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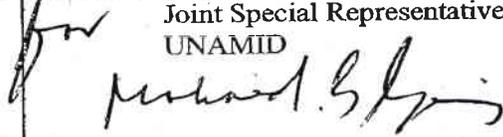
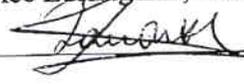
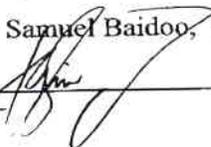
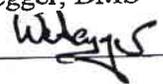
African Union – United Nations Hybrid Operation in Darfur

03 OCT 2011

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Date: 03 October 2011

To: Ms. Eleanor T. Burns, Chief, Peacekeeping Audit Service Internal Audit Division, OIOS	From: Ibrahim Gambari Joint Special Representative UNAMID 	
Info: Mr. Dagfinn Knutsen, Chief OIOS Resident Auditors UNAMID		
Fax No. : +1-212-963-3388	FAX NO: 7-2707, 192-3594	
Subject: <u>Assignment No. AP2010/634/01- Audit of Recruitment of National Staff in UNAMID</u>		
Total Number of Transmitted Pages including this Page: 11		
<p>1. With reference to your interoffice memorandum dated 03 September 2011 on the above subject matter, we hereby confirm receipt of your draft report on the Audit of Recruitment of National Staff in UNAMID. We are pleased to provide, attached, our comments and estimated target date for full implementation with name and title of individual responsible for full implementation of each accepted recommendation, as per your request, for your review and further action.</p> <p>2. Thank you and best regards.</p>		
Drafted By:	Through:	Cleared By:
Beatrice Lushugurhi, AAO 	Samuel Baidoo, Act. SAO 	Wolfgang Weiszegger, DMS 

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ANNEX I
SUMMARY OF RECOMMENDATIONS
Audit of recruitment of national staff in UNAMID

Para. no.	Recommendation	Risk rating	Accepted? (Yes/No)	Implementation date	Client comments and Responsible staff
19.	UNAMID should develop Mission-specific standard operating procedures for national staff recruitment that clarifies the roles of staff responsible for recruitment and procedures to be followed, including for monitoring compliance with United Nations staff regulations and rules.	Important (medium)	Yes.	10 October 2011	Based on framework FPD guidelines of national recruitment UNAMID had prepared mission specific SOP which is to be endorsed by CAS and DMS by October 10, 2011. (Haris Pajtic, CNSU)
21.	UNAMID should ensure that all staff assigned responsibilities in staff recruitment and promotion are provided adequate on-the-job training, as well as formal training on recruitment procedures and practices to be able to carry out functions effectively. Assistance from DFS should be sought.	Important (medium)	Yes	30 December 2011	Senior HR staff will prepare module for in-house training that will enhance knowledge of all staff administering national recruitment process. The emphasis will be given to all regions with full recruitment delegation and improvement of communication with HQ. (Haris Pajtic, CNSU) Furthermore, UNAMID Training section will prepare and deliver training to all stakeholders and SAUs that are involved in recruitment of national staff (Haris Pajtic, CNSU, Omwunwi OMO, CTS)
24.	UNAMID should ensure that the Individual Contractor (ICs) recruitment process adheres to the provisions of the DPKO/DFS HR Handbook and relevant Administrative Instructions. Also, ICs should not be extended beyond the limits set out in those guidelines and instructions.	Important (medium)	Yes	30 June 2012	UNAMID will follow the guidelines in the HR Handbook on employment of ICs and will ensure adherence to the limit of 9 months of service within one calendar year. (Imtiaz Hussain, CAS, Doris Munoko, CCPO, Haris Pajtic CNSU)

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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. Ibrahim Gambari, Joint Special Representative
A: African Union-United Nations Hybrid Operation in Darfur

DATE: 3 September
2011

REFERENCE: IAD: 11-

FROM:  Eleanor T. Burns, Chief, Peacekeeping Audit Service
DE: Internal Audit Division, OIOS

SUBJE: Assignment No. AP2011/634/01 – Audit of the recruitment of national staff in UNAMID

CT: Overall results relating to recruitment and promotion policies and procedures were
OBJET: unsatisfactory

1. Attached please find the draft report and audit results on the above-mentioned audit.
2. We would appreciate receiving your comments by 2 October 2011 in Annex-I. Please comment on each recommendation and provide an action plan with a target date and the title of the individual responsible for full implementation of each accepted recommendation. OIOS will monitor these target dates and report on them to the Secretary-General annually for important recommendations (nos.1 to 3). Unaccepted recommendations may be escalated as necessary up to the level of the Secretary-General for agreement or intervention prior to finalizing the audit report.
3. Please note that under General Assembly resolution 59/272, a Member State may request that the final audit report be made available. It is therefore important that we receive your comments and clarifications, including confirmation of factual accuracy, prior to finalizing the results. Also note that pursuant to General Assembly resolution 64/263, OIOS will include the complete management response as an annex to the final report.

cc: Mr. Mohamed Yonis, Deputy Joint Special Representative for Operations and Management, UNAMID
Mr. Wolfgang Weiszegger, Director of Mission Support, UNAMID
Ms. Doris Munoko, Officer-in-Charge, Human Resources, UNAMID
Mr. Dagfinn Knutsen, Chief Resident Auditor, OIOS
Ms. Beatrice Lushugurhi, Audit Focal Point, UNAMID

DRAFT AUDIT REPORT

Audit of the recruitment of national staff in UNAMID

BACKGROUND

The African Union-United Nations Hybrid Operation in Darfur (UNAMID) is the United Nations' largest peacekeeping mission. An effective human resources management function is critical for UNAMID to achieve its mandate.

Recruitment and promotion of national staff is the responsibility of the National Staff Unit (NSU), part of the Human Resources Section (HRS). The NSU is headed by a P-4 and reports to the Chief Administrative Services (CAS). Recruitment of local staff is decentralized to different sectors across the Mission area. As at February 2011, the NSU was composed of 21 international staff and 28 national staff. The staff of NSU was divided into five recruitment groups, each headed by a team leader. Table 1 below shows the human resources budget and staffing for the fiscal year 2010/11.

Table 1: UNAMID HR budget and staffing levels for the 2010/11 financial period

Categories	Budget (\$000)	Authorized posts	On board as at December 2010	Deployment percentage
International staff	261,836	1,542	1,095	71
National staff	65,731	3,358	2,841	85
Total	327,567	4,900	3,936	80

OBJECTIVE AND SCOPE

The audit was conducted to assess the adequacy and effectiveness of UNAMID's risk management, control and governance processes in providing reasonable assurance that UNAMID managed its national staff recruitment process in compliance with United Nations staff regulations, rules and procedures. The key control tested for the audit was recruitment and promotion policies and procedures. The audit covered the period 1 January 2009 to 31 December 2010.

AUDIT RESULTS

In OIOS' opinion, UNAMID's risk management, control and governance processes examined were **unsatisfactory** to provide reasonable assurance that UNAMID managed the national staff recruitment process in compliance with United Nations staff regulations, rules and procedures.

Mission-specific standard operating procedures

The Departments of Peacekeeping Operations (DPKO) and Field Support (DFS) had promulgated standard operating procedures (SOPs) to manage human resources, including recruitment. However, many of the staff interviewed by OIOS did not have a copy of the procedures. Also, UNAMID had not developed Mission-specific SOPs taking into account the unique operating environment in Darfur to guide staff in their roles and responsibilities. The lack of guidance to staff, as well as their inexperience in the recruitment process resulted in non-compliance with a number of recruitment policies and procedures, as follows:

- Vacancy announcements were developed and posted outside Mission's camps. However, they were not widely disseminated internally within the Mission through Political Affairs, Human Rights, Civil Affairs and Rule of Law Sections' outreach activities to attract as many qualified candidates as possible.
- In 32 of 192 recruitment cases examined, there was no evidence that all applicants were considered for shorted-listing on criteria agreed by the programme managers. In 19 cases, applicants who did not meet the minimum requirements for the posts were short-listed, interviewed and selected.
- There was insufficient evidence that all applicants selected for posts were interviewed. Of the 192 recruitment cases reviewed: (a) in 16 cases, interview forms were not signed by the panel members; and (b) in 30 cases there was no evidence that interviews had been conducted. Also, for technical positions such as language assistants, vehicles mechanics, etc, no tests were carried out to ensure that candidates had the necessary expertise and skills.
- In general, reference checks to verify work experience and academic qualifications were not done for national staff position. The NSU informed OIOS that it was difficult to obtain formal reference checks due to the Mission's operating environment. UNAMID had not considered finding alternative options to validating staff-on-board's credentials.
- The Mission had not established a Mission Review Board to oversee the recruitment process and ensure fairness and transparency in the recruitment process.

(1) UNAMID should develop Mission-specific standard operating procedures for national staff recruitment that clarifies the roles of staff responsible for recruitment and procedures to be followed, including for monitoring compliance with United Nations staff regulations and rules.

Staff experience and training

A review of the background and experiences of 29 of 49 NSU staff involved in recruitment showed that 27 of them had little or no recruitment experience prior to taking up the function. Also, most NSU staff had not received any formal training on their roles and responsibilities.

(2) UNAMID should ensure that all staff assigned responsibilities in staff recruitment and promotion are provided adequate on-the-job training, as well as formal training on recruitment procedures and practices to be able to carry out functions effectively. Assistance from DFS should be sought.

Individual Contractors

A review of 43 Individual Contractors (ICs) case files noted that many of them were transferred directly from a former contractor without going through the competitive process. Also, essential documents such as personnel history forms and education certificates were not available for 34 of the 43 cases reviewed. Moreover, the nine-month limit on the retention of ICs had not been followed. All 43 cases reviewed showed that ICs were employed for periods ranging from 13 months to up to 27 months. UNAMID had implemented a system to employ ICs for three out of four weeks each month throughout

the year. The Mission was thus exposed to potential legal actions, as ICs employed over the stipulated time frame are not covered by health insurance.

(3) UNAMID should ensure that the Individual Contractor (ICs) recruitment process adheres to the provisions of the DPKO/ DFS HR Handbook and relevant Administrative Instructions. Also, ICs should not be extended beyond the limits set out in those guidelines and instructions.

ACKNOWLEDGEMENT

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

CONFIDENTIAL – DRAFT AUDIT RESULTS

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CONFIDENTIAL – DRAFT AUDIT RESULTS

I. INTRODUCTION

1. The Office of Internal Oversight Services (OIOS) conducted an audit of the recruitment of national staff in the African Union-United Nations Hybrid Operations in Darfur (UNAMID).

II. AUDIT OBJECTIVE

2. The audit was conducted to assess the adequacy and effectiveness of UNAMID's risk management, control and governance processes to provide reasonable assurance that UNAMID managed the national staff recruitment process in compliance with United Nations staff regulations, rules and procedures. The key control tested for the audit was recruitment and promotion policies and procedures, which are those controls designed to provide reasonable assurance that policies and procedures exist and are adhered to.

III. AUDIT SCOPE AND METHODOLOGY

3. OIOS conducted the audit from March to June 2011 in accordance with the International Standards for the Professional Practice of Internal Auditing promulgated by the Institute of Internal Auditors. Out of 632 recruitments completed during the period, OIOS reviewed 192 files representing 30 per cent. The audit covered the period 1 January 2009 to 31 December 2010.

4. To gain an understanding of UNAMID's recruitment and promotion policies and procedures, OIOS reviewed the United Nations staff regulations and rules, Administrative Instructions, the Departments of Peacekeeping Operations and Field Support (DPKO/DFS) Human Resources (HR) Handbook and DPKO/DFS standard operating procedures (SOPs) on managing human resources. OIOS also interviewed staff from National Staff Unit (NSU), members of the UNAMID National Staff Union, and reviewed national staff members' recruitment files. An activity-level risk assessment to identify and evaluate specific risk exposures and to confirm the relevance of the selected key control in mitigating the associated risks was also conducted.

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

IV. OVERALL ASSESSMENT

6. In OIOS' opinion, UNAMID's risk management, control and governance processes examined were **unsatisfactory** to provide reasonable assurance that UNAMID managed the national staff recruitment process in compliance with United Nations staff regulations, rules and procedures. There were a number of control weaknesses including the lack of use of existing policies and procedures related to recruitment by the HCU staff involved in recruitment and lack of staff with the experience and skills to perform the function, which negatively impacted the effective implementation and management of UNAMID's national staff recruitment.

CONFIDENTIAL – DRAFT AUDIT RESULTS**V. AUDIT RESULTS****A. Recruitment and promotion policies and procedures****Recruitment policies and procedures were inadequate**

7. DPKO/DFS had promulgated standard operating procedures (SOPs) to manage human resources, including recruitment. However, many of the staff interviewed by OIOS did not have a copy of the procedures. Also, UNAMID had not developed Mission-specific SOPs that take into account the unique operating environment in Darfur. Due to this, as well as lack of adequate expertise in HRS and training of staff as referred to below, UNAMID was not always complying with the required recruitment process.

There were lapses in procedures for preparing and advertising vacancies

8. Programme managers are responsible for formally requesting a vacancy announcement (VA) to be prepared and advertised. A standard template was available for making such a request. Once the VA is prepared, it should be widely advertised in order to attract as many qualified candidates as possible.

9. In 105 cases of 192 recruitment files reviewed, there was no evidence on file that concerned programme managers had formally requested that VAs be prepared and advertised. Moreover, VAs were not widely advertised across the Mission Area instead they were only posted outside of the Mission's camps, and not transmitted to Political Affairs, Human Rights, Civil Affairs and Rule of Law Sections outreach activities to ensure that they reached a wider audience. Also, of the 192 VAs reviewed, 23 did not contain the required gender disclosure encouraging female applicants, and 18 did not mention the application fee disclosure.

Short-listing of candidates was inconsistently performed

10. Paragraph 3.2.3 of the SOPs states that the Chief Civilian Personnel Officer is responsible for determining whether the programme manager has fairly evaluated the suitability of each candidate based on the agreed parameters, criteria and methodology. However, short-listing of candidates was not consistently performed. Out of 192 files reviewed, 62 lacked evidence of proper short-listing by the programme manager. In 19 cases, candidates who did not meet the minimum requirements for the posts were interviewed and selected.

Testing and interviewing candidates was not systematically done

11. The DPKO/DFS HR Handbook states that to ensure transparency and objectivity, interviews should be conducted by an interview panel, which should include the programme manager to whom the successful candidate will report, and may also include other supervisors or members of the work unit, managers outside the work unit, and/or a representative from the Personnel Section. Where an interview panel is not being used, at least two persons should interview the candidates to make sure that personal biases do not dominate the final selection decision.

12. Out of the 192 files reviewed the following non-compliance was noted:

CONFIDENTIAL – DRAFT AUDIT RESULTS

- In 16 cases, interview forms were not signed by the panel members. For example: VA UNAMID-KRT-09-002, UNAMID-09-149 and UNAMID-08-001. Therefore, there was no assurance that the panels convene as required.
- In 30 cases there was no evidence that an interview had been conducted. For example: VA UNAMID-KRT-09-0001, UNAMID-09-146 and UNAMID-08-079.

13. For technical functions such as language assistant and finance assistant, written tests were not administered. Without job-specific written or practical tests, therefore there was no assurance that selected candidates were qualified for the posts. UNAMID needs to consider including the requirement to carry out written and/or practical tests for technical functions to be included in the Mission-specific SOPs.

Work experience and academic qualifications checks were not performed

14. The DPKO/DFS HR Handbook states that reference checks are to be conducted: (a) as soon as a candidate is short-listed for a position; or (b) prior to inclusion in the roster. The Offer of Appointment must state that it is subject to verification of the information provided in the personnel history form (PHP). If, due to operational requirements, it is necessary that the candidate report for duty before the responses to the reference checks have been received and verified, the recruitment may proceed but the candidate's contract will not be extended beyond the initial appointment until the reference checks are completed.

15. Work experience and academic qualifications verifications were not performed for national staff recruited in UNAMID. The NSU informed OIOS that it was difficult to perform reference checks in the Mission's operating environment.

Lack of roster to expedite the recruitment process

16. HRS did not maintain a roster of technically cleared applicants to expedite the recruitment of national staff. A lack of guidance to staff resulted in the absence of a roster of potential candidates for future recruitments.

A Mission Review Board to oversee the recruitment process could be established

17. A Mission Review Board could have been established to help mitigate the risk of lack of fairness, in the recruitment process. The Mission did not establish a Mission Review Board because it was not compulsory.

The maintenance of recruitment files in the National Staff Unit needed improvement

18. Employee recruitment files should contain relevant documents, such as PHPs, medical clearance and interview reports. The maintenance of recruitment files was weak due to inadequate supervision and a lack of quality assurance procedures. The checklist designed to show completeness and verification of the required documents before the hiring of a candidate was either incomplete, or, in most cases, not used.

19. UNAMID should develop Mission-specific standard operating procedures for national staff recruitment that clarifies the roles of staff responsible for recruitment and procedures to be followed, including for monitoring compliance with United Nations staff regulations and rules.

CONFIDENTIAL – DRAFT AUDIT RESULTS**Staff members of the National Staff Unit were not adequately trained for the job**

20. Staff involved in recruitment activities should be properly trained to ensure that the recruitment process is fair and transparent and in accordance with the United Nations regulations and rules. In the audit sample of 29 out of 49 NSU staff members involved with the recruitment activity, 27 had little or no recruitment experience. Discussions with the NSU staff members revealed that they had not been formally trained in performing their duties. Recruiting staff with little or no experience in recruitment procedures and lack of training creates risks of improper recruitment actions.

21. UNAMID should ensure that all staff assigned responsibilities in staff recruitment and promotion are provided adequate on-the-job training, as well as formal training on recruitment procedures and practices to be able to carry out functions effectively. Assistance from DFS should be sought.

B. Hiring of Individual Contractors**Procedures for hiring of Individual Contractors were not complied with**

22. The Administrative Instruction, ST/AI/1999/7 states that prior to the issuance of an Individual Contractor (IC) contract, the processing office shall verify the academic and professional credentials of the candidate recommended for selection. For that purpose, the requesting official shall submit contract proposals sufficiently in advance of starting dates to allow for completion of the verification requirements. It further indicates that the services of an IC shall be limited to six or, in special circumstances, nine work months in any period of twelve consecutive months. Furthermore, the DPKO/DFS HR Handbook states that because of the strict time limits on the period of service and limited insurance coverage, as well as the legal status of such personnel, the contractual mechanism should not be used where there is a need to retain individuals for extended periods.

23. A review of a sample of 43 case files noted that:

- There was no evidence that IC candidates had been interviewed. Many of the ICs were directly transferred from the Pacific Architects and Engineering, Inc. (PAE), a former UNAMID contractor.
- Essential documents such as PHPs or education certificates were missing in 34 of the 43 cases reviewed.
- The nine-month limit on the retention of ICs had not been followed. All 43 files reviewed showed that ICs have been employed for a period above 13 months and up-to 27 months. UNAMID put in place a system to employ ICs for three weeks out of four each month throughout the year. The Mission was thus exposed to potential legal actions, as ICs employed over the stipulated time frame are not covered by health insurance.

24. UNAMID should ensure that the Individual Contractor (ICs) recruitment process adheres to the provisions of the DPKO/ DFS HR Handbook and relevant Administrative Instructions. Also, ICs should not be extended beyond the limits set out in those guidelines and instructions.