



## INTERNAL AUDIT DIVISION

### REPORT 2015/076

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Audit of Field Support Suite of applications in selected field missions/offices

Overall results relating to the effective implementation of the Field Support Suite of applications were initially assessed as partially satisfactory. Implementation of six important recommendations remains in progress.

FINAL OVERALL RATING: PARTIALLY SATISFACTORY

29 July 2015

Assignment No. AT2015/618/01

# CONTENTS

	<i>Page</i>
I. BACKGROUND	1-2
II. OBJECTIVE AND SCOPE	2-3
III. AUDIT RESULTS	
A. Project management	4-6
B. ICT support system	6-9
IV. ACKNOWLEDGEMENT	9
ANNEX I      Status of audit recommendations	
APPENDIX I   Management response	

# **AUDIT REPORT**

## **Audit of the Field Support Suite of applications in selected field missions/offices**

### **I. BACKGROUND**

1. The Office of Internal Oversight Services (OIOS) conducted an audit of the implementation of the Field Support Suite (FSS) of applications in selected field missions/offices. The selected field missions/offices were the United Nations Assistance Mission in Afghanistan (UNAMA), the United Nations Mission Assistance Mission for Iraq (UNAMI), and the Kuwait Joint Support Office (KJSO).

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 United Nations Assistance Mission in Afghanistan (UNAMA) is a political mission established by the United Nations Security Council in 2002. Its mandate was renewed up to 2015 by Security Council Resolution 2210. The proposed resource requirements for UNAMA for the period from 1 January to 31 December 2015 were estimated at \$187,972,000 (net of staff assessment). The total proposed staffing for UNAMA for the period from 1 January to 31 December 2015 was 1,680 positions, including 399 international positions, 1,202 national positions and 79 United Nations Volunteers.

4. The United Nations Assistance Mission for Iraq (UNAMI) is a political mission established on 14 August 2003 by Security Council Resolution 1500. Its role was expanded in 2007 with the passage of Resolution 1770. The proposed resource requirements for UNAMI for the period from 1 January to 31 December 2015 were estimated at \$136,994,000 (net of staff assessment). The total staffing complement proposed for UNAMI for 2015 consisted of: 900 civilian personnel, comprising 375 international staff and 525 national staff; 13 seconded military advisers; 6 seconded police advisers; and 245 contingent personnel of the Guard Unit.

5. The Kuwait Joint Support Office (KJSO) was established by UNAMA and UNAMI in December 2012 to provide integrated services to staff members and client missions through rationalized and streamlined processes.

6. FSS is an integrated system of applications that the Information and Communications Technology Division (ICTD) of the Department of Field Support (DFS) started to develop in 2010 for all field missions. The main purpose of this system was to replace the large number of locally hosted and often internally developed information and communications technology (ICT) applications to achieve the following benefits:

- (i) Meet local mission requirements and improve coordination and communication across missions;
- (ii) Increase reliability and stability by employing a standard, central and secure framework;
- (iii) Provide a common interface to all mission users;
- (iv) Establish optimal processes and reduce financial and ICT work of the missions;

- (v) Reduce time and costs required for training, user adoption and support;
- (vi) Enable informed decision-making with the introduction of real time holistic reporting capabilities for mission and Headquarters management, including key performance indicators;
- (vii) Track key performance indicators across individual missions, regionally and globally on the basis of data available from the implementation of Umoja, iNeed, FSS and other standard enterprise systems in field missions; and
- (viii) Achieve faster implementation, upgrades and process improvement.

7. FSS was developed by DFS in cooperation with the Umoja Office to minimize the number of data sources to be interfaced with Umoja, and in collaboration with the Office of Programme Planning, Budget and Accounts (OPPBA) and Financial Information Operations Service (FIOS) teams to identify and adopt common business processes, such as those pertaining to education grant and travel.

8. FSS is composed of a series of web-based applications that are centrally hosted and integrated to support field-specific administrative needs, including those related to: (i) Check-In/Check-Out; (ii) Cargo management; (iii) Movement of personnel; (iv) Claims and reimbursements; and (v) Leave management. The suite is built on a single centralized architecture, using the cloud computing model. Currently, DFS estimates that FSS applications are used by more the 47,000 users worldwide through the United Nations intranet.

9. Comments provided by DFS, UNAMA, UNAMI and KJSO are incorporated in italics.

## II. OBJECTIVE AND SCOPE

10. The audit was conducted to assess the adequacy and effectiveness of governance, risk management and control processes put in place by UNAMA, UNAMI and KJSO to provide reasonable assurance regarding the **effective and efficient implementation of FSS applications**.

11. This audit was included in the OIOS 2015 work plan because of the risks associated with data processed and generated with FSS, and the critical role played by these applications to support multiple field missions.

12. The key controls tested for the audit were: (a) project management; and (c) ICT support system. For the purpose of this audit, OIOS defined these key controls as follows:

(a) **Project management** - controls that provide reasonable assurance that the implementation of the FSS project in UNAMA, UNAMI and KJSO has been managed effectively.

(b) **ICT support system** - controls that provide reasonable assurance that FSS applications have been adequately configured and used to address the needs of UNAMA, UNAMI and KJSO in an efficient, effective and secure manner.

13. The key controls were assessed for the control objectives shown in Table 1.

14. OIOS conducted this audit from 9 February to 21 April 2015. The audit covered the period of adoption of FSS applications in the various missions, some of which started from 2009, up to 31 March 2015.

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 governance, risk management and control processes examined in UNAMA, UNAMI and KJSO were initially assessed as **partially satisfactory**<sup>1</sup> in providing reasonable assurance regarding the **effective and efficient implementation of FSS applications**. OIOS made six recommendations in the report to address issues identified in the audit.

17. The implementation of FSS in UNAMA, UNAMI and KJSO was supported by some good control practices, including: (i) the issuance of information circulars with detailed instructions, flow-charts and procedural guidance; (ii) some steps – although still at the initial stage – taken to improve process harmonization; and (iii) the recognized benefits of working with a central standard system to develop and track key performance indicators on the basis of the common repository of transactional data. However, there were control weaknesses due to several instances of incomplete data and unsegregated duties that could lead to unreliable financial and operational reporting. In addition, there were weaknesses associated with: (i) partial implementation of FSS and inadequate process harmonization; (ii) parallel performance of manual tasks and calculations; and (iii) inadequate development of standard reports.

18. 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 six important recommendations remains in progress.

**Table 1: Assessment of key controls**

Business objective	Key controls	Control objectives			
		Efficient and effective operations	Accurate financial and operational reporting	Safeguarding of assets	Compliance with mandates, regulations and rules
Effective and efficient implementation of FSS applications	(a) Project management	Partially satisfactory	Partially satisfactory	Partially satisfactory	Partially satisfactory
	(b) ICT support system	Partially satisfactory	Partially satisfactory	Partially satisfactory	Partially satisfactory
<b>FINAL OVERALL RATING: PARTIALLY SATISFACTORY</b>					

<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.

## A. Project management

### Partial implementation and inadequate process harmonization

19. In accordance with the project management standard PRINCE-II (Projects in Controlled Environments) adopted by the United Nations Secretariat, projects should be planned on the basis of targets for products and timescales, costs, quality and benefits.

20. The deployment of FSS applications was supported by several communications issued centrally by DFS and locally by the missions. However, the implementation of FSS applications in UNAMA and UNAMI did not follow a common approach and timeline. Except for three cases (Check-in, Check-out, and e-Leave), the number and type of applications implemented in the two missions were different. The main cause of this problem was attributed to the lack of process harmonization between missions and the priority given to the implementation of Umoja. As a result, end users lacked an overarching project timeline and definition of mandatory requirements for the deployment of FSS applications in the context of other competing priorities (i.e., implementation of Umoja).

21. Some efforts were recently made to harmonize the processes supported by FSS in the context of an initiative launched by the Shared Service Centres (KJSO, the Regional Service Centre in Entebbe, and the United Nations Global Support Centre) and DFS/ICTD, for the standardization of a service catalog, definitions of key performance indicators, and their automated reporting. However, at the time of the audit, the following control weaknesses were still present:

- (i) Absence of an Organization-wide approach for the uniform and comprehensive implementation of FSS applications with an overarching directive, defined criteria, mandatory requirements and timelines;
- (ii) The process harmonization initiative and action plan did not make clear reference to the role of FSS applications in supporting the achievement of the expected benefits; and
- (iii) Except for a draft consolidation of the catalog of services, all the actions planned in the process harmonization initiative did not have a timeline for completion.

22. This condition was due to the absence of an Organization-wide approach for the uniform and comprehensive implementation of FSS applications and harmonization of processes. This could prevent the Organization from fully achieving the benefits of the FSS initiative.

**(1) DFS, in coordination with the Shared Service Centres and missions, should: (i) integrate the action plan for the process harmonization initiative with specific provisions related to the role and use of FSS; and (ii) develop an Organization-wide approach and plan for the uniform and comprehensive adoption of FSS with a clear directive, defined criteria, mandatory requirements and timelines.**

*DFS accepted recommendation 1 and stated that: (i) The harmonization initiative is part of a larger ongoing effort to improve DFS operations through increased standardization. DFS will take appropriate actions within its authority to implement the recommendation, but harmonization also relies upon proposals under consideration by the General Assembly; (ii) An updated project implementation plan has been provided to OIOS for review. The timing and planning of the implementation of a given module of FSS for a particular mission relies on the approval and support*

*of the associated business owner and is dependent on many factors including: mission readiness, operational priorities, as well as the roll out schedule of Umoja and other field and enterprise applications that may take priority and divert required mission resources. DFS carefully monitors the implementation schedule and coordinates with business owners and missions accordingly. Recommendation 1 remains open pending receipt of the results of the harmonization initiative and implementation schedule prepared by DFS in coordination with business owners and missions.*

#### Duplicate and manual data processing

23. In accordance with the Secretary-General's Bulletin on the use of ICT resources and data, staff members should use their best efforts to ensure the accuracy of any ICT data for which they are responsible.

24. The implementation of FSS applications was supported by documented instructions issued to staff to replace manual processing with the newly automated systems. However, several tasks, workflows and forms continued to be performed manually and in parallel.

25. In many instances, data processed with FSS applications was subject to manual processing conducted offline. In particular, the following were noted:

(i) Data records were maintained outside FSS: The missions experienced multiple errors in the use of the e-Leave application which, in one instance, caused leave records to be completely erased. Therefore, the Human Resources Section had to recreate manual leave cards to ensure the availability of backup manual records in case of repeating instances of data deletions. As a result, time and attendance records were maintained in three different systems: (a) FSS/e-Leave; (b) Excel sheets manually updated (Attendance Record Cards); and (c) the Integrated Management Information System (IMIS).

(ii) Processing delays: In KJSO, there were several instances where travel claims had been returned to staff members due to missing or insufficient supporting documents or inconsistency in the data provided. Given that the return and resubmission cycles of transactions could not be tracked, processing staff were unable to identify the corrections made. Therefore, claims had to be re-processed in their entirety, increasing the time spent in processing them.

(iii) Manual processing: IMIS represented the system of record for leave and attendance data. The lack of a direct link between IMIS and FSS prevented staff from relying on FSS data because the manual recording of leave balances in IMIS was prone to errors. The same manual condition was also applicable to the transfer of travel claim data from FSS to Umoja.

26. This condition was due to inadequate analysis of the processes, workflows, and interdependencies between FSS applications and other systems of record (i.e., IMIS and Umoja) which may lead to the persistence of fragmented data sources and duplication of efforts.

**(2) DFS, in coordination with UNAMA, UNAMI and KJSO, should: (i) conduct an analysis of the processes, workflows, and interdependencies between FSS applications and other systems of record (i.e., IMIS and Umoja); and (ii) design and implement controls to avoid the duplication of tasks, workflows, records and forms.**

*DFS accepted recommendation 2 and stated that a gap analysis has been completed on a global level and interdependencies and overlaps have been identified. DFS has requested development of interfaces between FSS and Umoja (i.e., FSS-Umoja Travel Solution, HERMES-Umoja, FSS AIMS-*

*Umoja) to bridge the gaps and eliminate duplication of effort for various business areas (e.g. Travel, Police and Military recruitments). The Office of Information and Communications Technology (OICT) of the Department of Management has established the Application Interface Profile Governance Group, of which DFS/ICTD is a participating member, to review and approve application interface requests. In addition, the two-way interfacing of data between FSS and other enterprise systems is governed by the Umoja Change Control Board. Recommendation 2 remains open pending receipt of: (i) the gap analysis completed by DFS; and (ii) the list of application interfaces approved by the Application Interface Profile Governance Group.*

## **B. ICT support system**

27. In accordance with the Secretary-General's Bulletin on the use of ICT resources and data, staff members should use their best efforts to ensure the accuracy of any ICT data for which they are responsible.

28. The records of the FSS applications presented several instances of incomplete data, including the absence of details related to:

- (i) United Nations index number;
- (ii) Identification card number;
- (iii) Check-in end date;
- (iv) Check-out departure date;
- (v) Duty station type and current mission;
- (vi) Approval of leave requests;
- (vii) e-F10 claims business partner number, approving officer and certifying officer;
- (viii) Approval of e-Movement of Personnel entries;
- (ix) Approval of e-PT8 entries; and
- (x) e-Cargo entries.

29. This condition was due to the absence of control processes and mechanisms for the periodic review and reconciliation of FSS data, which could lead to inaccurate financial and operational reporting and failure of the Organization to achieve the benefits of the FSS initiative.

**(3) DFS, in coordination with UNAMA, UNAMI and KJSO, should design and implement control mechanisms for the periodic review and reconciliation of FSS data to ensure the data's completeness and timeliness.**

*DFS accepted recommendation 3 and stated that it will engage with the business owners through the provision of data quality reports to enable their periodic review and reconciliation of data. Recommendation 3 remains open pending receipt of the data quality reports developed by DFS for the periodic review and reconciliation of FSS data.*

### Inadequate role mapping and segregation of duties

30. In accordance with the Secretary-General's Bulletin on information sensitivity, classification and handling, heads of departments and offices, in cooperation with OICT, are required to establish procedures to ensure that automated information systems. These systems include networks and telecommunications applications, that collect, create, communicate, compute, disseminate, process or store classified information, have controls that both prevent access by unauthorized persons, and ensure the integrity of the information.

31. Access to FSS was not based on standard criteria for role mapping. The transactions recorded in the various FSS applications showed instances of inadequately assigned access to the system and several cases of lack of segregation of duties.

32. In addition, the following control weaknesses were noted:

(i) The Office of Human Resources Management at Headquarters granted KJSO a one-time authorization – on exceptional basis - to cleanse data for ensuring the accuracy of disclosure under the International Public Sector Accounting Standards. KJSO conducted a comprehensive clean-up exercise of time and attendance data by assigning to only one staff member multiple roles for the purpose of correcting incomplete leave records; and

(ii) The assignment of the “supervisor” role in UNAMI and UNAMA was not mapped to a specific staff member in the system for the approval of leave data.

33. This condition was due to the absence of standard criteria for implementing a role-based and segregated access to FSS applications by mapping local staff with their functional roles and functions. As a result, data may be exposed to risks related to confidentiality, integrity and reliability.

**(4) KJSO, in coordination with UNAMA, UNAMI and DFS, should design and implement control mechanisms to: (i) develop a standard role-based access for FSS to map users, functional roles, functions and applications; and (ii) ensure that adequate segregation of duties is implemented in the transactions processed through FSS.**

*KJSO accepted recommendation 4 and stated that: (i) The FSS implementation teams work closely with each field mission to identify the roles and access rights of the mission users when the approval workflows are initially set up. Mission focal points (in the relevant business units) are delegated the authority to manage the access rights of their mission users based on their access rights. This process is currently handled by email through the mission service desk and recorded accordingly. DFS/ICTD will issue formal communication to the managers in field missions detailing instructions to the existing Request for Service Process to request access or change access to FSS modules with the associated approvals; (ii) These instructions will include a reminder that designated approvers should segregate duties related to transactions. Recommendation 4 remains open pending receipt of the formal communication issued by DFS/ICTD to field missions with instructions for requesting or changing access to FSS modules.*

### Inadequate operational reporting

34. In accordance with the Secretary-General's Bulletin on the use of ICT resources and data, staff members should use their best efforts to ensure the accuracy of any ICT data for which they are responsible.

35. End-users needed to extract data and generate reports from FSS to analyze, validate, compare and reconcile data stored in FSS applications. However, their ability to perform these tasks was limited. Except for a few cases (i.e., staff members working in the Information Management Unit), end-users did not have access to standard reports and to the data extraction and reporting application (Business Objects).

36. This condition was due to the inadequate definition of requirements for standard operational reports which may lead to delays in the validation of FSS data.

**(5) KJSO, in coordination with UNAMA and UNAMI, should identify the requirements for standard operational reports in FSS and request that users receive appropriate access and training.**

*KJSO accepted recommendation 5 and stated that the control mechanisms have been implemented. Standard procedures are in place for missions to request data extracts and standard operational reports and all missions have been advised about the procedures on how to do so. In addition, training and workshop sessions on Business Objects have been conducted and the list of available standard reports as well as the process to request access is available on the DFS intranet site. Recommendation 5 remains open pending receipt of the standard procedures for missions to request data extracts and standard operational reports.*

#### Inadequate identification of FSS focal points and problem management

37. In accordance with the project management standard PRINCE-II adopted by the United Nations Secretariat, project delivery should be managed and controlled so that formal requirements are established on accepting, executing and delivering project work.

38. The criteria adopted for the appointment of local FSS focal points and administrators were not clear. In addition, the lack of training, absence of a dedicated service-desk support, and inadequate representation and involvement of KJSO staff in the workshops dedicated to FSS, limited the effectiveness of the support provided to end users of the applications.

39. This condition was due to the absence of defined focal point roles and responsibilities which may prevent the missions from managing problems encountered with the use of FSS applications in a structured manner, and providing support for the timely resolution of systemic issues.

**(6) DFS, in coordination with field missions, should: (i) identify and appoint local focal points to support the use of FSS applications; and (ii) support the problem management process with the use of a dedicated service-desk system to record and identify systemic issues and solutions.**

*DFS accepted recommendation 6 and stated that the actions have been implemented. The local FSS focal points have been identified and appointed for each mission, including UNAMA and UNAMI. An FSS focal point email group was created at the inception of FSS in order to facilitate communications regarding change management and technical issues. The problem management procedure has been established through the use of the local tier one support in the missions with tiers two and three support at the United Nations Global Support Centre. Recommendation 6 remains open pending receipt of: (i) the list of FSS focal points identified and appointed in each mission; and (ii) the problem management procedure for FSS support.*

Testing and change management procedures were satisfactory

40. The control practices recommended by the industry standard “Control Objectives for Information and Related Technology (COBIT)” require testing the functionalities and changes of ICT systems to verify the integrity of data and efficiency of system performance.

41. DFS documented a series of tests of the FSS applications with standard templates that test:

- (i) Accounts created for missions and global accounts;
- (ii) Case scenarios;
- (iii) Data;
- (iv) Feedback; and
- (v) Acceptance reports.

42. In addition, DFS maintained an electronic repository of the schedule of changes related to FSS applications, supported by standard templates documenting enhancements and fixes made to the applications. OIOS therefore concluded that these controls were adequate and working satisfactorily.

#### **IV. ACKNOWLEDGEMENT**

43. OIOS wishes to express its appreciation to the Management and staff of DFS, UNAMA, UNAMI and KJSO for the assistance and cooperation extended to the auditors during this assignment.

*(Signed)* David Kanja  
Assistant Secretary-General for Internal Oversight Services

**STATUS OF AUDIT RECOMMENDATIONS**  
**Audit of the Field Support Suite of applications in selected field missions/offices**

Rec. 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	DFS, in coordination with the Shared Service Centres and missions, should: (i) integrate the action plan for the process harmonization initiative with specific provisions related to the role and use of FSS; and (ii) develop an Organization-wide approach and plan for the uniform and comprehensive adoption of FSS with a clear directive, defined criteria, mandatory requirements and timelines.	Important	O	Receipt of the results of the harmonization initiative and implementation schedule prepared by DFS in coordination with business owners and missions.	31 March 2016
2	DFS, in coordination with UNAMA, UNAMI and KJSO, should: (i) conduct an analysis the processes, workflows, and interdependencies between FSS applications and other systems of record (i.e., IMIS and Umoja); and (ii) design and implement controls to avoid the duplication of tasks, workflows, records and forms.	Important	O	Receipt of: (i) the gap analysis completed by DFS; and (ii) the list of application interfaces approved by the Application Interface Profile Governance Group.	31 March 2016
3	DFS, in coordination with UNAMA, UNAMI and KJSO, should design and implement control mechanisms for the periodic review and reconciliation of FSS data to ensure their completeness and timeliness.	Important	O	Receipt of the data quality reports developed by DFS for the periodic review and reconciliation of FSS data.	31 March 2016
4	KJSO, in coordination with UNAMA, UNAMI and DFS, should design and implement control mechanisms to: (i) develop a standard role-based access for FSS to map users, functional roles, functions and applications; and (ii) ensure that adequate segregation of duties is implemented in the transactions processed through FSS.	Important	O	Receipt of the formal communication issued by DFS/ICTD to field missions with the instructions for requesting or changing access to FSS modules.	31 March 2016

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

<sup>3</sup> Important recommendations address important deficiencies or weaknesses in governance, risk management or internal 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 DFS, UNAMA, UNAMI and KJSO in response to recommendations.

**STATUS OF AUDIT RECOMMENDATIONS**  
**Audit of the Field Support Suite of applications in selected field missions/offices**

Rec. 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>
5	KJSO, in coordination with UNAMA and UNAMI, should identify the requirements for standard operational reports in FSS and request that users receive appropriate access and training.	Important	O	Receipt of the standard procedures for missions to request data extracts and standard operational reports.	31 March 2016
6	DFS, in coordination with field missions, should: (i) identify and appoint local focal points to support the use of FSS applications; and (ii) support the problem management process with the use of a dedicated service-desk system to record and identify systemic issues and solutions.	Important	O	Receipt of: (i) the list of FSS focal points identified and appointed in each mission; and (ii) the problem management procedure for FSS support.	31 March 2016

# **APPENDIX I**

## **Management Response**

**CONFIDENTIAL**

Routine

TO: Mr. Gurpur Kumar, Deputy Director  
A: Internal Audit Division, OIOS

DATE: JUL 22 2015

THROUGH:  
S/C DE:

REFERENCE: UNHQ-AR-BOI-Memo-2-  
2015-5169

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



SUBJECT: **Draft report on an audit of the implementation of the Field Support Suite**  
OBJET: **of applications in selected peacekeeping missions/offices (Assignment No. AT2015/618/01)**

1. I refer to your memorandum dated 7 July 2015 regarding the above-mentioned audit. Please find herewith our comments on the findings and recommendations contained in the draft report attached as Annex 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 Support Suite of applications in selected field missions/offices

Rec. no.	Recommendation	Critical/ <sup>1</sup> / Important <sup>2</sup>	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
1	DFS, in coordination with the Shared Service Centres and missions, should: (i) integrate the action plan for the process harmonization initiative with specific provisions related to the role and use of FSS; and (ii) develop an Organization-wide approach and plan for the uniform and comprehensive adoption of FSS with a clear directive, defined criteria, mandatory requirements and timelines.	Important	Yes	Director, Information and Communications Technology Division	First quarter of 2016	DFS' comments are reflected in the draft report. The Department does not have any further comments.
2	DFS, in coordination with UNAMA, UNAMI and KJSO, should: (i) conduct an analysis the processes, workflows, and interdependencies between FSS applications and other systems of record (i.e., IMIS and Umoja); and (ii) design and implement controls to avoid the duplication of tasks, workflows, records and forms.	Important	Yes	Director, Information and Communications Technology Division in coordination with Assistant Secretary- General, Office of Information and Communications Technology	First quarter of 2016	DFS' comments are reflected in the draft report. The Department does not have any further comments.
3	DFS, in coordination with UNAMA, UNAMI and KJSO, should design and implement control mechanisms for the periodic review and reconciliation of FSS data to ensure their completeness and	Important	Yes	Director, Information and Communications Technology Division	First quarter of 2016	DFS' comments are reflected in the draft report. The Department does not have any further comments.

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

<sup>2</sup> Important recommendations address important deficiencies or weaknesses in governance, risk management or internal control processes, such that reasonable assurance may be at risk regarding the achievement of control and/or business objectives under review.

## Management Response

## Audit of the Field Support Suite of applications in selected field missions/offices

Rec. no.	Recommendation	Critical <sup>1</sup> / Important <sup>2</sup>	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
	timeliness.					
4	KJSO, in coordination with UNAMA, UNAMI and DFS should design and implement control mechanisms to: (i) develop a standard role-based access for FSS to map users, functional roles, functions and applications; and (ii) ensure that adequate segregation of duties is implemented in the transactions processed through FSS.	Important	Yes	Chief, Kuwait Joint Support Office	First quarter of 2016	KJSO's comments are reflected in the draft report. The Office does not have any further comments.
5	KJSO, in coordination with UNAMA and UNAMI, should identify the requirements for standard operational reports in FSS and request that users receive appropriate access and training.	Important	Yes	Chief, Kuwait Joint Support Office	First quarter of 2016	KJSO's comments are reflected in the draft report. The Office does not have any further comments.
6	DFS, in coordination with field missions, should: (i) identify and appoint local focal points to support the use of FSS applications; and (ii) support the problem management process with the use of a dedicated service-desk system to record and identify systemic issues and solutions.	Important	Yes	Director, Information and Communications Technology Division	First quarter of 2016	DFS' comments are reflected in the draft report. The Department does not have any further comments.