INTERNAL AUDIT DIVISION

REPORT 2015/128

Audit of the Field Personnel Specialist Support Service in the Department of Field Support

Overall results relating to the effective management of operations and recruitment activities of the Field Personnel Specialist Support Service in the Department of Field Support were initially assessed as partially satisfactory. Implementation of eight important recommendations remains in progress

FINAL OVERALL RATING: PARTIALLY SATISFACTORY

22 October 2015
Assignment No. AP2015/615/01

CONTENTS

AUDIT REPORT

Audit of the Field Personnel Specialist Support Service in the Department of Field Support

I.   BACKGROUND

1.   The Office of Internal Oversight Services (OIOS) conducted an audit of the Field Personnel Specialist Support Service (FPSSS) in the Department of Field Support (DFS).

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.   FPSSS is part of the Field Personnel Division (FPD) of DFS and is responsible for the recruitment and administration of civilian staff serving in field missions. The core functions of FPSSS include: (a) developing and implementing recruitment strategies for field operations; (b) creating and maintaining rosters of pre-vetted and qualified candidates; (c) developing and implementing career management strategies, frameworks and tools for staff; (d) coordinating targeted outreach activities; and (e) vacancy management, recruitment and placement of mission staff up to the D-2 level. Hiring managers in field missions either recruit from rosters or from position-specific job openings. Occupational group managers in FPSSS conduct recruitments for generic job openings for placing candidates on rosters. For the period under review, 89 per cent (1,448 out of 1,633) of all recruitments by hiring managers were made from recruit from roster job openings.

4.   FPSSS is headed by a Deputy Director/Chief of Service at the D-1 level and comprises two sections and one unit: Outreach and Workforce Planning Section; Recruitment Section; and Career Development and Human Resources Capacity Building Unit. For 2014/15, the approved staffing for FPSSS comprised 17 posts and 16 general temporary assistance positions (including 12 occupational group managers at the P-3 level) funded from the support account. The FPSSS budget was included in FPD budgets. FPD budgets for 2013/14 and 2014/15 were $18.1 million and $18.2 million, respectively.

5.   Comments provided by DFS are incorporated in italics.

II.   OBJECTIVE AND SCOPE

6.   The audit of FPSSS was conducted to assess the adequacy and effectiveness of DFS governance, risk management and control processes in providing reasonable assurance regarding the **effective management of operations and recruitment activities of FPSSS in DFS.**

7.   The audit was included in the 2015 risk-based work plan of OIOS due to the operational, financial and reputational risks relating to the recruitment of field staff.

8.   The key control tested for the audit was recruitment policies and procedures. For the purpose of this audit, OIOS defined this key control as the one that provides reasonable assurance that adequate recruitment policies and procedures are in place and are consistently followed.

9.   The key control was assessed for the control objectives shown in Table 1. One control objective shown in Table 1 as "Not assessed" was not relevant to the scope defined for this audit.

10.   OIOS conducted this audit from February to May 2015. The audit covered the period from 1 January 2014 to 30 April 2015 and reviewed recruitment activities for field staff from FS-4 to D-2 levels including the creation of job openings, evaluation and assessment of applicants, submission of recommended candidates to field central review bodies and selection decisions. The audit reviewed the timeliness of recruitment decisions and assessed the performance of FPSSS in monitoring human resources management targets and recruitment activities of field missions. The audit included a review of 60 recruitment cases (15 recruitments from rosters, 32 position-specific job openings and 13 generic job openings). The audit also included an assessment of the effectiveness of work force planning, career support strategies and outreach activities.

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

12.   The audit scope did not include: the functioning of the field central review bodies as OIOS audited it previously; and the activities of the Senior Review Group that offers advice on recommendations to the Secretary-General for selections at the D-2 level.

III. AUDIT RESULTS

13.   The DFS governance, risk management and control processes examined were initially assessed as **partially satisfactory**[1] in providing reasonable assurance regarding the **effective management of operations and recruitment activities of FPSSS in DFS**. OIOS made eight recommendations to address the issues identified. DFS focused on achieving its key human resources management strategic indicators that included attracting candidates from troop-/police-contributing countries; working collaboratively with the Office of Human Resources Management (OHRM) in developing a global strategy on workforce planning; developing a user guide to aid field mission staff on workforce planning; and developing outreach and sourcing strategies with external partners.

14.   To improve its recruitment activities, DFS needed to: (a) obtain from DM a clear definition of respective roles of DFS and DM in enforcing accountability of heads of missions for achieving human resources performance indicators; (b) establish a system for monitoring and evaluating the effectiveness of outreach activities; (c) work with OHRM to ensure alignment of its workforce planning strategy with organization-wide strategies; (d) optimize the use of existing human resources management tools to facilitate workforce planning; (e) establish a mechanism for monitoring recruitment timelines; (f) ensure completeness of documentation of recruitment cases in Inspira; (g) develop appropriate guidelines for assessing candidates; and (h) establish additional monitoring controls over the recruitment process in field missions.

15.   The initial overall rating was based on the assessment of key control presented in Table 1. The final overall rating is **partially satisfactory** as implementation of eight important recommendations remains in progress.

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[1] 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.

Table 1: Assessment of key control

Business objective	Key control	Control objectives			
		Efficient and effective operations	**Accurate financial and operational reporting**	**Safeguarding of assets**	**Compliance with mandates, regulations and rules**
Effective management of operations and recruitment activities of FPSSS in DFS	Recruitment policies and procedures	Partially satisfactory	Partially satisfactory	Not assessed	Partially satisfactory
FINAL OVERALL RATING: PARTIALLY SATISFACTORY					

Recruitment policies and procedures

<u>Gender representation targets were not met and no mechanism was in place to measure impact of outreach activities</u>

16.   DFS uses its strategic indicators of representation from troop/police contributing countries and women, among others, to report missions' annual performance on human resources management activities. The Inspira Manual places responsibility on hiring managers to ensure selection proposals are reasoned and supported and take account of established human resources targets. Pursuant to various General Assembly resolutions, the Under-Secretary-General of DFS is required to implement monitoring mechanisms to ensure accountability for delegated authority given to heads of missions. FPSSS is also responsible for reaching out to Member States, regional organizations, peacekeeping partners, professional networks and sister organizations to meet human resources capacity needs of the Organization.

17.   A review of DFS strategic approach for achieving its human resources targets indicated that DFS made commendable efforts in some areas. For example, human resources scorecards for missions recorded that, as of 30 April 2015, over 80 per cent of staff were recruited from troop/police contributing countries. However, DFS and missions were less successful in achieving established gender targets. A review of data as of 30 April 2015 on gender targets indicated that missions achieved only 54 per cent, 63 per cent and 60 per cent of their established gender targets in senior, non-senior and general service related posts categories, respectively. This resulted partly as missions were not always selecting women who were equally qualified for positions. For example, a review of 24 job openings that resulted in a selection decision indicated that in 8 job openings, heads of missions selected a man over an equally qualified female candidate.

18.   The Under-Secretary-General of DFS delegated human resources management authority to heads of missions, who had specific metrics in their compacts with the Secretary-General and were responsible for achieving them. A review of documents and available information indicated that the role of DFS in enforcing the heads of missions' accountability for achieving these performance indicators was not clearly defined. As a result, DFS had not implemented a mechanism to obtain reasons for not achieving established gender targets. DFS also had not developed, in conjunction with missions, action plans for when performance indicators were not achieved. As a result, the representation of women in all missions, as of 30 April 2015, did not meet the established global target of 50 per cent.

19.   In addition, FPSSS did not implement mechanisms to: measure the impact of its outreach activities in improving diversity of the roster of candidates; and obtain direct feedback from targeted audiences. As a result, FPSSS was unable to determine what percentage of applications from women resulted from its targeted outreach activities. Therefore, FPSSS was not able to quantify objectively the effectiveness of its outreach activities.

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(1) DFS should obtain from DM a clear definition of respective roles of DFS and DM in enforcing accountability of heads of missions for achieving human resources related performance indicators and develop an accountability framework for achieving its targets.

DFS accepted recommendation 1 and stated that FPD sought guidance from DM on the roles, responsibilities and accountability of DFS related to heads of missions reaching human resources targets. FPD would proceed with the creation of the accountability framework as a deliverable from the Global Field Support Strategy. Recommendation 1 remains open pending receipt of evidence of the creation of an accountability framework for the achievement of human resources related targets.

(2) DFS should establish a system for monitoring and evaluating the effectiveness of outreach activities carried out by the Field Personnel Specialist Support Service.

DFS accepted recommendation 2 and stated that a system for monitoring and evaluating the effectiveness of outreach activities carried out by FPSSS was implemented through the use of an information technology platform named Web Information for Development. Recommendation 2 remains open pending verification by OIOS of the Web Information for Development system that has been established.

<u>DFS needed to work with DM to ensure its workforce planning was aligned with organization-wide workforce planning strategies</u>

20.   General Assembly resolution 63/250 dated 10 February 2009 specifies the need for strategic workforce planning to proactively support human resources needs of the United Nations with the objective of developing a global strategy and approach on workforce planning. The report of the Secretary-General on the Global Field Support Strategy dated 26 January 2010 further called for the development of a workforce planning framework.

21.   To comply with the General Assembly resolution, OHRM assembled a workforce planning Advisory Group composed of subject-matter experts from both field and non-field operations, a Steering Committee and a Core Working Team, both with representation from FPD/DFS. The Advisory Group conducted a pilot workforce planning project for the Medical Services Division to identify lessons learned and to develop opportunities for improvement. The Group also developed a workforce planning Practitioner's Guidebook in May 2014. However, the Advisory Group did not develop an official strategy on workforce planning from the lessons learned from the pilot study and its deliberations, and the related study was discontinued. According to OHRM, the timing and next steps in the development of a strategy were tied to the deployment of the new mobility and career framework.

22.   For its part, FPSSS developed a user guide to aid field mission staff on workforce planning and was in the process of developing a workforce planning framework and concept. Other priorities of FPSSS in workforce planning included job classifications, nationalization of staff and streamlining of the recruitment process. However, as DM, which had responsibility for overall organization-wide workforce planning had not completed the guidance on the organization-wide workforce planning strategy due to

competing priorities, there was an unmitigated risk that the strategic approach on workforce planning followed by DFS will not be aligned with any final organization-wide approach.

> **(3) DFS, working with DM, should identify common areas to ensure that its workforce planning activities are aligned with the organization-wide workforce planning strategies and framework.**
>
> *DFS accepted recommendation 3 and stated that it would continue to work with OHRM to develop and implement a workforce planning system that addresses specific requirements of the fields that could apply across the Secretariat.* Recommendation 3 remains open pending receipt of a copy of the FPD workforce planning framework and evidence of consultations with DM, where appropriate.

Human resources tools were not optimally used

23.   Secretary-General's reports on human resources management reform specified the need to: integrate various policies and processes on strategic workforce planning, recruitment and targeted outreach; and develop supporting tools to facilitate meeting the Organization's human resources targets.

24.   A review of FPSSS documentation and interviews with section/unit heads indicated that FPSSS endeavoured to integrate various human resources activities, such as strategic workforce planning, recruitment and targeted outreach. For example, the Recruitment Section of FPSSS developed a yearly schedule of generic job openings based on identified workforce requirements of field missions and the Outreach Unit developed United Nations-branded outreach materials and used print and broadcast media and the internet to attract personnel with the required skills to fill projected gaps in the workforce. FPSSS also used various tools for human resources management such as the e-talent management system, Inspira and the Human Resources Insight system for forecasting retirements, vacancies and monitoring strategic and operational indicators.

25.   However, FPSSS did not have a strategy for using the information from the various tools in an integrated manner to support workforce planning. For example, although FPSSS could obtain information on vacancies and upcoming retirements from supporting tools, delays averaging 183 days in filling vacant posts continued to occur. As a result, DFS was not using information from the human resources management tools effectively to facilitate meeting the Organization's human resources targets.

> **(4) DFS should implement an action plan to optimize the use of existing human resources management tools to facilitate workforce planning.**
>
> *DFS accepted recommendation 4 and stated that it was widening the pool of missions piloting the draft Workforce Planning User Guide and it would be consolidating comments with the view to promulgating the guide by June 2016. Additionally, DFS was looking at developing general guidance on ways by which nationalization of capacities could be achieved holistically.* Recommendation 4 remains open pending receipt of evidence that the existing tools have been refined and adjusted and are used to facilitate workforce planning.

Recruitment delays were not always monitored and addressed in a timely manner

26.   The Inspira Manual establishes a recruitment timeline target of 60 days for processing recruitment cases from the closing of the job posting to the selection decision for generic job openings and position-specific job openings. The target for recruit from roster job openings is 28 days.

27.   A review of the 24 cases (4 recruit from roster job openings, 12 position-specific job openings and 8 generic job openings) that resulted in a selection or rostering decision indicated delays in the process, as follows:

- All four recruitment cases from roster job openings took an average of 146 days from the closing of posting of the job opening to the selection decision;

- Seven of the 12 recruitment cases from position-specific job openings took an average of 192 days from the closing of the job posting to the selection decision. The other five cases were completed within 60 days; and

- All eight recruitment cases from generic job openings took an average of 177 days from the closing of posting of the generic job opening to the rostering of candidates.

28.   Additionally, of the 60 recruitment cases selected for review, 20 cases were in progress and remained open on average for a period of 227 days as at 30 April 2015.

29.   DFS used the United Nations Insight system to record the achievement of strategic and operational indicators on human resources, including those relating to recruitment timelines. However, DFS had not implemented procedures for reviewing available data from Insight and for obtaining reasons for recruitment delays in order to take action to reduce them. Consequently, field missions continued to encounter delays in recruiting, resulting in positions remaining vacant for prolonged periods, or being filled by staff in an acting capacity, increasing the risk of operations being negatively impacted

> **(5) DFS should implement procedures for monitoring recruitment timelines and obtaining explanations for significant delays in the process to provide additional support and guidance as required.**
>
> *DFS accepted recommendation 5 and stated that it implemented a recruitment dashboard to monitor recruitment timelines by mission on a quarterly basis. DFS was also working with OHRM to have field recruitment timelines available in the Insight system.* Recommendation 5 remains open pending verification by OIOS of implementation of the dashboard monitoring tool to manage recruitment timelines.

Inspira was not consistently updated with all relevant information

30.   The Inspira Manual requires staff involved in recruitment to file all relevant information on recruitment cases in Inspira. The system provides capacity to upload documents, to record explanations related to the process and to document decisions made in the recruitment process.

31.   A review of available documentation for 60 recruitment cases indicated that staff involved in the recruitment process did not systematically upload all information in Inspira, as follows: (a) names of interviewers in three of the seven cases where interviews took place; (b) requests for position-specific job openings in five cases; (c) cancellation requests for six cancelled job openings; and (d) results of technical assessments in two of the seven cases where technical tests were administered. Additionally, for all nine cases presented to a field central review body and processed in Inspira, the occupational group managers/hiring managers did not file in the system the communication from the field central review body regarding the cases presented.

32.   DFS provided Inspira users with periodic training on the requirement to upload documents in the system; however, occupational group managers/hiring managers were not fully complying with required procedures. DFS had not identified the lack of complete documentation on recruitment cases because it had not established a procedure to monitor and check that Inspira users were performing their functions effectively. As a result, users were not making optimal use of the system in maintaining relevant documents to support the recruitment process, increasing the risk of important information and decisions not being subsequently available.

> **(6) DFS should establish procedures to periodically monitor the adequacy and completeness of recruitment documentation uploaded in Inspira.**
>
> *DFS accepted recommendation 6 and stated that in addition to the guidance that existed in recruitment manuals, it would revise the position-specific job opening request form to instruct or remind recruiters of the need to upload relevant job information in Inspira. In addition, FPD planned to remind chief human resources officers of the requirement to consistently upload documentation in Inspira.* Recommendation 6 remains open pending review of the revised position-specific job openings request form and the communication from FPD to chief human resource officers reminding them to ensure adequate documentation is uploaded in Inspira.

There was a need to implement appropriate assessments for rostering candidates

33.   General Assembly resolution 68/265 specified that the global mobility scheme would be implemented beginning October 2015 in stages by job network. Once implemented, only staff members who were regularized would be eligible to participate in the scheme. To be regularized, staff were required to be recruited through a competitive process, reviewed by a field or central review body and have adequate reference checks.

34.   As at 31 December 2014, peacekeeping missions had 1,188 staff who were not yet regularized. As part of its effort to regularize field staff, FPSSS conducted a campaign to develop rosters to fill posts at the FS-4 and FS-5 levels and to regularize staff still holding appointments limited to service in their specific missions.

35.   Of the 30,754 external and internal applicants, 1,907 (6.2 per cent) were endorsed by the field central review bodies for placement on rosters with many applicants failing the initial assessment. For example, for two recruitment cases for which there were 1,600 applicants, none passed the assessment. In one of these cases, the hiring manager had set a very high pass mark of 90 per cent for a 21-question test. The above resulted partly as not all staff were aware of the existence of the guidance on assessing applicants. OIOS was also of the view that recruiters needed additional guidelines and tools such as checklists and templates to facilitate and standardize the assessment of candidates. The low yield rates resulted in inefficient use of resources.

> **(7) DFS should direct recruiters to guidelines in recruitment manuals on assessment of applicants and develop and implement further assessment tools such as checklists and templates to ensure effectiveness and efficiency in recruiting field mission staff.**
>
> *DFS accepted recommendation 7 and stated that FPD would seek training opportunities for recruiters on screening applicants and explore opportunities for developing further tools such as checklists and templates to facilitate and standardize assessments.* Recommendation 7 remains open pending receipt of evidence that further guidance and appropriate tools are made available to recruiters to facilitate the assessment of candidates.

Systems for monitoring recruitment activities in field missions were needed

36.   DFS was required to monitor field missions' compliance with the terms of the delegation of human resources authority given to them, including the accuracy of processing recruitment transactions. A review of 60 recruitment cases indicated the following:

- In one case, after a competitive process, in November 2014, the hiring manager recommended two candidates for a position-specific job opening at the D-1 level. However, the hiring manager did not submit the case to the field central review body and the Head of Mission selected a staff member from another mission to temporarily fill the position which had remained vacant for 342 days as of 30 April 2015. The selected temporary staff member had applied to the position and had been unsuccessful in the evaluation process. The hiring manager did not provide any reason or justification in Inspira regarding the procedures undertaken;

- The job opening for a finance officer at the FS-6 level at the Regional Support Centre in Entebbe referred to competencies required for a position in the United Nations Joint Staff Pension Fund at the P-5 level. The hiring manager stated that this was due to an oversight while processing the job opening; and

- Five job openings were identified as position-specific job openings in the job opening details but the job posting special notice identified the job opening type as "recruit from roster." The occupational group manager who approved their posting stated that these resulted due to an oversight.

37.   The above resulted as DFS had not established adequate procedures for monitoring recruitment activities in field missions to identify errors, inconsistencies and anomalies or exceptions in a timely manner. Also, the Inspira system did not have adequate controls to ensure that the approved job type was not changed at the time of posting. As a result, errors and inconsistencies in the recruitment process were not identified in a timely manner, and hiring managers were not being held accountable for non-compliance with the recruitment process.

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(8) DFS should establish additional monitoring controls over the recruitment process in field missions such as running periodic exception reports to identify anomalies in the recruitment process and provide support and guidance as required.

DFS accepted recommendation 8 and stated that it developed a monitoring dashboard that was updated quarterly to provide oversight and support to field missions on recruitment. Recommendation 8 remains open pending verification by OIOS of the dashboard monitoring tool developed to monitor recruitment, including related anomalies, in field missions.

IV.   ACKNOWLEDGEMENT

38.   OIOS wishes to express its appreciation to the management and staff of DFS 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 the Field Personnel Specialist Support Service in the Department of Field Support

Recom. no.	Recommendation	Critical[1]/ Important[2]	C/ O[3]	Actions needed to close recommendation	Implementation date[4]
1	DFS should obtain from DM a clear definition of respective roles of DFS and DM in enforcing accountability of heads of missions for achieving human resources related performance indicators and develop an accountability framework for achieving its targets.	Important	O	Receipt of evidence of the creation of an accountability framework for the achievement of human resources related targets.	First quarter of 2016
2	DFS should establish a system for monitoring and evaluating the effectiveness of outreach activities carried out by the Field Personnel Specialist Support Service.	Important	O	Verification by OIOS of the Web Information for Development system established to monitor and evaluate outreach activities.	October 2015
3	DFS, working with DM, should identify common areas to ensure that its workforce planning activities are aligned with the organization-wide workforce planning strategies and framework.	Important	O	Receipt of a copy of the FPD workforce planning framework and evidence of consultations with DM, where appropriate.	First quarter of 2016
4	DFS should implement an action plan to optimize the use of existing human resources management tools to facilitate workforce planning.	Important	O	Receipt of evidence that the existing tools have been refined and adjusted and are used to facilitate workforce planning.	Second quarter of 2016
5	DFS should implement procedures for monitoring recruitment timelines and obtaining explanations for significant delays in the process to provide additional support and guidance as required.	Important	O	Verification by OIOS of implementation of the dashboard monitoring tool to manage recruitment timelines	October 2015
6	DFS should establish procedures to periodically monitor the adequacy and completeness of recruitment documentation uploaded in Inspira	Important	O	Receipt of the revised position-specific job openings request form and the communication from FPD to chief human resource officers reminding them to ensure adequate documentation is uploaded in Inspira.	First quarter of 2016

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[1] 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.

[2] 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.

[3] C = closed, O = open

[4] Date provided by DFS in response to recommendations.

STATUS OF AUDIT RECOMMENDATIONS

Audit of the Field Personnel Specialist Support Service in the Department of Field Support

Recom. no.	Recommendation	Critical[1]/ Important[2]	C/ O[3]	Actions needed to close recommendation	Implementation date[4]
7	DFS should direct recruiters to guidelines in recruitment manuals on assessment of applicants and develop and implement further assessment tools such as checklists and templates to ensure effectiveness and efficiency in recruiting field mission staff.	Important	O	Receipt of evidence that further guidance and appropriate tools are made available to recruiters to facilitate the assessment of candidates.	First quarter of 2016
8	DFS should establish additional monitoring controls over the recruitment process in field missions such as running periodic exception reports to identify anomalies in the recruitment process and provide support and guidance as required.	Important	O	Verification by OIOS of the dashboard monitoring tool developed to monitor recruitment, including related anomalies, in field missions.	October 2015

APPENDIX I

Management Response

Nations Unies

INTEROFFICE MEMORANDUM   MEMORANDUM INTERIEUR

CONFIDENTIAL
Routine

TO: Ms. Eleanor T. Burns, Director
A: Internal Audit Division, OIOS ,

DATE: **OCT 19 2015**

THROUGH: ,
S/C DE:

REFERENCE: UNHQ-AR-BOI-Memo-2-
2015-5976

FROM: Anthony Banbury, Assistant Secretary-General
DE: for Field Support

19oct15

SUBJECT: **Draft report on an audit of the Field Personnel Specialist Support**
OBJET: **Service in the Department of Field Support (AP2015/615/01)**

1.   I refer to your memorandum dated 25 September 2015 regarding the above-mentioned audit. We note that OIOS has taken into account our comments provided on 7 August 2015. The Department is providing additional comments on the recommendations contained in the draft report attached as Appendix I.

2.   Thank you for the opportunity to comment on the draft report. We stand ready to provide any further information that may be required.

Cc: Ms. Cynthia-Avena Castillo

Management Response

Audit of the Field Personnel Specialist Support Service in the Department of Field Support

Rec. no.	Recommendation	Critical[1]/ Important[2]	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
1	DFS should obtain from DM a clear definition of respective roles of DFS and DM in enforcing accountability of heads of missions for achieving human resources related performance indicators and develop an accountability framework for achieving its targets.	Important	Yes	Chief Quality Assurance and Information Management Section Chief Field Operations Support Service	First quarter of 2016	DFS' comments are reflected in the report. In addition, DFS has developed a global monitoring and accountability framework that will support and facilitate consistency, quality and standardisation in the performance of HRM functions in field missions, shared service centres, and support back offices. The global framework will provide a formal mechanism for DFS to oversee the performance of HRM functions in field missions and provide direct strategic advisory services on all delegated human resources management authorities to support field missions achieving HRM goals and targets. As highlighted in the section of the global monitoring and accountability framework about the Delegation of Authority, Heads of Missions are personally accountable for achieving their targets and for exercising their delegated authorities, in line with the applicable legal framework of the

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[1] 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.

[2] 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.

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Audit of the Field Personnel Specialist Support Service in the Department of Field Support

Rec. no.	Recommendation	Critical[1]/ Important[2]	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
						organization. Failure to abide by the provisions of delegations may result in its withdrawal and appropriate administrative or disciplinary action may be taken.
2	DFS should establish a system for monitoring and evaluating the effectiveness of outreach activities carried out by the Field Personnel Specialist Support Service.	Important	Yes	Chief Outreach and Workforce Planning Section	N/A	This recommendation has been implemented through the use of an information technology platform named Web Information for Development (WIDE). This outreach platform has a very broad range of features that allow DFS to effectively map Outreach Multipliers world-wide, conduct Outreach Campaigns and track and report on outcomes. For instance, since the roll out of WIDE, there are approximately 900 institutions and organizations, including the Permanent Missions to the United Nations in New York that have been registered.

In addition to registering Outreach Multipliers (Permanent Missions, organizations and institutions), WIDE enables DFS to monitor the level of engagement of each Multiplier, by allowing real time tracking of Outreach Campaigns. The reporting functionality of WIDE allows DFS to verify whether messages have been received, read, further disseminated and whether potential applicants have |

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						clicked on the URL associated with the Job Posting in Inspira. Hence, WIDE allows for the tracking of the degree of real time participation of individual registered Outreach Multipliers, which can be used to assess the effectiveness and impact of each outreach-targeted partnership.
3	DFS, working with DM, should identify common areas to ensure that its workforce planning activities are aligned with the organization-wide workforce planning strategies and framework.	Important	Yes	Chief Outreach and Workforce Planning Section	First quarter of 2016	Current workforce planning activities in the Secretariat are summarised and described in the overview report of human resources management in the Organization (**A/69/252**) submitted pursuant to General Assembly resolutions **67/255**, **68/252** and **68/265**. In paragraph 16 of resolution **68/252**, the General Assembly urged the Secretary-General to develop a workforce planning system as a matter of priority and to present it to the Assembly for consideration at its sixty-ninth session. Establishing an effective workforce planning process and institutionalising workforce planning as a new management discipline in the Secretariat requires significant effort, and emphasis needs to be placed on testing and learning through doing while building workforce planning capacity within

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						the human resources community in both field and non-field operations.
						Paragraph 30 of **A/69/190** states that: "in February 2014, the Office of Human Resources Management, in conjunction with the Department of Field Support, launched a project to develop a common workforce planning system that could be applied across the Secretariat. A workforce planning advisory group was established, composed of individuals working in various departments and offices with relevant experience in talent management, strategic planning and budgeting. In the initial phase and the conceptual design of the project, the team reviewed current workforce planning practices and lessons learned, developed a vision and new methodology for workforce planning, and conducted a pilot project with the Medical Services Division of the Office of Human Resources Management."
						Based on the findings of the pilot undertaken in the Medical Services Division in Headquarters and the 5-step approach framework designed in conjunction with OHRM, DFS drafted a workforce planning user guide for field missions. In order to

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						validate the usefulness of the User Guide with client missions, DFS initiated robust consultation with 2 field missions – UNIFIL and ONUCI by hosting VTCs and launching a dedicated survey on 17 April 2015. The results of the survey were finalized in May 2015 and the report was provided to OIOS. In order to develop and implement a common and robust workforce planning system in both field and non-field operations, efforts are being conducted conjointly by DM and DFS taking into consideration other priorities in the human resources reform effort. DFS has focused on particular areas such as the Civilian Staffing Reviews, Outreach, Nationalization and Non-staff approach through the GPP guidelines. DFS will continue to work within the broad chapeau of OHRM to develop and implement workforce planning system that addresses specific requirements of the fields that could apply across the Secretariat.
4	DFS should implement an action plan to optimize the use of existing human resources management tools to facilitate workforce planning.	Important	Yes	Chief, Outreach and Workforce Planning Section	Second quarter of 2016	As stated in paragraph 31 of **A/69/190**, "additional pilot projects are required and an emphasis needs to be placed on testing and learning through doing while building

Management Response

Audit of the Field Personnel Specialist Support Service in the Department of Field Support

Rec. no.	Recommendation	Critical[1]/ Important[2]	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
						workforce planning capacity within the HR community both in field and non-field operations" DFS is currently widening the pool of missions that are piloting the draft Workforce Planning User Guide and will be consolidating comments with the view to promulgate the Guide officially by June 2016. Additionally, DFS is looking at developing general guidance on ways by which Nationalization of capacities can be achieved in a holistic approach, taking into consideration the local labor market conditions in field operations.
5	DFS should implement procedures for monitoring recruitment timelines and obtaining explanations for significant delays in the process to provide additional support and guidance as required.	Important	Yes	Chief Recruitment Section, FPSSS/FPD	N/A	DFS has implemented a recruitment dashboard to monitor recruitment timelines by Mission on a quarterly basis which is attached as Annex I. DFS is also working with OHRM to have field recruitment timelines available in HR Insight.
6	DFS should establish procedures to periodically monitor the adequacy and completeness of recruitment documentation uploaded in Inspira.	Important	Yes	Chief Recruitment Section, FPSSS/FPD	First quarter of 2016	DFS' comments are reflected in the report.
7	DFS should direct recruiters to guidelines in recruitment manuals on assessment of applicants and develop and implement further assessment tools such as checklists and templates to ensure effectiveness and	Important	Yes	Chief Recruitment Section, FPSSS/FPD	First quarter of 2016	DFS' comments are reflected in the report.

Management Response

Audit of the Field Personnel Specialist Support Service in the Department of Field Support

Rec. no.	Recommendation	Critical[1]/ Important[2]	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
	efficiency in recruiting field mission staff.					
8	DFS should establish additional monitoring controls over the recruitment process in field missions such as running periodic exception reports to identify anomalies in the recruitment process and provide support and guidance as required.	Important	Yes	Chief Recruitment Section, FPSSS/FPD	N/A	The recommendation has been implemented. DFS has developed a monitoring dashboard which is attached as Annex I that is updated on quarterly basis to provide oversight and support to field missions on recruitment.