



## INTERNAL AUDIT DIVISION

# REPORT 2015/147

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### Audit of human resources management in the United Nations Joint Staff Pension Fund

Overall results relating to management of human resources in the United Nations Joint Staff Pension Fund were initially assessed as partially satisfactory. Implementation of five important recommendations remains in progress.

FINAL OVERALL RATING: PARTIALLY  
SATISFACTORY

27 November 2015  
Assignment No. AS2014/800/03

## CONTENTS

	<i>Page</i>
I. BACKGROUND	1
II. OBJECTIVE AND SCOPE	2
III. AUDIT RESULTS	2-8
A. Recruitment and promotion policies and procedures	3-7
B. Performance management and development system	7-8
IV. ACKNOWLEDGEMENT	8
ANNEX I      Status of audit recommendations	
APPENDIX I   Management response	

# AUDIT REPORT

## Audit of human resources management in the United Nations Joint Staff Pension Fund

### I. BACKGROUND

1. The Office of Internal Oversight Services (OIOS) conducted an audit of human resources management in the United Nations Joint Staff Pension Fund (UNJSPF or the Fund).
2. In accordance with its mandate, OIOS provides assurance and advice on the adequacy and effectiveness of the United Nations internal control system, the primary objectives of which are to ensure: (a) efficient and effective operations; (b) accurate financial and operational reporting; (c) safeguarding of assets; and (d) compliance with mandates, regulations and rules.
3. The UNJSPF was established by the General Assembly of the United Nations to provide retirement, death, disability and related benefits for the staff of the United Nations, its agencies and 23 other organizations admitted to membership of the Fund.
4. The Memorandum of Understanding with respect to the United Nations Personnel Procedures Applicable to the UNJSPF was signed on 30 June 2000 and it established that the United Nations Secretariat would provide administrative services to the Fund in respect of recruitment, placement, classification, training and the administration of justice. The Fund's process for staff selection was therefore the same as that of the United Nations Secretariat, following relevant United Nations administrative instructions. The United Nations talent management system (Inspira) provided the Fund the technological infrastructure required to support its staffing, performance management and training.
5. As at 11 November 2014, 242 staff members worked in the UNJSPF: 176 in the Fund Secretariat and 66 in the Investment Management Division (IMD). There were 37 vacancies: 22 in the Fund Secretariat and 18 in IMD. The expenditures on posts were \$58 million in the 2012-2013 biennium: \$42 million in the Fund Secretariat and \$16 million in IMD. The payroll of the staff members in the UNJSPF was processed by the United Nations Secretariat.
6. During the period from 1 January 2011 to 31 October 2014, the UNJSPF completed 234 recruitment actions: 80 promotions, 83 new fixed-term appointments and 71 new and renewed temporary appointments. A total of 122 staff members separated from the Fund: 40 separations due to resignations, 19 due to retirement and 63 due to expiration of temporary appointments.
7. In the strategic framework for the period 2014-2015, the UNJSPF recognized the risk of loss of essential information, knowledge, expertise and institutional memory as a number of key staff was due for mandatory retirement in the next few years. It viewed that succession planning and knowledge transfer would be achieved through training and emphasis on middle management development.
8. Comments provided by the UNJSPF and the Department of Management are incorporated in *italics*.

## II. OBJECTIVE AND SCOPE

9. The audit was conducted to assess the adequacy and effectiveness of the UNJSPF governance, risk management and control processes in providing reasonable assurance regarding **effective management of human resources in the UNJSPF**.

10. This audit was included in the IAD work plan for 2014 due to the risk that ineffective management of human resources could adversely affect the Fund's ability to hire and retain key employees, reduce staff vacancies and optimize staff performance at all levels, which was essential for the sound operations of the Fund.

11. The key controls tested for the audit were: (a) recruitment and promotion policies and procedures; and (b) performance management and development system. For the purpose of this audit, OIOS defined these key controls as follows:

(a) **Recruitment and promotion policies and procedures** – controls that provide reasonable assurance that the UNJSPF follows applicable policies and procedures in recruiting and promoting staff.

(b) **Performance management and development systems** – controls that provide reasonable assurance that measures are in place to manage and assess staff performance; identify training and development needs; and design and implement training plans to optimize staff performance.

12. The key controls were assessed for the control objectives shown in Table 1. Two control objectives (shown in Table 1 as “Not assessed”) were not relevant to the scope defined for this audit.

13. OIOS conducted this audit from 1 December 2014 to 15 March 2015. The audit reviewed the Fund's recruitment and separation processes and use of temporary assistance for the period from 1 January 2011 to 31 December 2014. It also reviewed the performance management and development systems from the 2012-2013 cycle onward. The audit did not cover payroll and administration of staff entitlements as these were processed by the United Nations Secretariat.

14. The audit scope also excluded the issues which were covered in a separate audit engagement titled “Special review of selected issues related to the UNJSPF”.

15. OIOS conducted an activity-level risk assessment to identify and assess specific risk exposures, and to confirm the relevance of the selected key controls in mitigating associated risks. Through interviews, analytical reviews and tests of controls, OIOS assessed the existence and adequacy of internal controls and conducted necessary tests to determine their effectiveness.

## III. AUDIT RESULTS

16. The UNJSPF governance, risk management and control processes examined were assessed as **partially satisfactory**<sup>1</sup> in providing reasonable assurance regarding **effective management of human resources in the UNJSPF**. OIOS made four recommendations to the UNJSPF and one to the Office of

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<sup>1</sup> A rating of “**partially satisfactory**” means that important (but not critical or pervasive) deficiencies exist in governance, risk management or control processes, such that reasonable assurance may be at risk regarding the achievement of control and/or business objectives under review.

Human Resources Management (OHRM) to address issues identified in this audit. The Fund complied with the established procedures to obtain the necessary endorsements and approvals in the recruitment process. However, job openings for some highly specialized staff were not widely advertised resulting in selections being made from a small number of candidates. The composition of some assessment panels did not meet the established criteria and there was a need to initiate the hiring process in a timely manner. The Fund was taking action to improve training opportunities for staff and compliance with the performance management system; however it needed to further improve the latter. OHRM needed to strengthen access control and privilege management for completed recruitment cases in Inspira.

17. The initial overall rating was based on the assessment of key controls presented in Table 1 below. The final overall rating is **partially satisfactory** as implementation of five important recommendations remains in progress.

**Table 1: Assessment of key controls**

Business objective	Key controls	Control objectives			
		Effective and efficient operations	Accurate financial and operational reporting	Safeguarding of assets	Compliance with mandates, regulations and rules
Effective management of human resources	(a) Recruitment and promotion policies and procedures	Partially satisfactory	Not assessed	Not assessed	Partially satisfactory
	(b) Performance management and development system	Partially satisfactory	Not assessed	Not assessed	Partially satisfactory
<b>FINAL OVERALL RATING: PARTIALLY SATISFACTORY</b>					

**A. Recruitment and promotion policies and procedures**

The Fund followed the procedures to obtain the necessary endorsements and approvals in the recruitment process

18. The United Nations administrative instructions and manuals on the staff selection system established the standard procedures and requirements for appointments of staff for one year or longer. It established that job openings, to the greatest extent possible, should be based on generic job profiles approved by OHRM, and that the evaluation criteria of job openings created on the basis of individually classified job descriptions would require approval by the Central Review Body (CRB). The procedure also required endorsement/approvals by CRB and/or OHRM in various phases of the recruitment process.

19. OIOS reviewed the staff selection process from creation of a job opening to endorsement by CRB for a sample of 30 cases: 15 new appointments and 15 promotions, which accounted for approximately 18 per cent of the total number of fixed-term appointments completed during the period from 2011 to 2014.

20. Both the Fund Secretariat and IMD narrowed down the number of applicants to a pool of qualified candidates through the following: (i) Inspira automatically filtered applicants based on screening questions and OHRM also manually reviewed eligibility of applicants; (ii) an assessment panel in the UNJSPF conducted a preliminary evaluation of applicants; (iii) the panel further assessed substantive

knowledge against the requirements of posts by written or other assessment methods; and (iv) the panel finalized its assessment with a competency-based interview of the applicants who successfully passed the previous stages.

21. The review of the 30 cases showed that: (i) in 27 cases or 90 per cent of the sample, the Fund used specific (individually classified) job profiles instead of generic job profiles for the job openings, which required an approval by CRB; (ii) in six cases the Fund posted the job openings for 30 calendar days instead of the standard 60 days; and (iii) in three cases the Fund made an exemption from one of the eligibility requirements. The documentation indicated that the Fund, in all cases, obtained the endorsement/approval of CRB and/or OHRM as required.

22. Based on the sample review, OIOS concluded that the Fund followed the established procedures to obtain the necessary endorsements/approvals as required in various stages of the recruitment process.

There was a need to advertise vacancies of highly specialized posts more widely

23. The UNJSPF human resources guiding principles recognized the Fund's need of a specialized workforce with professional pension administration or investments management experience and knowledge. Taking this into consideration, the General Assembly, in its resolution 68/247, requested the Pension Board to continue to take all the necessary measures to address the difficulty of finding suitable candidates.

24. OIOS reviewed a sample of 30 recruitment cases to assess the Fund's process of identifying suitable candidates. In all 30 cases, the UNJSPF advertised the vacancies in Inspira for 30 to 80 days to reach internal and external applicants. IMD, in addition to posting vacancies on Inspira, encouraged the hiring managers to advertise professional staff vacancies in financial media to ensure broader dissemination of the vacancies.

25. However, for five highly specialized posts; external media were used for only one case, which attracted 82 applications after the automatic and manual screening. The remaining four cases were advertised solely in Inspira, which resulted in 23 applications on average. In one case, the job opening attracted 11 applications, four of which were withdrawn before the evaluation process. The preliminary assessment thus began with seven applicants.

26. IMD did not use external advertisement media in certain cases because the hiring managers considered that an advertisement in Inspira would reach enough internal and external applicants. IMD had not established an approach to use external advertisement media consistently for highly specialized posts.

27. Selecting from a small applicant pool might constrain the Fund from selecting the most suitable candidates.

**(1) IMD should institute the consistent use of external advertisement media for highly specialized posts to increase the chances of reaching a larger number of suitable candidates.**

*IMD accepted recommendation 1 and stated that it would use external advertising for all highly specialized positions. Recommendation 1 remains open pending receipt of documentation on the procedure introduced to consistently advertise highly specialized vacant posts on external media.*

The composition of assessment panels needed to meet established criteria

28. The administrative instruction on the staff selection system required that members of an assessment panel should be at the same or a higher level to the position under review and hold a fixed-term, permanent or continuing appointment. The panel should include at least two subject matter experts and one female member, and should have completed the mandatory competency-based interview training prior to serving on the panel.

29. OIOS review of a sample of 30 recruitment cases showed that: (i) for two vacancies in the professional categories, the interview panel did not include subject matter experts; (ii) in two cases, the panel did not include a female member; and (iii) in 10 cases, at least one member of the assessment panel had not completed the mandatory competency-based interviewing training prior to serving on the panel.

30. The Fund did not have the effective review process to ensure that the assessment panel met the established requirements.

31. Partial adherence to the requirements for assessment panel might result in inconsistent or ineffective assessment.

**(2) The UNJSPF should establish a procedure to review and approve the composition of assessment panels set up to assess applicants for job openings.**

*The UNJSPF accepted recommendation 2 and stated that the Executive Office would prepare a checklist to be signed by the hiring team, which would be used to verify that the composition of assessment panels complied with the relevant instructions. Recommendation 2 remains open pending receipt of evidence that the Fund has introduced a checklist to verify that the composition of assessment panels complies with relevant instructions.*

The Fund needed to initiate the hiring process in a timely manner

32. The General Assembly, in its resolution 63/250, requested that all anticipated and immediate vacancies be properly advertised and filled quickly. It also endorsed a goal of 120 days from the advertisement of a post to the selection of a candidate (including an advertisement period of up to 60 days).

33. As at 1 November 2014, the vacancy rates of the Fund Secretariat and IMD were 11 per cent and 22 per cent respectively. IMD showed a higher vacancy rate principally due to the 20 new posts that were approved for the 2014-2015 biennium.

34. The review showed that two cases or 7 per cent of the 27 sampled cases (excluding three roster selections from the 30 cases) met the 120-day timeline.

35. The Fund reviewed the status of recruitment activities during weekly senior management meetings, however there were delays in initiating the recruitment process in the Fund Secretariat after a post became vacant. In nine cases during the period from 2011 to 2014, it took more than one year to initiate the recruitment process; including two cases which took more than two years after the post became vacant due to promotion.

36. Moreover, there were delays in filling vacated posts due to retirement. The UNJSPF had a process to initiate the hiring process six months ahead of the forecasted retirement. Although the Fund generally followed the process, it often took more than 12 months to fill the posts. The United Nations

Secretariat faced a similar issue, and in the report on human resources management (A/67/324), decided to initiate the recruitment process 12 months before the anticipated retirement date of staff members.

37. The UNJSPF explained that the delays in initiating the recruitment process were due to exigencies of service or increased demand of daily operations as well as technical issues with Inspira. Although the recruitment process included targets for activities between the completion of a job requisition to the selection of a candidate, UNJSPF had not established any targets for the period between a vacancy occurring and initiating the recruitment process.

38. Delays in filling posts often resulted in use of retirees for temporary assistance. While some retirees were hired to contribute to the Integrated Pension Administration System (IPAS) project or backfill the staff who participated in the project, OIOS observed cases where the temporary appointments were renewed multiple times to assist in the daily operations that were not related to the project or its backfill. Delays could also add workload on existing staff members, which might adversely affect the quality of the Fund's services.

**(3) The UNJSPF should set and monitor targets for the period between a vacancy occurring and initiating the recruitment process.**

*The UNJSPF accepted recommendation 3 and stated that the Executive Office would send an email to the hiring manager advising the initiation of recruitment no later than 30 days after the effective date of the vacancy. Recommendation 3 remains open pending receipt of documentation on the process for monitoring the target for the period between a vacancy occurring and initiating the recruitment process.*

Access privileges to recruitment activities in Inspira needed to be better managed

39. Best practice in computer security required users' privileges to be based on the necessities of their roles and responsibilities.

40. Staff members who were granted access as hiring manager or hiring team member to certain recruitment cases in Inspira retained their access rights after the selections were completed. This included nine staff members who had separated from the Fund. The access did not allow changes to the final dispositions once selections were made; however, it provided privileges including altering scores of assessment tests, downloading Personal History Forms, viewing assessment analysis and reports as well as transmittals to CRB, and deleting documents uploaded in Inspira. (OHRM retained system logs of changes made to the scores of assessment tests.) The access also allowed the hiring team members to add anyone with the United Nations identification number as hiring manager, granting them the same privileges.

41. Due to the system design of Inspira, the completed recruitment cases remained unlocked. OHRM did not revoke the unnecessary access privileges for closed recruitment cases in Inspira.

42. Lack of a process of invalidating unnecessary access privileges posed the risk of inappropriate access to data, which might result in exposure of personal and other confidential information or deleting or altering the basis of selection decisions.

**(4) OHRM should review and strengthen access control and privilege management for completed recruitment cases in Inspira.**

*The Department of Management accepted recommendation 4 and stated that OHRM would remind*



*all executive officers and local human resources officers that they are accountable and should ensure the removal of Inspira System roles from staff as they retire or separate from their respective departments and inform OHRM accordingly. Recommendation 4 remains open pending receipt of evidence that action has been taken to review and strengthen access control and privilege management for completed recruitment cases in Inspira.*

The Fund processed separation cases in compliance with the established rules and procedures

43. The standard procedures for separation required completion of a clearance form, exit interview, creation of personnel action in the Integrated Management Information System by the Executive Office and completion of attendance records by staff members and the Executive Office.

44. OIOS reviewed the separation process of 16 former staff members from January 2011 to December 2014: eight retirement and eight resignation cases. The review showed that the UNJSPF followed the established procedures and in all cases, the issuance of personnel action stopped all further payments which were queued in IMIS and the final remuneration was disbursed by OHRM after the aforementioned process was completed. OIOS, therefore, did not make any recommendations in this area.

## **B. Performance management and development systems**

The Fund was addressing the issue of inadequate relevant training programmes for the staff members

45. The United Nations policy on learning and development regarded maintaining the professional and managerial competence of staff as an important priority and a critical investment in the future of the Organization. The General Assembly also stressed in resolution 66/246 that equal training opportunities should be available for all staff in accordance with their functions and categories. Each department should determine its training needs and set targets for achieving the strategic priorities in its training plans.

46. In the review of the Fund's training plans and external training activities, OIOS noted that the Fund faced challenges in providing training to staff members in the Operations Section of the Fund Secretariat despite the high priority of this function. There was no outside training that could be provided to the staff due to the specialized nature of the tasks and calculations performed by the staff in the Section.

47. As the Fund expected significant changes in the pension administration processes following the implementation of IPAS, it developed an in-house training platform that would enable staff to undertake self-taught courses on the new processes in IPAS, including benefit calculations and adjustments. The Fund would also provide classroom training in other areas to cover the needs of the staff in the Operations Section. In light of the training plans and platform that would address the lack of specialized training for the staff, OIOS did not make any recommendations in this area.

The Fund needed to further improve its implementation of the performance management system

48. According to the United Nations administrative instruction on the performance management and development system, the primary responsibility for the timely execution of the system, overall compliance and consistent and fair implementation rested with the head of department or office. Each office was expected to complete performance evaluation of staff by 30 June of each year. The granting of salary increments should be subject to the satisfactory performance and conduct of staff members as evaluated by their supervisors.

49. The formal human resources performance management process was not yet fully established at the Fund Secretariat and IMD. OIOS analyzed the completion rate of staff performance evaluation for the 2012/2013 and 2013/2014 cycles ended 31 March 2013 and 2014 respectively. The review showed that as at 28 February 2015, the performance of 80 per cent of the Fund's staff had been evaluated for the 2012/2013 cycle and 62 per cent for the 2013/2014 cycle.

50. The Fund sent out several reminders to managers to ensure they and the staff they supervise complete their performance documents by the required deadlines. Despite the effort, the analysis further showed that as at 28 February 2015, approximately 40 per cent of staff members had not started their work plans for the 2014/2015 cycle ending on 31 March 2015. As of 30 June 2015, the completion rate for the 2014/15 cycle was 21 per cent.

51. The linkage between performance and rewards/penalties was not clear. The lack of consequence for non-compliance with the policy caused insouciance among staff in stringently following the performance management cycle. Delayed completion of the phases of the performance management cycle diminished the effectiveness and benefits of the process.

**(5) The UNJSPF should develop and implement an action plan to address the issue of non-completion and delayed completion of staff performance management evaluations.**

*The UNJSPF accepted recommendation 5 and stated that the Executive Office would: (i) prepare quarterly reports of cases of non-completion and delayed completion of performance documents for the review of senior managers; and (ii) send quarterly reminders to all staff members that have not completed the performance documents. Recommendation 5 remains open pending receipt of copies of the first set of quarterly reports and reminders on the completion of staff performance management documents.*

#### **IV. ACKNOWLEDGEMENT**

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

(Signed) David Kanja  
Assistant Secretary-General, Acting Head  
Office of Internal Oversight Services

## STATUS OF AUDIT RECOMMENDATIONS

## Audit of human resources management in the United Nations Joint Staff Pension Fund

Recom. no.	Recommendation	Critical <sup>2</sup> / Important <sup>3</sup>	C/ O <sup>4</sup>	Actions needed to close recommendation	Implementation date <sup>5</sup>
1	IMD should institute the consistent use of external advertisement media for highly specialized posts to increase the chances of reaching a larger number of suitable candidates.	Important	O	Submission of documentation on the procedure introduced to consistently advertise highly specialized vacant posts on external media.	November 2016
2	The UNJSPF should establish a procedure to review and approve the composition of assessment panels set up to assess applicants for job openings.	Important	O	Submission of evidence that the Fund has introduced a checklist to verify that the composition of assessment panels complies with relevant instructions.	June 2016
3	The UNJSPF should set and monitor targets for the period between a vacancy occurring and initiating the recruitment process.	Important	O	Submission of documentation on the process for monitoring the target for the period between a vacancy occurring and initiating the recruitment process.	June 2016
4	OHRM should review and strengthen access control and privilege management for completed recruitment cases in Inspira.	Important	O	Submission of evidence that action has been taken to review and strengthen access control and privilege management for completed recruitment cases in Inspira.	January 2016
5	The UNJSPF should develop and implement an action plan to address the issue of non-completion and delayed completion of staff performance management evaluations.	Important	O	Submission of copies of the first set of quarterly reports and reminders on the completion of staff performance management documents.	June 2016

<sup>2</sup> Critical recommendations address critical and/or pervasive deficiencies in governance, risk management or control processes, such that reasonable assurance cannot be provided with regard to the achievement of control and/or business objectives under review.

<sup>3</sup> Important recommendations address important (but not critical or pervasive) deficiencies in governance, risk management or control processes, such that reasonable assurance may be at risk regarding the achievement of control and/or business objectives under review.

<sup>4</sup> C = closed, O = open

<sup>5</sup> Date provided by the UNJSPF and Department of Management in response to recommendations.

# **APPENDIX I**

## **Management Response**

UNITED NATIONS JOINT STAFF PENSION FUND  
CAISSE COMMUNE DES PENSIONS DU PERSONNEL DES NATIONS UNIES

NEW YORK (Headquarters)  
P.O. Box 5036, UNITED NATIONS, N.Y., N.Y. 10017  
Tel: (212) 963-6931; Fax: (212) 963-3146  
E-mail: [UNJSPF@UN.ORG](mailto:UNJSPF@UN.ORG)  
Cable: UNATIONS NEWYORK  
Web: <http://www.unjspf.org>

OFFICE AT GENEVA  
c/o PALAIS DES NATIONS  
CH -1211, Geneva 10  
Tel: +41 (0) 22 928 8800; Fax: +41 (0) 22 928 9099  
E-mail: [UNJSPF.GVA@UNJSPF.ORG](mailto:UNJSPF.GVA@UNJSPF.ORG)  
Web: <http://www.unjspf.org>

## MEMORANDUM

Ref:

New York, 3 November 2015

To / A: Ms. Muriette Lawrence-Hume,  
Chief, New York Audit Service,  
Internal Audit Division, OIOS

From / De : Sergio B. Arvizú, Chief Executive  
Officer, United Nations Joint Staff  
Pension Fund

Carolyn Boykin, Representative of the  
Secretary-General for the investments  
of the United Nations Joint Staff  
Pension Fund

Subject / Objet: UNJSPF response to draft report of audit of human resources management in the UNJSPF (Assignment No. AS2014/800/03)

1. This is in reference to your memorandum dated 22 October 2015, in which you submitted for the Fund's comments and clarifications the draft report on the above-mentioned audit.
2. UNJSPF management wishes to thank OIOS for its comprehensive review of human resources management in the UNJSPF.
3. The Fund's response to the audit recommendations is included in Annex I.

cc.: Mr. F. Salon, UNJSPF Audit Section, OIOS  
Mr. P. Dooley, Deputy CEO  
Ms. C. De los Rios, Organizational Transition Manager  
Ms. K. Manosalvas, Audit Focal Point  
Mr. D. Willey, Audit Focal Point

UNITED NATIONS



NATIONS UNIES

UNITED NATIONS JOINT STAFF PENSION FUND  
CAISSE COMMUNE DES PENSIONS DU PERSONNEL DES NATIONS UNIES

NEW YORK (Headquarters)  
P.O. Box 5036, UNITED NATIONS, N.Y., N.Y. 10017  
Tel: (212) 963-6931; Fax: (212) 963-3146  
E-mail: [UNJSPF@UN.ORG](mailto:UNJSPF@UN.ORG)  
Cable: UNATIONS NEWYORK  
Web: <http://www.unjspf.org>

OFFICE AT GENEVA  
c/o PALAIS DES NATIONS  
CH -1211, Geneva 10  
Tel: +41 (0) 22 928 8800; Fax: +41 (0) 22 928 9099  
E-mail: [UNJSPF.GVA@UNJSPF.ORG](mailto:UNJSPF.GVA@UNJSPF.ORG)  
Web: <http://www.unjspf.org>

ANNEX I

AUDIT RECOMMENDATIONS

Audit of human resources management in the United Nations Joint Staff Pension Fund

Rec. no.	Recommendation	Critical <sup>1</sup> / Important <sup>2</sup>	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
1	IMD should institute a consistent approach to the use of external advertisement media for highly specialized posts to increase the chances of reaching a larger number of suitable candidates.	Important	Yes	Administrative Officer, IMD	Immediate	For all Investment Management Division highly specialized positions, IMD will use external advertising for those posts.
2	The UNJSPF should establish a procedure to review and approve the composition of assessment panels set up to assess applicants for job openings.	Important	Yes	Executive Office (for both Fund secretariat and IMD)	Jun-2016	The UN has defined procedures for the review and approval of the composition of assessment panels.  Hiring managers are responsible of the creation and composition of assessment panels. Executive Offices regularly review the composition of assessment panels.  To close the recommendation, the Executive Office will prepare a checklist to be signed by the hiring team, which will be used to verify that the composition of assessment

<sup>1</sup> Critical recommendations address critical and/or pervasive deficiencies in governance, risk management or control processes, such that reasonable assurance cannot be provided with regard to the achievement of control and/or business objectives under review.

<sup>2</sup> Important recommendations address important (but not critical or pervasive) deficiencies in governance, risk management or control processes, such that reasonable assurance may be at risk regarding the achievement of control and/or business objectives under review.

Rec. no.	Recommendation	Critical <sup>1</sup> / Important <sup>2</sup>	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
						panels complies with the relevant instructions.
3	The UNJSPF should set and monitor targets for the period between a vacancy occurring and initiating the recruitment process.	Important	Yes	Executive Office (for Fund secretariat and IMD)	Jun-2016	<p>The Fund has an established process and reports for monitoring the status of current vacancies, projected retirements and the completion of recruitment processes. In addition, the recruitment system has embedded targets and automatic reminders for all steps in the recruitment process.</p> <p>To close this recommendation, when a position is vacant, the Executive Office will send an email to the hiring manager advising to initiate recruitment not later than 30 days after the effective date of the vacancy. The Fund will provide to OIOS evidence of the emails sent by the Executive Office.</p>
4	OHRM should review and strengthen access control and privilege management for completed recruitment cases in Inspira.	Important	N/A			To be responded by OHRM.
5	The UNJSPF should develop an action plan to address the issue of non-completion and delayed completion of performance management evaluations.	Important	Yes	Executive Office (for Fund secretariat and IMD)	Jun-2016	<p>To promote the completion of performance management evaluations, the Executive Office will:</p> <p>i) Prepare quarterly reports of cases of non-completion and delayed completion of performance documents for the review of senior managers; and</p>

Rec. no.	Recommendation	Critical <sup>1</sup> / Important <sup>2</sup>	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
						<p>ii) Send quarterly reminders to all staff members that have not completed the performance documents.</p> <p>To close the recommendation, the Fund will provide to OIOS, copy of the reports and reminders sent by the Executive Office.</p>



United Nations



INTEROFFICE MEMORANDUM

Nations Unies

MEMORANDUM INTERIEUR

TO: Ms. Muriette Lawrence-Hume, Chief  
A: New York Audit Service, Office of Internal Oversight Services

DATE 18 November 2015

THROUGH: Christian Saunders, Director  
S/C DE: Office of the Under-Secretary-General for Management

FROM: Mario Baez, Chief, Policy and Oversight Coordination Service  
DE: Office of the Under-Secretary-General for Management

SUBJECT: **Draft report on an audit of human resources management in the United Nations Joint Staff Pension Fund (Assignment No. AS2014/800/03)**  
OBJET: **Draft report on an audit of human resources management in the United Nations Joint Staff Pension Fund (Assignment No. AS2014/800/03)**

1. We refer to your memorandum dated 22 October 2015 regarding the above subject draft report and provide the comments of the Department of Management (DM) on recommendation 4 in the attached Appendix I.
2. Thank you for giving us the opportunity to provide comments on the draft report.

15-02944  
18 Nov 2015

## Management Response

## Audit of human resources management in the United Nations Joint Staff Pension Fund

Rec. no.	Recommendation	Critical <sup>1</sup> / Important <sup>2</sup>	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
1	IMD should institute a consistent approach to the use of external advertisement media for highly specialized posts to increase the chances of reaching a larger number of suitable candidates.	Important				
2	The UNJSPF should establish a procedure to review and approve the composition of assessment panels set up to assess applicants for job openings.	Important				
3	The UNJSPF should set and monitor targets for the period between a vacancy occurring and initiating the recruitment process.	Important				
4	OHRM should review and strengthen access control and privilege management for completed recruitment cases in Inspira.	Important	Yes	Acting Director, Strategic Planning and Staffing Section, OHRM	31 March 2016	OHRM will request UNJSPF on a periodic basis to provide a list of staff members who separated from the Organization in order for OHRM to ensure that their Inspira roles are removed.  Additionally, OHRM will remind all Executive Offices / local HR Offices that they are accountable and should ensure removal of Inspira roles from staff members as they

<sup>1</sup> Critical recommendations address critical and/or pervasive deficiencies in governance, risk management or control processes, such that reasonable assurance cannot be provided with regard to the achievement of control and/or business objectives under review.

<sup>2</sup> Important recommendations address important (but not critical or pervasive) deficiencies in governance, risk management or control processes, such that reasonable assurance may be at risk regarding the achievement of control and/or business objectives under review.

Rec. no.	Recommendation	Critical/ Important <sup>2</sup>	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
						<p>retire/separate from their respective department and inform OHRM accordingly.</p> <p>In the case of a UNJSPF staff member who was assigned a Hiring Manager Role and who transfers to another office/ department of the Secretariat, the role she/he worked on in a particular job opening will be retained. However, information on any transaction undertaken in Inspira after the transfer can be obtained from the Inspira support team through the audit trails.</p>
5	The UNJSPF should develop an action plan to address the issue of non-completion and delayed completion of performance management evaluations.	Important				