

INTERNAL AUDIT DIVISION
OFFICE OF INTERNAL OVERSIGHT SERVICES

TO: Mr. Edmond Mulet
A: Special Representative of the Secretary-General
MINUSTAH

DATE: 5 January 2007

REFERENCE: AUD-7-5:10 (07- 00003)

for *William Peters*
FROM: Dagfinn Knutsen, Acting Director
DE: Internal Audit Division, OIOS

SUBJECT: **OIOS Audit No. AP2005/683/04: Vacancy rates in MINUSTAH**

OBJET:

1. I am pleased to present herewith the final report on the above-mentioned audit, which was conducted during August and November 2005. The audit was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.
2. We note from your response to the draft report that MINUSTAH has generally accepted the recommendations. Based on the response, we are pleased to inform you that we have closed recommendations 1, 2, 4, 7 and 9 in the OIOS recommendations database, and recommendation 6 has been withdrawn. In order for us to close out the remaining recommendations (i.e., 3, 5 and 8), we request that you provide us with additional information as indicated in the text of the report. Please refer to the recommendation number concerned to facilitate monitoring of their implementation status. Please note that OIOS will report on the progress made to implement its recommendations, particularly recommendation 2 which is designated as critical, in its annual report to the General Assembly and semi-annual report to the Secretary-General.
3. IAD is assessing the overall quality of its audit process and kindly requests that you consult with your managers who dealt directly with the auditors and complete the attached client satisfaction survey form.

I. INTRODUCTION

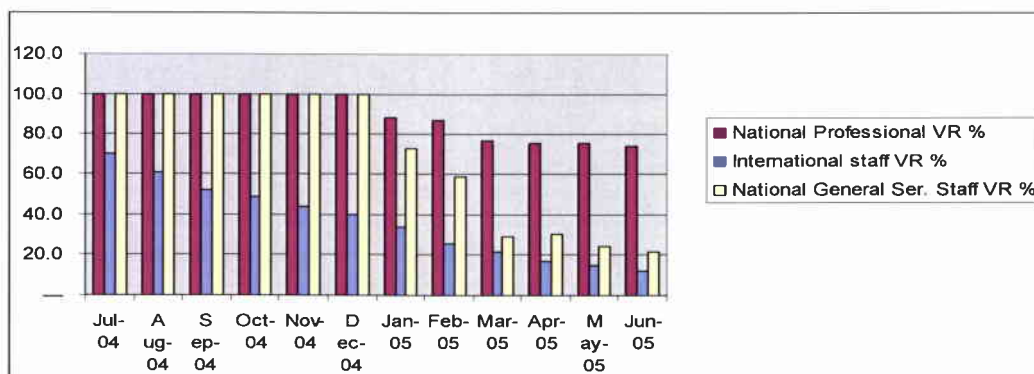
4. The Security Council, by its resolution 1542 of 30 April 2004, established MINUSTAH under Chapter VII of the United Nations Charter. MINUSTAH's approved budget for the period 2004-2005 was \$379 million, and included the deployment of 488 international staff, 623 national staff and 179 United Nations Volunteers (UNVs). In April 2005, the MINUSTAH Personnel Section was organized into three main units encompassing five sub-units under the Chief Civilian Personnel Officer, as shown in Annex I.
5. As shown in Table 1, the overall vacancy rate reached 22 percent as of June 2005, with the highest rate for the National Professional Officer (NPO) posts at 75 per cent and the lowest for international staff posts at 14 per cent.

Table 1: Vacancy rate per staff category as of June 2005

Category of staff	Authorized	On board	Vacancies	Vacancy Rate
International staff	488	422	66	14%
National staff	548	423	125	23%
National professional officers	75	19	56	75%
UN Volunteers	179	140	39	22%
Overall vacancy rate	1,290	1,004	286	22%

6. International staff posts show the steepest decline in vacancy rates over the period from July 2004 to June 2005. Improvements in filling the vacancies for national and general service staff posts are noticeable since January 2005 (see Figure 1).

Figure 1: Trend of vacancy rate by staff category from July 2004 to June 2005



7. Table 2 shows the distribution of the 64 international staff vacant posts as of July 2005. The Public Information and Communication, Justice and Civil Affairs sections had the highest levels of vacancy rates, at 14, 11 and 11 per cent respectively.

Table 2: Distribution of international vacant posts as of July 2005

No	Organizational Unit	Number of vacancies	Vacancy Rate Percentage
1	Office of the SRSG	4	6%
2	Political Affairs and Planning	2	3%
3	Public Information & Communication	9	14%
4	Office of the PD-SRSG	2	3%
5	Civil Affairs	7	11%
6	Human Rights	2	3%
7	Electoral Assistance	3	5%
8	Justice Section	7	11%
9	Security section	6	9%
10	Humanitarian and Development Coordination Section	1	2%
11	DDR	4	6%
12	Office of the CAO	1	2%

13	Administrative Services	0	0%
14	UN Clinic	1	2%
15	Medical Regions	2	3%
16	General Services Section	1	2%
17	Integrated Support Services	1	2%
18	Engineering	2	3%
19	Air Operations centre	1	2%
20	CITS	5	8%
21	Transport section	2	3%
22	Supply Section	1	2%
Total		64	

8. The comments made by the Management of MINUSTAH on the draft report have been included in the report as appropriate and are shown in italics.

II. AUDIT OBJECTIVES

9. The main objective of the audit was to assess the adequacy of the Mission's management of personnel vacancy rates.

III. AUDIT SCOPE AND METHODOLOGY

10. The audit covered the period from June 2004 to June 2005 and included the review of relevant documentation of the recruitment exercise, interviews with Mission officials involved in the recruitment process, and tests of select procedures.

IV. OVERALL ASSESSMENT

11. The audit found that the Mission did not adequately manage the filling of vacant posts. The MINUSTAH Personnel Section's involvement in the recruitment process was limited to the review of short lists and interviews for a few international posts. The Personnel Management and Support Service (PMSS) did not fully involve the Mission in the recruitment process. The insignificant involvement of the Mission's Personnel Section in the recruitment of international staff and the lack of qualified applicants for the NPO posts in Haiti contributed to the delay in filling vacancies.

IV. AUDIT FINDINGS AND RECOMMENDATIONS

A. International staff

Filling of international posts

12. As of July 2004, MINUSTAH had 488 authorized international posts allocated among different levels as shown in Table 3. International posts represented 38 per cent of the total civilian staff strength.

Table 3: Allocation of international posts

Level	USG	ASG	D-2	D-1	P-5	P-4	P-3	P-2/P-1	FS-OL	GS-PL	GS-OL	Total
Posts	1	2	2	8	30	65	89	34	225	1	31	488

13. The Mission's Personnel Section had not been significantly involved in the recruitment of international staff for MINUSTAH. The Recruitment Unit was established only in March 2005, and its involvement was limited to the review of short lists and interviews for international posts. The Personnel Management and Support Service (PMSS) did not fully involve the Mission in the recruitment process nor did it share with the Mission's Personnel Section relevant recruitment information. In OIOS' view, since the Mission is accountable for its performance, it should have a sufficient degree of control over the recruitment of its staff.

Recommendation 1

The MINUSTAH Administration should request DPKO to delegate to the Mission sufficient authority to recruit international staff, including the preparation of vacancy announcements and selection criteria, and short-listing of and interviewing candidates. Furthermore, final selection of candidates should be made by the Mission, which is accountable for the management of international posts allocated to it (AP2005/683/04/01).

14. *The MINUSTAH Administration partially accepted recommendation 1, stating that whereas the Mission has the authority for certain specific actions in the recruitment process, the recruitment of international staff requires a global perspective. Therefore, the final recruitment authority would remain centralized at DPKO Headquarters.* Since OIOS is pursuing this matter through the recommendations made in its report on the "Management audit of DPKO – Human resources management" (OIOS Audit No. AP2006/600/18), recommendation 1 has been closed based on the Mission's response.

Incomplete documentation of recruitment activities

15. OIOS' review of sample documentation of international staff recruitment indicated that copies of job descriptions and other relevant documents such as vacancy announcements, short lists and selection milestones were missing.

Recommendation 2

The MINUSTAH Administration should ensure that the Personnel Section maintains complete documentation of the recruitment process, including activities performed by the Personnel Management and Support Service on behalf of the Mission (AP2005/683/04/02).

16. *The MINUSTAH Administration accepted recommendation 2 and stated that all relevant documents, including short-lists, selection faxes, comparative evaluations, vacancy*

announcement are kept on file by the Recruitment and Post Management Unit. Once a staff member is assigned to the Mission, the relevant documentation is copied to the respective staff member's personnel file. Based on the Mission's response, recommendation 2 has been closed.

Management of critical posts

17. Vacancies at the section chief and principal levels represented 11 percent of the total vacancies for international posts. OIOS noted that as of July 2005, the Code of Conduct Officer, Senior Information Analyst, Senior Chief Judicial Affairs Officer, Civil Affairs Officer, and Senior Judicial Affairs Officer, UN Police Operations Officer, all critical posts, were vacant for an average of 5.8 months from the first day of vacancy to the date of entry on duty of the selected candidate.

18. The intervals between the announcement date and the first short listing date for the posts of Senior Civil Affairs Officer and Chief Supply Officer were 150 and 105 days respectively. The time gap between the short listing and selection of candidates for the Chief of Justice reached 171 days. The Chief of Staff post was filled in December 2004, six months after the Mission inception. The SRSG was also appointed late.

19. Due to the lack of documentation of recruitment activities, OIOS was unable to determine the exact causes of the delay in the entire recruitment process. Moreover, OIOS was informed that the Personnel Section was unable to get historical reports from the Field Personnel Management System and Nucleus because these were not backed up in the Mission.

20. The Chief of Staff and Chief of Civilian Personnel explained that the vacancy rate during the period under review was high because PMSS had to provide additional justification for post levels as requested by the Advisory Committee on Administrative and Budgetary Questions (A/59/745). Other factors, they added, were the gradual deployment of the Mission and the scarcity of qualified candidates since three missions other than MINUSTAH were launched at the same time.

Recommendations 3 and 4

The MINUSTAH Administration should:

- (i) Work together with the Personnel Management and Support Service to expedite the filling of critical international vacant posts (AP2005/683/04/03); and
- (ii) Request DPKO to grant the MINUSTAH Personnel Section staff access rights to the historical Field Personnel Management System data and the Nucleus System (AP2005/683/04/04).

21. *The MINUSTAH Administration accepted recommendation 3 and stated that the Mission and PMSS are actively engaged in order to achieve a further reduction of the vacancy rate for international staff. DPKO has adopted a multi-tiered strategy to reduce the vacancy rate for international staff, such as reassignment of key responsibilities, weekly*

vacancy reports and regular teleconferences. The Mission also envisaged that a dedicated "Tiger Team" will be deployed to provide support in filling vacancies. Recommendation 3 remains open pending confirmation by MINUSTAH that critical Mission vacancies have been filled.

22. *Concerning recommendation 4, the MINUSTAH Administration stated that historical records of FPMS are already maintained by the Personnel Section. The Personnel Section has access to historical staffing table data in Nucleus. Based on the Mission's response, recommendation 4 has been closed.*

B. Local staff

National Professional Officer posts

23. As of July 2004, MINUSTAH had 623 authorized local posts allocated among National Professional Officer (NPO) and General Service (GS) levels, as shown in Table 4, representing 48 per cent of the total civilian manpower. The Recruitment, Database and Post Management Unit of the Mission Personnel Section handles the recruitment of national staff, which is governed by policies and guidelines established by DPKO.

Table 4: Allocation of national posts

Level	NPO	GL-2	GL-3	GL-4	GL-5	GL-6	L-L	Total
# Posts	75	148	213	85	32	1	69	623

24. At the NPO level, 59 or 79 per cent of 75 posts were vacant, which represented the largest portion of the vacancy rate for local staff. OIOS was informed that there was a lack of qualified applicants for NPO posts.

Recommendation 5

The MINUSTAH Administration should take urgent and more aggressive measures to reduce the vacancy in the National Professional Officer posts (AP2005/683/04/05).

25. *The MINUSTAH Administration accepted recommendation 5 and stated that implementation is ongoing. Internal vacancy announcements have been posted within the Mission in order to seek experienced and qualified staff who may already be on board, and PMSS has facilitated the recruitment process for national staff to NPO posts within UN peacekeeping operations. The Personnel Section and the Mission at large are aware of the problems faced and every effort is being made to reduce the current vacancy rate in the NPO category. Recommendation 5 remains open pending confirmation by MINUSTAH that the NPO vacancy rate has been substantially reduced.*

Lack of a roster for the National Professional Officer posts

26. The MINUSTAH Administration successfully managed a vast recruitment campaign launched in August 2004 to fill 553 posts covering the Administrative and Support Services, Engineering, Transport, General Services, Movement Control, Air Operations, Communication and Information, Security and Medical Services at the NPO and GS levels.

27. The Personnel Section handled the recruitment campaign and set up four teams to process the applications received for different occupational groups. The teams received the applications, invited candidates found suitable to be interviewed, assisted them in completing the P.11 forms, and undertook the testing, interviewing and evaluation of candidates. The necessary documentation was also prepared for the Appointment and Promotion Committee's (APC) review. However, OIOS was informed that thousands of applications received in August 2004 were not included in a roster because they arrived after the deadline for the recruitment campaign. The period of six days for the receipt of applications was very short taking into consideration that some of them would be sent by mail. Now that the first batch of recruitment has taken place, the Personnel Section should create a roster of candidates, starting with the posts of NPOs which have not yet been filled.

Recommendation 6

The MINUSTAH Personnel Section should create a roster of candidates for local staff posts, starting with the National Professional Officer posts which have not yet been filled (AP2005/683/04/06).

28. *The MINUSTAH Administration did not accept recommendation 6, stating that the Personnel Section created the recruitment database on 24 August 2004 and as of December 2006, it includes 4,100 screened candidates, of which 215 screened applicants are for positions at NPO level in 26 occupational groups. Eighty per cent of the screened candidates for positions at the NPO level had been included in the recruitment database in 2004 and another 8 per cent had been included in 2006. Nine (or 35 per cent) occupational groups have three or less screened applicants. Based on the Mission's response, recommendation 6 has been withdrawn.*

Amendment to the guidelines on the establishment of the APC

29. The Personnel Section's proposed amendment to limit the scope of the September 2004 guidelines for the establishment of the APC, indicating the procedures governing the recruitment of national staff, to the recruitment of NPOs have not been approved since April 2005. Since the filling of all NPO posts is conditional to the establishment of the APC, the revised APC guidelines should be approved and implemented immediately.

Recommendation 7

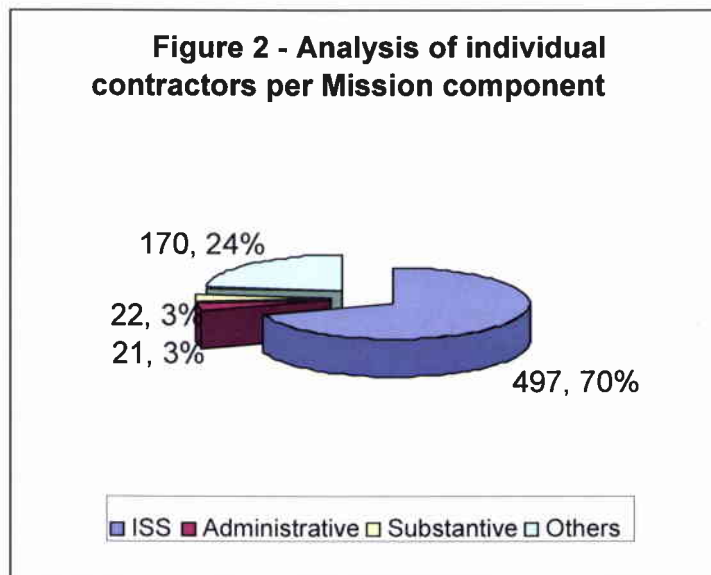
The MINUSTAH Administration should approve the proposed amendment to the Appointment and Promotion Committee guidelines as soon as possible to proceed with the recruitment of National Professional Officers (AP2005/683/04/07).

30. *The MINUSTAH Administration accepted recommendation 7 and stated that the APC had been revised in December 2005 to focus solely on the recruitment of NPOs. Due to the cumbersome and time-consuming nature of the process, the Personnel Section is proposing to the CAO that APC procedures be discontinued. Recruitment of NPOs within the Mission will*

be in line with established procedures for recruiting candidates for Professional posts. Based on the Mission's response, recommendation 7 has been closed.

Individual contractors

31. As of July 2004, MINUSTAH had 710 individual contractors as interpreters/translators, drivers and others as illustrated in Figure 2. The Engineering Section, under the Integrated Support Services (ISS), employed 394 individual contractors, which represented 55 percent of all individual contractors employed by MINUSTAH. This type of contract created frequent disruptions and is administratively burdensome since the services of individual contractors are limited to six months or in special circumstances to a maximum of nine months, in any period of 12 consecutive months. OIOS noted that PMSS authorized MINUSTAH Personnel Section to extend up to one year the contract of 80 interpreters with individual contracts serving with the Military and UN Police.



32. To expedite the hiring of interpreters, the Chief Civilian Personnel Officer, in July 2004, raised a request for the provision of 200 professional interpreters/translators to the Military and UN Police in various locations in Haiti. The Local Committee on Contracts (LCC) recommended awarding the contract to ARTLIGHT for a one-year period, with a possibility of two consecutive one-year extensions and the not-to exceed (NTE) amount of \$2,244,000 for the first year.

33. In August 2005, ten months after the request date, the LCC forwarded the contract to the Headquarters Committee on Contracts (HCC). The HCC disapproved the proposed award because a request to approve additional 350 posts for interpreters for the year 2006-2007 has been submitted while MINUSTAH was proposing to outsource the services of interpreters for the same period for which additional posts were already requested. Moreover, the HCC believed that the proposed outsourcing was not economical because, according to the HCC's calculations, it would cost the Mission \$260 more for each interpreter/translator than the cost to hire interpreters under the individual contractor arrangement (\$608).

34. The cost difference is attributable to the Personnel Section's assumption that the interpreters would be contracted under ALD after the approval of additional posts against the HCC assumption of the hiring of interpreters under individual contracts, without taking into account the fact that MINUSTAH had already reached the time limit to keep the current pool of interpreters under individual contracts.

Recommendation 8

The MINUSTAH Administration should convert the status of all interpreters appointed under individual contract to the "Appointment of Limited Duration" contract as soon as the requested additional posts are approved (AP2005/683/04/08).

35. *The MINUSTAH Administration accepted recommendation 8 and stated that 350 posts were approved effective 1 July 2006. In order to ensure fair and transparent recruitment, the individual contractors who were undertaking the functions of Interpreter/Translator were requested to apply for the advertised posts. Candidates will be tested, vetted and interviewed prior to being converted to ALD. Recommendation 8 remains open pending confirmation by MINUSTAH that the ALD contracts have been implemented.*

Medical clearance of individual contractors

36. Administrative bulletin ST/SGB/177 and administrative instruction ST/AI/1999/7 section 4 paragraph 4.7 require individual contractors who are expected to work in any office of the UN to submit a statement of good health and to take full responsibility for the accuracy of that statement before commencing work. OIOS noted that the candidates selected were not medically cleared until August 2004 after they have already started working with the Mission.

Recommendation 9

The MINUSTAH Personnel Section should ensure that all staff appointed under individual contracts submits a statement of good health, prior to taking up duty (AP2005/683/04/09).

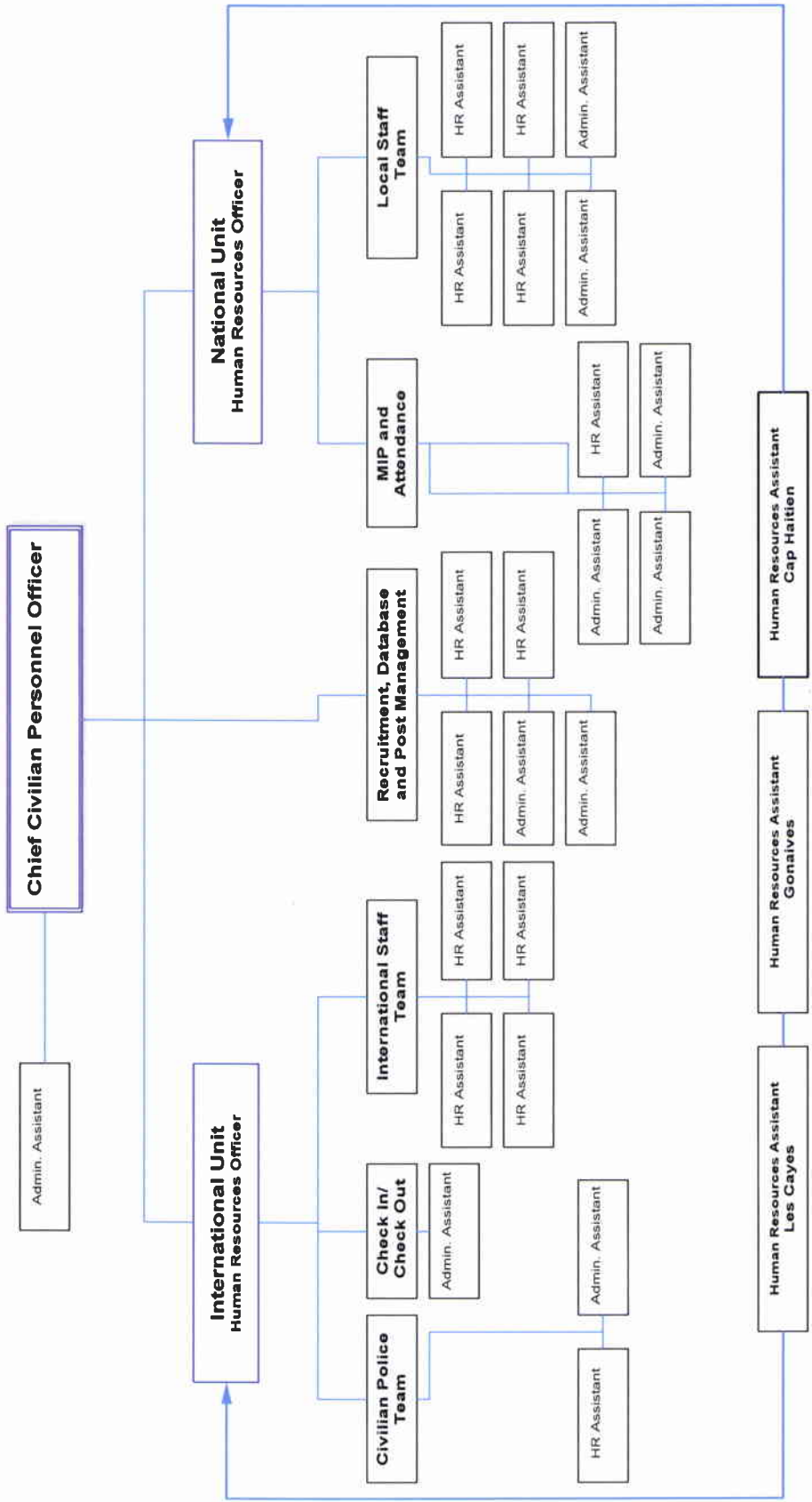
37. *The MINUSTAH Administration accepted recommendation 9 and stated that as indicated in the Human Resources Handbook, a statement of good health is requested for all individual contractors who will be working with UN staff or in UN premises. Based on the Mission's response, recommendation 9 has been closed.*

V. ACKNOWLEDGEMENT

38. We wish to express our appreciation to the Management and staff of MINUSTAH for the assistance and cooperation extended to the auditors during this assignment.

Copy to: Mr. Jean-Marie Guéhenno, Under-Secretary-General for Peacekeeping Operations
Mr. Philip Cooper, Director, ASD/DPKO
Mr. Willi Scholl, Chief Administrative Officer, MINUSTAH
Mr. Swatantra Goolsarran, Executive Secretary, UN Board of Auditors
Mr. Jonathan Childerley, Chief, Oversight Support Unit, Department of Management
Mr. Mika Tapio, Programme Officer, OIOS
Mr. Terrence Norris, Chief Resident Auditor, MINUSTAH

MINUSTAH Personnel Section Organizational Structure



UNITED NATIONS



OIOS Client Satisfaction Survey

Audit of: Vacancy rates in MINUSTAH

(AP2005/683/04)

	1	2	3	4	5
By checking the appropriate box, please rate:	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"/>
Your overall satisfaction with the conduct of the audit and its results.	<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: _____

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