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INTEROFFICE MEMORANDUM MEMORANDUM INTERIEUR

INTERNAL AUDIT DIVISION I  
OFFICE OF INTERNAL OVERSIGHT SERVICES

TO: Mr. Jean-Marie Guéhenno, Under-Secretary-General      DATE: 5 June 2006  
A: Department of Peacekeeping Operations

Mr. Christopher Burnham, Under-Secretary-General  
Department of Management

FROM: Dagfinn Knutsen, Acting Director  
DE: Internal Audit Division I  
Office of Internal Oversight Services

REFERENCE AUD-7-1:9  
06/00316



SUBJECT: **OIOS Audit No. AP2006/600/09: Mission appointments through the DPKO**  
OBJET: **Succession Planning Panel**

1. I am pleased to present herewith the final report on the subject audit, which was conducted in February and March 2006. The report takes into account written comment provided by DPKO on 12 May 2006 and DM on 25 May 2006.
2. Based on your comments, OIOS has closed in its recommendation database recommendations 6, 7, 9 and 11, and reiterated recommendation 4. All other recommendations remain open pending notification by DPKO and DM that they have been implemented.
3. Please note that under General Assembly resolution A/RES/59/272, a Member State may request that the final audit report be made available.
4. I take this opportunity to thank you and your staff for the assistance and cooperation provided to the auditors in connection with this assignment.

Copy to:

Ms. J. H. Lute, Assistant Secretary-General, DPKO  
Ms. J. Beagle, Assistant Secretary-General, Human Resource Management, DM  
Mr. P. Cooper, Acting Director, ASD/OMS/DPKO  
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UN Board of Auditors  
Programme Officer, OIOS

# Office of Internal Oversight Services

## Internal Audit Division I



### **Audit of mission appointments through the Department of Peacekeeping Operations (DPKO) Succession Planning Panel**

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<b>Audit no:</b>	AP2006/600/09
<b>Report date:</b>	5 June 2006
<b>Auditor-in-Charge:</b>	Paolo Ferrari

**Audit of mission appointments through the Department of Peacekeeping Operations  
(DPKO) Succession Planning Panel -- AP2006/600/09**

**Executive Summary**

OIOS carried out an audit of the mission appointments through the Department of Peacekeeping Operations Succession Planning Panel during the period February-March 2006. The objective of the audit was to review the existing mechanism for the selection of key mission administrative staff, the current delegation of authority and functions of the DPKO Succession Planning Panel, and to further clarify the selection of two staff members for posts in UNMIS.

Since January 1995, DPKO has authority for recruiting international civilian staff for field missions as delegated by OHRM. In January 2004, DPKO established the Succession Planning Panel to review the skills, competencies and experience of each candidate against specific requirements of the existing or projected vacancy in key administrative positions in Peacekeeping missions. The Panel submits the list of approved candidates to the mission senior leadership for their final selection.

In OIOS' opinion, the Panel as designed can provide an effective mechanism for technical clearance by DPKO of senior mission support staff appointments. However, insufficient documentation of the Panel's activities was of concern to OIOS. This, and the fact that the Panel recommended only one candidate for selection by the Mission in 84 of the 104 cases processed in 2004 and 2005, gave the appearance that appointments were not made based on sufficient competition.

OIOS was also concerned that DM has not reviewed the Panel's terms of reference and assessed its consistency with the overall mission appointment mechanism. Furthermore, DM and DPKO have not ensured that the required designation of staff for posts with significant fiduciary responsibilities was consistent, timely and adequately documented.

In respect of the appointments of two senior staff members for UNMIS, OIOS found that normal selection procedures were not followed. Furthermore, one of the staff members had not been designated for the entire duration of his appointment at UNMIS, while the other, although designated by DM, was not approved for designation by the Assistant Secretary-General, Office of Central Support Services.

OIOS made a number of critical recommendations to improve the mission appointment process.

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## I. INTRODUCTION

1. In its comprehensive report on DPKO management practices relating to procurement (AP2005/600/20) dated 20 January 2006, OIOS concluded that the posting of five staff members in managerial positions at the United Nations Mission in the Sudan (UNMIS), and their nomination as members of the assessment team for UNMIS, did not result from a formal selection process and was not documented. OIOS recommended that DPKO provide the justification for these staff members' posting to UNMIS (recommendation AP2005/600/200/13). DPKO disagreed with OIOS' conclusion, advising *inter alia* that the appointments of two of these staff members (Staff Member A and Staff Member B) had been reviewed and approved by the DPKO Succession Planning Panel (the Panel). However, OIOS also found that the Panel was not formally approved as of January 2006.

2. In 1994, DPKO requested the delegation of administrative authority from the then Department of Administration and Management for various functions relating to peacekeeping operations. Following detailed consultations between the two departments, the Office of Human Resources Management (OHRM) progressively delegated administrative authority to DPKO. In January 1995, DPKO assumed authority for recruiting international civilian staff for field missions as delegated by OHRM<sup>1</sup>. The delegation of authority specifies that accountability for the delegated recruitment function lies on the Under-Secretary-General, DPKO, while OHRM will continue its monitoring functions to ensure the manner in which this authority is exercised and decisions taken.

3. ST/SGB/2000/9 ("Functions and organization of the Department of Peacekeeping Operations") states that Personnel Management and Support Service (PMSS) is responsible for anticipating, determining and modifying civilian personnel requirements of field missions; screening applications, identifying, interviewing and evaluating candidates and maintaining up-to date rosters of applicants for key occupational groups. The standard recruitment process of field staff, as established by PMSS, can be summarized in the nine steps described below.

### Steps of the field staff recruitment process:

1. Attracting applications from qualified candidates (either with generic vacancy announcements, specific vacancy announcements or other outreach activities).
2. Assessing and pre-screening candidates based on criteria identified in the job description.
3. Providing technical/substantive clearance by specialist offices in DPKO and across departments, including reference checks and depending on the case preliminary interview.
4. Creating and managing roster of pre-qualified candidates.
5. Identifying vacant posts.
6. Providing programme managers with up-to-date rosters of pre-cleared candidates for selection.
7. Provision of updated roster. Missions review and conduct competency-based

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<sup>1</sup> 28/09/1994 Delegation of Authority interoffice memorandum from ASG/OHRM to USG/DPKO

interview of the short listed and pre-cleared candidates.

8. Selecting candidates from the roster. Missions prepare comparative analysis and evaluation of the candidates as well as justification of selected candidates.
9. Complete documentation is transmitted to the PMSS where the recruitment process is vetted for accuracy and compliance with recruitment rules and procedures.
10. Recruiting and deploying staff to the Mission.
11. Updating roster and staff files.

4. Additionally, DPKO established a procedure whereby the selection of senior mission support positions requires the review and recommendation of the DPKO Succession Planning Panel. The Panel is composed exclusively of senior staff in DPKO, as follows: the ASG-OMS; the Director of the Logistics Support Division/OMS; the Director of the Administrative Support Division/OMS; other senior staff members as appointed by the Office of Operations/DPKO, who provide a consolidated view of all senior appointments in the field; and the Chief, PMSS, Administrative Support Division/OMS, who serves as secretary and provides technical and procedural advice on human resources issues. Senior mission support positions include Director of Administration/Chief Administrative Officer (DOA/COA), Chief Integrated Support Services (CISS), Chief Administrative Services (CAS) and Chief Civilian Personnel Officer (CCPO). The Panel reviews the skills, competencies and experience of each candidate against specific requirements of the existing or projected vacancy. *PMSS informed that the position of Chief Civilian Personnel office will no longer be reviewed by the Panel, pending the approval by the Secretary-General's Policy Committee of the draft Policy on Senior Leadership Appointments in the Field.* The SPP performs technical evaluation on the basis of which it clears and recommends candidates for senior mission support positions. The Panel ranks candidates for submission to the Mission senior leadership (Special Representative of the Secretary-General and Deputy), who conducts further interviews and finalizes the selection.

5. In line with ST/SGB/2005/7 (“Designation of staff members performing significant functions in the management of financial, human and physical resources”), staff members performing significant functions in the management of financial, human and physical resources need to be cleared by the Under-Secretary-General for Management (USG/DM). Clearance is granted to a staff member in person and only for the specified post to be occupied in the mission.

## II. AUDIT OBJECTIVES, SCOPE AND METHODOLOGY

6. The objective of the audit was to review the current delegation of authority and functions of the DPKO Succession Planning Panel, and to further clarify the selection of Staff Member A and Staff Member B for posts in UNMIS. The audit was conducted in accordance with the professional practice of internal auditing in United Nations Organizations.

7. The audit covered the activities of the Panel since its constitution in January 2004. OIOS examined available documentation pertaining to the functioning of the Panel,

including Panel's terms of reference and meeting minutes, and personnel records maintained by PMSS. Also, officials in OMS, OHRM and the Office of the USG/DM were interviewed in order to obtain sufficient understanding of the Panel's objectives and specific decisions made in respect of appointments. At the conclusion of the fieldwork, OIOS discussed the audit results with the ASG/OMS and the Chief, PMSS.

### **III. AUDIT FINDINGS AND RECOMMENDATIONS**

#### **1. Functioning of the Panel**

##### Constitution of the Panel

8. The Panel is a review group comprised of DPKO senior management staff. It was created at the initiative of the current ASG/OMS, to review applicants' credentials and submit recommendations for senior administrative positions in Missions. Having reviewed the objectives and procedures of the Panel, as outlined in para.4 above, OIOS is of the view that the creation of such a Panel is justified and in accord with the authority delegated to DPKO for recruiting international civilian staff for field missions.

9. The Panel was created in January 2004 and held its first meeting on 5 January 2004. OIOS found that up to January 2006, the Panel operated on the basis of draft Terms of Reference which OHRM had not commented on. OHRM did not receive a copy of the draft terms of reference until December 2005. OIOS noted that OHRM, in its report following the OHRM 21/25 June 2004 monitoring mission of PMSS<sup>2</sup>, had requested PMSS to define the role of the Succession Panel in the selection process. Moreover, an OHRM memorandum dated 10 March 2005 requested OMS to share with OHRM the Terms of Reference of the Panel, also noting that: "After the issuance by OHRM of the Interim Guidelines for Movement of Mission Staff to Higher-Level Posts on 19 February 2004, and as amended on 25 March 2004, we noted that DPKO submitted a few cases to OHRM recommending candidates to higher-level posts who were reviewed, interviewed, selected and approved by the DPKO Succession Planning Panel." OHRM informed OIOS that subsequent to its memorandum, PMSS provided oral clarifications on the work of the Panel.

10. The Interim Guidelines mentioned in the OHRM memorandum relate to movements of mission staff to higher-level post, which are supposed to be reviewed by OHRM. OIOS could not obtain from OHRM and PMSS a formal definition of "mission staff", or a determination of whether these staff would include headquarters staff deployed to missions. In any case, since the higher-level posts under the Interim Guidelines could be one of the four key administrative positions reviewed by the Panel, the Interim Guidelines should necessarily make provision for the Panel's review. In OIOS' view, OHRM should take the lead in ensuring that the Interim Guidelines and Terms of Reference of the Panel are precise as to the categories of staff covered, are

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<sup>2</sup> Department of Management, Office of Human Resources management, Mission Report: Monitoring Mission of Personnel Management and Support Service of 21/25 June 2004.

mutually consistent and are finalized.

11. The delegation of authority to DPKO for the recruitment of international civilian staff for field missions also requires OHRM to ensure the manner in which this authority is exercised and decisions taken. This requirement is particularly important considering the significant role played by the Panel in the selection of senior staff members in missions. However, OIOS noted that the Panel's draft Terms of Reference does not include a specific provision for monitoring by OHRM. In OIOS' view, a sound monitoring mechanism should be implemented, as it would provide the criteria for the Panel's conformity with human resources rules and established procedures.

### **Recommendations 1 to 3**

The Department of Management, in conjunction with the Department of Peacekeeping Operations, should:

(i) Review the draft Terms of Reference of the DPKO Succession Planning Panel and the Interim Guidelines for the Movement of Mission Staff to Higher-Level Posts with the view to ensuring that they precisely identify the categories of staff concerned, and are mutually consistent (AP2006/600/09/01).

(ii) Ensure that the Terms of Reference of the DPKO Succession Planning Panel provide for a sound Office of Human Resources Management monitoring procedure (AP2006/600/09/02).

(iii) Ensure that the draft Terms of Reference of the DPKO Succession Planning Panel and the Interim Guidelines for Movement of Mission Staff to Higher-Level Posts are finalized and formally approved after review (AP2006/600/09/03).

12. *Regarding recommendation one, DPKO stated that it would work closely with OHRM/DM to ensure its implementation. DM informed that PMSS and OHRM started to work on a "Formal global policy on the movement of mission staff to vacant posts". The review of the Interim Guidelines and the Terms of Reference should be coordinated with this project. DM also commented that it should also be borne in mind that one of the proposals for reform, proposal 4, which calls for the introduction of one United Nations Staff Contract under one set of Staff Rules, would have a substantial impact on the content of the proposed reviews. Once there is a clearer view of the pace at which the reform proposals will proceed, a decision would be made as to whether to await the outcome of the reform proposals before proceeding with the reviews at issue or to go ahead without awaiting such outcome. OIOS will keep recommendation 1 open pending notification by DM of its implementation.*



13. *DPKO concurred with recommendation 2 and stated it would work with OHRM to establish sound monitoring procedures. DM responded that OHRM should monitor the work of the DPKO Succession Planning Panel in order to ensure the transparent and consistent use of the panel. OIOS will keep recommendation 2 open pending notification by DM of its implementation.*

14. *Concerning recommendation 3, DPKO responded that it concurs with OIOS recommendation to finalize the Terms of Reference of the SPP. DM responded that following the review of the Interim Guidelines for Movement of Mission Staff to Higher Level Posts and the Draft Terms of Reference of the Succession Planning Panel in accordance with recommendation 1, the final texts of the Guidelines and Terms of Reference should be submitted for formal approval. OIOS will keep recommendation 3 open pending notification by DM of its implementation.*

### Functioning of the Panel

15. OIOS found that the Panel recommendation of candidates substantially impacts the final selection by missions. Often, the only information OMS made available to the mission in respect of an appointment is the personal history profiles (PHP) of the Panel's recommended candidates. Since in most cases the Panel recommended only one candidate (please see para.19 below), OIOS concluded that the missions were not fully given the opportunity to challenge the DPKO's recommendation. It should be noted that this recommendation was not always reviewed by the Panel and properly documented (as discussed in para.23, and paras.38-39, respectively). OMS has advised, however, that in two cases, UNMIS actually rejected the Panel's recommendation. *DPKO informed that due to the dearth of highly qualified and sufficiently experienced candidates for senior mission leadership support functions and the specific requirements of field mission, it may be possible for the Succession Planning Panel to technically clear only one candidate for consideration by the Mission. DPKO explained that efforts are underway to address this challenge through the development of proposals to recreate a standing base-line capacity of 2,500 career positions in UN peacekeeping recruited and managed along the lines of all other Secretariat posts.*

16. PMSS also informed OIOS that when the mission is not in a position to select a candidate, for example during the mission start-up phase when there is insufficient senior staff present in the field, the Panel will make a recommendation based on its competitive review of the candidates. In this case, the Panel's recommendation represents the final decision in the selection process pending designation of the staff selected.

17. OIOS found that the Panel can also introduce for its review, and recommend candidates who have not applied for the specific vacancy announcement or are not included in the roster for a generic job vacancy. The Panel Secretary (the Chief of PMSS) explained that this was done in the spirit of providing guidance to the missions, including consideration of staff mobility and career development for high performing staff. However, OIOS believes that these objectives should also be achieved through staff

members normally applying to vacancy announcements, and being included in generic job rosters prior to pre-selection for mission appointments. In OIOS' view, the Panel's current practice of adding to the list of regular applicants staff members who have neither expressed interest nor been included in a roster as proof of eligibility for the post, weakens the vacancy announcement and roster procedures, and reduces the associated level of confidence in the quality of the Panel's selection process.

#### **Recommendation 4**

The Department of Peacekeeping Operations should ensure that the DPKO Succession Planning Panel discontinues the practice of introducing for the Panel's review, and recommending, candidates who have not applied for the specific vacancy announcement or are not included in a roster for a generic job vacancy (AP2006/600/09/04).

18. *DPKO did not accept recommendation 4, stating that staff tend to remain in place longer that might be desirable both for the Organization and the staff member. Since 2005, the DPKO SPP reviews both application received through generic vacancy announcement and staff serving in senior leadership support positions, both at Headquarters and in the field. Whenever a staff member is introduced to the panel, he/she is immediately consulted reference his/her interest.* OIOS believes that a clear staff rotation policy will better mitigate the risks which occur of staff remaining too long in a given mission. At the same time OIOS believes that discontinuing the practice of introducing new candidates that have not previously applied either to a generic or specific vacancy will enhance the transparency of the selection process. OIOS therefore reiterates recommendation 4 and will keep it open pending further action by DPKO.

19. OIOS reviewed 15 Panel meeting minutes for the period January 2004-August 2005 and found that in 84 of 104 appointments (or 81 per cent of cases reviewed) the Panel identified only one candidate for each post under review (See Table 1 below.) A review of these 84 cases was inconclusive regarding the number of applicants short-listed by PMSS for review by the Panel, since Panel meeting minutes generally did not contain this information. In OIOS' view, this lack of documentation and detail precludes a full review of the appointment process and gives the appearance that the appointments may not have been made as competitively as required.

**Table 1:** Proposed candidates for senior positions reviewed by the Succession Planning Panel

Year	Number of candidates recommended by the Panel per single post				Total
	One	Two	Three	Four	
2004	66 (90%)	6 (8%)	1 (1%)	0	73
2005	18 (58%)	3 (10%)	7 (23%)	3 (10%)	31
<b>Total</b>	<b>84 (81%)</b>	<b>9 (9%)</b>	<b>8 (8%)</b>	<b>3 (3%)</b>	<b>104</b>

20. OIOS found that most of the Panel meeting minutes do not provide a reasoned and documented comparative evaluation of the short-listed candidates. Often, the name of the staff selected and the position in the respective mission constituted the only information provided in the minutes. OIOS also found that only 7 of the 15 meeting minutes reviewed identified DPKO senior officers who attended the Panel meeting, and that most of the minutes were not signed or approved. OIOS, however, also found that in 2005 the case presentations improved substantially as compared with 2004. While noting the recent improvement in the Panel's operation, OIOS remains of the view that the present practice still gives the impression that the Panel's review and recommendation process is not formalized and it is not the result of a serious effort to appoint staff to senior mission positions from the largest pool of qualified candidates.

### **Recommendation 5**

The Department of Peacekeeping Operations should ensure that the DPKO Succession Planning Panel decisions are properly documented in Panel meeting minutes and clarify the basis for appointments. All Panel's meeting minutes should show attendance, be signed by participants and properly archived (AP2006/600/09/05).

21. *DPKO concurred with recommendation 5 and will ensure that the Succession Planning Panel meeting minutes be properly documented, clearly record the attendance of the Panel members, and are properly signed and archived.* OIOS will keep recommendation 5 open pending submission of copy of the next Succession Planning Panel meeting minutes.

22. OIOS also compared the list of 59 staff in the four key administrative positions covered by the Panel review (i.e. staff acting as CAO/DOA, CAS, CISS/CTS and CCPO) in peacekeeping missions<sup>3</sup> as of 31 December 2005, with the list of staff recommended by the Panel. Normally, all appointments since January 2004 should have been made following review and pre-selection by the Panel. OIOS found that of the 16 senior mission staff members whose appointments were not reviewed by the Panel, 7 were selected before the Panel was constituted in January 2004. PMSS explained that 4 of the remaining 9 were appointed during the transition period in the first quarter of 2004, immediately after the establishment of the Panel. OIOS notes, however, that the first meeting of the Panel was held on 5 January 2004.

23. PMSS could not provide OIOS with any justification concerning the remaining five staff members whose appointments were not reviewed by the Panel (See Table 2 below.)

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<sup>3</sup> MINURSO, MINUSTAH, MONUC, ONUB, ONUCI, UNAMA, UNAMI, UNMIS, UNAMSIL, UNDOF, UNFICYP, UNIFIL, UNLB, UNMEE, UNMIK, UNMIL, UNTOGIP, UNOMIG, UNSCO

Table 2: Appointments not reviewed by the Panel

<i>Post</i>	<i>Mission</i>	<i>Entry on Duty</i>
CAO	UNMIK	17/11/2005
CISS	ONUCI	01/08/2004
CISS	UNLB	06/07/2004
CCPO	UNMIS	15/09/2004
CCPO	UNDOF	09/03/2005

24. DPKO informed that the DOA post in UNMIK was vacated in 2005. The Chief Administrative Services was nominated OIC of Administration and the Panel reviewed candidates for the position at meetings held in 14 and 21 October 2005. The Panel did not initially agreed with the recommendation of the SRSG that the current OIC should remain in place. After a downgrade of the post from D2 to D1 the Succession Planning Panel reviewed the appointment of the CAO UNMIK on 2 February 2006 and 23 March 2006. At the request of the Assistant Secretary-General, the SRSG UNMIK interviewed two proposed candidates and a final selection was made on 24 March 2006.

25. DPKO informed that the CCPO, UNMIS was a member of the UNMIS planning team. He has been carrying out the function of OIC for Personnel since 15 September 2004, pending identification of a suitable candidate. In February 2006 PMSS submitted a list of qualified candidates. The CISS, ONUCI was dispatched as part of the ONUCI start-up team to establish the Mission based on his experience and skills. The incumbent was selected after submission of regular application. His movement at higher level was approved by OHRM on 17 January 2005. The CISS, UNLB applied to VA UNLB-041682 and was competitively selected in June 2004. The CCPO, UNDOF was competitively reviewed and selected for the CCPO (P-3) position in November 2004. Subsequently the position had been reclassified to the P-4 level and the incumbent is in receipt of a Special Post Allowance since July 2005.

26. OIOS also found that two senior mission staff members were in positions other than those endorsed by the Panel (See Table 3 below.) In OIOS' opinion, the Panel review must be exercised consistently for each appointment independently, since appointments are made taking into account the specific characteristics of the mission and the related significance of the fiduciary responsibilities for the post.

Table 3: Senior staff members occupying positions different from those endorsed by the Panel

<i>Current post and mission</i>	<i>Panel identified post and mission</i>	<i>Succession Planning Panel meeting date</i>
CAO in UNIIIC	SAO in UNSCO	05/04/2005
CAS in MONUC	CCPO in MONUC	02/02/2005

27. DPKO confirmed that the CAO, UNIIIC had been reviewed, technically cleared and short listed by the Panel for the post of Chief Administrative Officer/Senior Administrative Officer (P-5) post, in UNSCO. Due to exigencies of services, the

*incumbent was diverted from UNSCO to UNHCR in April 2005. The CAS, MONUC was not endorsed by the Panel; however the Panel suggested that the staff member could perform the CCPO functions. MONUC rejected the findings of the Panel and insisted that the staff be considered for CAS position. The Department of Management finally refused to officially designate the staff member under ST/SGB/2005/7.*

### **Recommendations 6 to 7**

The Department of Peacekeeping Operations should ensure that:

- (i) All appointments to senior mission support positions are reviewed by the DPKO Succession Planning Panel to ensure consistency (AP2006/600/09/06).
- (ii) Each appointment to a senior mission support position is reviewed independently by the Panel, thereby precluding any changes in the Panel pre-selection decision for a given post in a given mission (AP2006/600/09/07).

28. *DPKO concurred with recommendation 6 and confirmed that the following senior mission support positions are reviewed by the Succession Planning Panel: Director of Administration/Chief Administrative Officer, Chief Administrative Services and Chief Integrated Support Services/Chief Technical Services. OIOS is satisfied with DPKO response and has closed recommendation 6.*

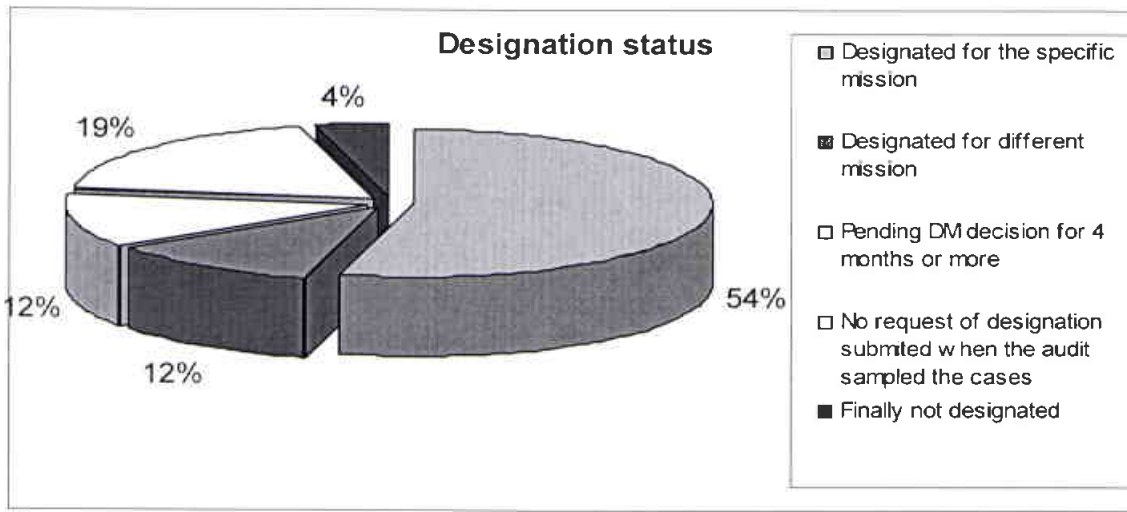
29. *DPKO concurred with recommendation 7 to review each position independently, and will ensure that its decisions in such matters will be appropriately recorded for each post. OIOS is satisfied with DPKO response and has closed recommendation 7.*

## **2. Designation of senior mission support staff**

30. Under ST/SGB/2005/7, the USG/DM has the authority to designate staff members performing significant functions in the management of financial, human and physical resources. The designation procedure is intended: (i) to ensure that selected staff members have the requisite qualifications and experience to carry out the functions assigned to them, and (ii) to provide consistency in the application of the Organization's regulations, rules, policies and procedures. The Bulletin addresses designation requirements of staff serving at Headquarters, offices away from Headquarters and in missions.

31. OIOS examined how the designation procedure was applied to a sample of 26 staff employed in key mission administrative positions (CAO/DOA; CAS; CISS; and CCPO). OIOS found that, as of 31 December 2005, 9 of the 26 staff members (or 35 per cent of the sample) had not been designated, for various reasons explained in figure 1 and paras.22-23 below.

Figure 1: Status of designation as of 31 December 2005 of 26 staff members occupying key administrative positions (CAO/DOA; CAS; CISS; and CCPO) in seven Peacekeeping Missions\*



\* MINUSTAH, MONUC, ONUB, UNMIS, UNMEE, UNMIK, and UNMIL.

32. No designation was requested for three staff members because designation had already been provided for previous assignments. PMSS explained that it has established this practice based on a February 2006 memorandum from the USG/DM advising that previous designation: “for the same or similar functions and at the same level of posts” would be sufficient to satisfy the clearance requirement for a new post “upon verification that the staff members have not been or are not currently subject to a preliminary investigation or disciplinary proceedings since their last clearance by DM”. However, OIOS does not share the view that the USG/DM memorandum represents a clear instruction to DPKO, to the effect that designation for the same or similar functions and at the same level of previously occupied post does not need to be requested from DM. In OIOS’ opinion, DM needs to further formally clarify if designations will no longer be mission-specific and, in that eventuality, clarify if DPKO still has to request DM’s clearance for staff previously designated for similar function and at the same post level. DM information requirements would then need to be assessed with the view to guaranteeing that the designation process is adequately monitored and ensured.

33. The designation process can be extremely lengthy. As shown in Table 4 below, on six occasions the process took more than four months. Since operational requirements often call for selected staff to assume the function immediately, staff members were sometimes assigned before the designation was granted. OIOS noted one staff member had been assigned, and occupied the position as CAS in MONUC as of October 2004, but was denied designation 314 days later. The staff member officially left the post in January 2006, after 459 days in a position for which s/he had not been designated.

Table 4: Timelines for sampled key administrative positions in Peacekeeping missions

<i>Staff</i>	<i>Mission</i>	<i>Post</i>	<i>Entry on duty (EOD)</i>	<i>Design. date</i>	<i>Explanation</i>
1	MINUSTAH	CAS	01/01/05	01/06/05	Designation was granted 151 days after EOD. DM review took 86 days
2	MINUSTAH	CCPO	15/09/04	27/12/04	Designation was granted 103 days after EOD DM review took 87 days
3	UNMIS	CCPO	15/09/04	22/02/06	Designation was granted 525 days after EOD. PMSS request for designation was submitted 386 days after EOD of staff; DM review took 139 days
4	MONUC	CAS	14/10/04	Denied	DM decision was issued 314 days after EOD. PMSS request was issued 203 days after EOD of staff; DM denied designation after 111 days (on 24/8/05). Staff member resigned on 16/1/06.
5	MONUC	CCPO	06/07/05	In progress	DPKO request for designation is dated 09/05/05
6	UNMIS	CAS	08/08/05	In progress	DPKO request for designation is dated 18/10/05. It took DPKO 71 days to submit the request for designation
7	UNMIC	OiC CAO	17/11/05	In progress	DPKO request for designation is dated 11/11/05
8	UNMIS	CISS	26/01/06	n/a	No request for designation submitted by DPKO
9	UNMIK	CISS	17/09/02	n/a	No request for designation submitted by DPKO
10	UNMIK	CCPO	18/01/04	n/a	No request for designation submitted by DPKO
11	UNMIL	CISS	16/06/05	n/a	No request for designation submitted by DPKO
12	UNMIL	CCPO	16/02/04	n/a	No request for designation submitted by DPKO

34. On 30 January 2006, PMSS requested OHRM clarification on: (i) functions to be designated; (ii) required documentation; (iii) reference checks; and (iv) requirements for new designation of staff previously designated. As of March 2006, OHRM had not replied. In OIOS' view, PMSS' concerns should be addressed as expeditiously as possible by OHRM in order to improve efficiency and effectiveness of the designation process.

### **Recommendations 8 to 10**

The Department of Peacekeeping Operations should ensure the designation of all staff currently performing significant functions in the management of financial, human and physical resources in Peacekeeping missions (AP2006/600/09/08).



The Department of Peacekeeping Operations should ensure that the Personnel Management and Support Service liaise with offices in DM to shorten the time required for designation (AP2006/600/09/09).

The Department of Management should ensure that the Office of Human Resources Management expeditiously addresses the request made by the Personnel Management and Support Service for clarification of functions to be designated, documentation, reference checks and requirements for new designation of staff previously designated (AP2006/600/09/10).

35. *DPKO concurred with recommendation 8 and informed that it has taken the necessary steps to ensure that requests for designations are submitted to DM for all staff currently performing significant functions in the management of financial, human and physical resources in peacekeeping missions. PMSS/DPKO has standardized the process and procedures and has prepared templates of memoranda and documentation. These are consistently applied and used by all PMSS staff when processing designation requests. OIOS will keep recommendation 8 open pending receipt from DPKO of documentation evidencing these steps.*

36. *DPKO concurred with recommendation 9 and informed that has taken immediate steps to institute a formalized process to ensure that all requests for designations of staff in the relevant categories are tracked and auctioned in a timely manner by the DM. DPKO has also highlighted to OHRM those elements of the designation process that appear to lead to delays. OIOS is satisfied with DPKO response and has closed recommendation 9.*

37. *Regarding recommendation 10, the Department of Management responded that it is recommended that these procedures be reviewed to enable OHRM to respond expeditiously to the requests by PMSS for clarification on: (i) functions to be designated; (ii) required documentation; (iii) reference checks; and (iv) requirements for new designation of staff previously designated. OIOS will keep recommendation 10 open pending submission by DM of results of such review.*

### **3. Selection of two staff members reviewed and approved by the Panel for senior posts in UNMIS**

#### Staff Member A

38. Staff Member A applied to VA #404906 “Chief Integrated Support Services” (CISS), at the P5 level, for the UN Mission in Sudan. On 28 November 2004, the UNMIS CAO informed PMSS by fax that Staff Member A had been selected from



among short-listed candidates for the CISS post at the P5 level, and requested the release of the staff member. OIOS could not find evidence of a comparative evaluation of the short-listed candidates, but found that Staff Member A had only been reviewed by the Panel on 8 December 2004, 10 days after the mission selection fax. Therefore, OIOS concludes that the mission selection occurred before the candidate had been vetted by the Panel. Furthermore, OIOS found that as of March 2006, Staff Member A had yet to be designated. *DPKO informed that on occasion of the Panel meeting of 8 December 2004 a list of eligible candidates for the CISS post had been reviewed.*

#### Staff Member B

39. On 5 January 2004, the Panel endorsed Staff Member B as Chief Administrative Officer (CAO) at the D1 level for the mission in Sudan. The Panel meeting minutes simply announced Staff Member B as favorite candidate without providing either the justification for the selection or the comparative analysis with other short-listed candidates. On 27 April 2004, Staff Member B assumed responsibility as “In charge of Administration,” and on 1 July 2004 was designated CAO by the Under-Secretary-General for Management. However, OIOS noted that on 22 June 2004, the Assistant Secretary-General for Central Support Services (ASG/OCSS) expressed his objection to the designation of Staff Member B. His comments on the designation approval form read: “[name of staff member] is a very good logistician. Notwithstanding his CAO experience in UNLB, I am not sure if he has enough administrative and financial management experience to be CAO for a large field operation (UNLB is essentially a logistics operation).”

40. OIOS queried DM about how it had followed up on the ASG/OCSS’ comments. The DM officer overseeing the designation process informed OIOS that normally, in relation to a specific designation request, any concerns expressed by the Assistants Secretary-General for OHRM and OCSS and the Controller would be communicated to DPKO along with a recommendation to provide training to the staff member or with a notification that the designation would only be probationary pending re-assessment of qualifications. OIOS, however, found that the concerns expressed by the ASG/OCSS regarding Staff Member B were noted as dismissed by the then Controller on the designation approval form, but OIOS could not further clarify the decision made by DM to clear Staff Member B for the UNMIS CAO post.

41. An identical situation was found in the case of the CAO for ONUCI who was also designated in July 2004. In both cases, however, it seems that no documents evidencing DM’s review were shared by DM with DPKO. In OIOS’ view, the failure to share documentation in support of the designation process by DM represents a waste of resources since DM invests substantial efforts in the process, and also presents the risk that DPKO may unknowingly make inadequate staffing decisions.

## Recommendations 11 to 12

The Department of Peacekeeping Operations should ensure that all relevant steps for the selection of mission staff are properly followed and documented (AP2006/600/09/11).

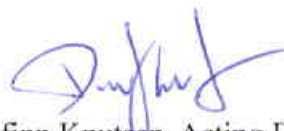
The Department of Management, in conjunction with the Department of Peacekeeping Operations, should establish a procedure whereby background information collected during the designation process and the resulting comprehensive staff competency evaluation should be communicated to DPKO (AP2006/600/09/12).

42. *DPKO concurred with recommendation 11 and ensured that all relevant steps for the selection of mission staff are properly followed and documented. DPKO also concurred with the OIOS recommendation that no selection should take place outside the established process. OIOS is satisfied with DPKO response and has closed recommendation 11.*

43. *DPKO concurred with recommendation 12. The Department of Management responded that a procedure should be established for the communication to DPKO of the background information collected during the designation process and the resulting comprehensive staff competency evaluation. Electronic ways of sharing this information could be explored. OIOS will keep recommendation 12 open pending notification by DM of its implementation.*

## V. ACKNOWLEDGEMENT

44. I take this opportunity to thank the management and staff of PMSS/OMS/DPKO for the assistance and cooperation provided to the auditors in connection with this assignment.



Dagfinn Knutsen, Acting Director  
Internal Audit Division 1, OIOS

UNITED NATIONS



OIOS Client Satisfaction Survey

Audit of: Mission appointments through the DPKO Succession Planning Panel

(AP2006/600/09)

	1	2	3	4	5
<b>By checking the appropriate box, please rate:</b>	Very Poor	Poor	Satisfactory	Good	Excellent
1. The extent to which the audit addressed your concerns as a manager.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. The audit staff's understanding of your operations and objectives.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Professionalism of the audit staff (demeanour, communication and responsiveness).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. The quality of the Audit Report in terms of:					
• Accuracy and validity of findings and conclusions;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Clarity and conciseness;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Balance and objectivity;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Timeliness.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. The extent to which the audit recommendations were appropriate and helpful.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. The extent to which the auditors considered your comments.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Your overall satisfaction with the conduct of the audit and its results.</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Please add any further comments you may have on the audit process to let us know what we are doing well and what can be improved.

Name: \_\_\_\_\_ Title: \_\_\_\_\_ Date: \_\_\_\_\_

*Thank you for taking the time to fill out this survey. Please send the completed survey as soon as possible to:*

*Director, Internal Audit Division-1, OIOS*

*By mail: Room DC2-518, 2 UN Plaza, New York, NY 10017 USA*

*By fax : (212) 963-3388*

*By E-mail: iad1support@un.org*