had provided sufficient training and guidance to staff responsible for archiving records, and although there were some minor errors and loss of data, in general UNMIS confidential and vital records have been adequately safeguarded. UNMIS had not developed a policy of approving the destruction of records to mitigate against the loss of valuable information. *UNMIS took note of the observations of OIOS, and stated that it will add value to the procedures established in the United Nations Mission in South Sudan.*

V. AUDIT RESULTS

Archiving of documents was carried out effectively

7.   The Information Records Management Unit (IRMU) provided information on archiving to all UNMIS staff through information circulars. There were also four training sessions provided to 56 representatives/focal points as required by the DFS Liquidation Manual. In addition, IRMU trained all 113 users of the Total Records and Information Management (TRIM) system.

8.   A review of documents that had been scanned and up-loaded into TRIM noted that there were some discrepancies in two of 30 records reviewed. Also, colored records were not legible in TRIM, as the feature to allow this was not activated by staff members using it. Also, a review of 60 documents from 15 of 31 sections noted that UNMIS complied with its PORS schedule for the destruction of documents. In addition, a procedure was put in place to assure confidentiality of documents (political, military, medical records, etc.), with restricting access to these documents to dedicated focal points during the scanning process.

9.   The following was also noted:

- From a sample of 20 boxes from the 250 boxes waiting to be shipped to UN ARMS, five of them did not have the required standard archives transfer form. However, an itemized list of box contents was submitted to UN ARMS that allowed them to properly file the records.

- There was a power outage in May 2011 affecting the TRIM server. TRIM data was lost, and documents had to be re-scanned. To address the loss of documents reoccurring, UNMIS installed a back-up server to safeguard data in event of another power outage.

UNMIS digitalized its sensitive and vital records and shredded the hard copies

10.   The Chief of Staff decided, after consultation with UNMIS' Legal Adviser, to scan sensitive and vital documents belonging to the Offices of the Chief of Staff and the Special Representative of the Secretary-General (SRSG) and up-load them in the TRIM system. Hard copies belonging to the Offices of the Chief of Staff and the SRSG were shredded to mitigate the risk of United Nations confidential and vital records being compromised.

The formal destruction approval process for documents could be improved

11.   UNMIS had not developed a policy for destroying records. This could have ensured that destruction of documents was approved to prevent loss of valuable information. While OIOS noted general compliance with PORS, **a formal destruction policy for documents would have assisted staff on the process of destroying documents that did not need to be archived.** *UNMIS agreed and stated that this audit will add value to the United Nations Mission in the Republic of South Sudan.*

Outstanding archiving recommendations were implemented

12.   During the audit of public information programme in UNMIS, OIOS recommended that the Mission should ensure that necessary measures were taken to maintain a fully catalogued archive of all public information products/materials before the liquidation of the Mission. OIOS recommendation had been implemented.

ANNEX
OPPORTUNITIES FOR IMPROVEMENT
Audit of archiving and records management in UNMIS

Para. No.	Opportunity for improvement	Client's comments
11.	A formal destruction policy for documents would have assisted staff on the process of destroying documents that did not need to be archived.	*UNMIS stated that they agree with the report's conclusion and believe that this audit will have value to their successor mission, UNMISS.*