



INTERNAL AUDIT DIVISION

REPORT 2018/138

Audit of recruitment in the United Nations Mission in the Republic of South Sudan

There was a need to adhere to established recruitment timelines and properly constitute assessment panels

**18 December 2018
Assignment No. AP2018/633/06**

Audit of recruitment in the United Nations Mission in the Republic of South Sudan

EXECUTIVE SUMMARY

The Office of Internal Oversight Services (OIOS) conducted an audit of recruitment in the United Nations Mission in the Republic of South Sudan (UNMISS). The objective of the audit was to assess the efficiency and effectiveness of the recruitment process, in compliance with established guidelines and procedures governing the selection and recruitment of international and national staff. The audit covered the period from 1 July 2015 to 31 July 2018 and included a review of: vacancy management; assessment and evaluation of applicants; and the selection and appointment process.

UNMISS successfully reduced its vacancy rate, established mechanisms to monitor gender parity targets, and in general complied with the staff selection process on the recruitment of staff through roster and position-specific job openings. However, there was a need to improve recruitment timelines and ensure proper constitution of assessment panels.

OIOS made two recommendations. To address issues identified in the audit, UNMISS needed to:

- Issue reminders to hiring managers of the need to adhere to established recruitment timelines; and
- Instruct hiring managers to confirm and ensure that assessment panels are properly constituted and that only personnel who completed the competency-based interviewing training serve as panel members.

UNMISS accepted the recommendations and has initiated action to implement them.

CONTENTS

	<i>Page</i>
I. BACKGROUND	1
II. AUDIT OBJECTIVE, SCOPE AND METHODOLOGY	2
III. AUDIT RESULTS	2-8
A. Vacancy management	2-3
B. Processing of recruitment actions	3-8
IV. ACKNOWLEDGEMENT	8
ANNEX I Status of audit recommendations	
APPENDIX I Management response	

Audit of recruitment in the United Nations Mission in the Republic of South Sudan

I. BACKGROUND

1. The Office of Internal Oversight Services (OIOS) conducted an audit of recruitment in the United Nations Mission in the Republic of South Sudan (UNMISS).

2. The Under-Secretary-General for the Department of Field Support has delegated to UNMISS the authority to recruit and select international staff up to the D-1 level in compliance with the regulations, rules and procedures governing the staff selection system as set out in ST/AI/2010/3. All applications are submitted and processed using the Inspira web-based tool, except for temporary job openings to fill posts for a duration of 90 days or less. The staff selection system policy also requires the Mission to use personnel rosters as the primary instrument for recruitment, placement and promotion for generic job opening (JO) vacancies.

3. The Special Representative of the Secretary-General (SRSG) for UNMISS had the delegation of authority for the recruitment of national professional staff. The SRSG in turn delegated it to the Director of Mission Support (DMS). This authority was further sub-delegated to the Chief Human Resources Officer (CHRO). The recruitment of national staff was guided by the Departments of Peacekeeping Operations and Field Support (DPKO/DFS) Human Resources Handbook, relevant administrative instructions and information circulars issued by the Department of Management, and regulations, rules and procedures governing the staff selection system. The recruitment of national staff was manually processed until April 2018 when the Mission started using Inspira to recruit national staff.

4. The Human Resources Section (HRS) in UNMISS is responsible for: providing guidance and advice to the SRSG, DMS, Section Chiefs and other personnel involved with the recruitment and staff selection process; and monitoring mission compliance, vacancy rates and recruitment timelines.

5. The HRS is headed by the CHRO at the P-5 level who reports to the Deputy DMS at the D-1 level. HRS has 33 authorized posts comprising 17 international and 16 national posts.

6. From 1 July 2015 to 31 July 2018, UNMISS recruited 407 international staff after issuing a total of 495 job openings comprising: (a) 262 recruitment from rosters (RfR); (b) 44 position-specific job openings (PSJOs); and (c) 189 temporary job openings (TJOs). The Mission also recruited 224 national staff in the same period. Table 1 summarizes the number of international and national staff recruited from 1 July 2015 to 31 July 2018.

Table 1
Number of staff recruited from 1 July 2015 to 31 July 2018

<i>Financial year</i>	<i>2015/16</i>	<i>2016/17</i>	<i>1 July 2017 to 31 July 2018</i>	<i>Total</i>
Total international staff recruited	175	134	98	407
Total national staff recruited	133	71	20	224
Total staff recruited	308	205	118	631

Source: UNMISS Recruitment data from HRS

7. Comments provided by UNMISS are incorporated in italics.

II. AUDIT OBJECTIVE, SCOPE AND METHODOLOGY

8. The objective of the audit was to assess the efficiency and effectiveness of the recruitment process, in compliance with established guidelines and procedures governing the selection and recruitment of national and international staff.
9. This audit was included in the 2018 risk-based work plan of OIOS due to the operational risks relating to recruitment activities and impact on implementation of the Mission's mandate.
10. OIOS conducted the audit from February to September 2018. The audit covered the period from 1 July 2015 to 31 July 2018. Based on an activity-level risk assessment, the audit covered higher and medium risk areas in recruitment, which included: vacancy management; assessment and evaluation of applicants; and the selection and appointment process.
11. The audit methodology included: (a) interviews of key personnel; (b) reviews of relevant documentation; (c) analytical reviews of data; and (d) sample testing of recruitments of international and national staff.
12. The audit was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.

III. AUDIT RESULTS

A. Vacancy management

The Mission successfully achieved a low vacancy rate

13. The General Assembly, during the annual budgeting process, established average projected vacancy rates for UNMISS of 15 per cent, 15 per cent, and 14 per cent in the financial years 2015/16, 2016/17, and 2017/18 respectively. The Recruiter's Manual requires HRS to advise hiring managers and the Head of Mission on the proper application of the recruitment process and monitor the Mission's vacancy rate.
14. While UNMISS did not have a formal recruitment strategy, HRS was using the approved budget documents, staffing tables and the Mission's civilian deployment plan to monitor the vacancy rate and to monitor ongoing recruitments. HRS also kept an Excel spreadsheet where it tracked all ongoing recruitments.
15. HRS conducted monthly reviews and updates of the staffing table to incorporate new events such as pending reassignments, retirements, staff arrivals and departures and was regularly liaising with hiring managers to ensure necessary recruitment actions were being taken. This involved HRS issuing regular reminders and statistics on recruitment to hiring managers, and providing advice on the recruitment process to ensure hiring managers initiated the process in a timely manner. HRS' advice was also geared towards predicting any challenges that could be faced in the process related to TJOs, PSJOs, RfRs. For example: on 18 February 2018, HRS advised a hiring manager that the selected staff for TJO 89181 was not eligible because of a need to take a break of at least three months as the selected candidate was already occupying another TJO post for more than one year prior; and on 28 June 2017, HRS advised a hiring manager that the recruitment related to PSJO 54777 was invalid as two panel members held temporary appointments.

16. A review of authorized, planned and actual staffing levels reported in the monthly incumbency reports during the audit period and submitted to the Field Budget Finance Division of DFS showed a month-on-month decrease in the overall Mission vacancy rate from 11 per cent in 2015/16 to 6 per cent in 2017/18, as shown in table 2. The reduced vacancy rate was attributed to regular monitoring of vacancies and recruitment process and lateral reassignment of personnel from downsizing missions. Also, the abolishment of 69 posts in the audit period, placement of affected staff on suitable available vacant posts and filling of 43 posts using TJOs contributed to the decrease in the vacancy rate in 2017/18.

Table 2
Approved civilian staffing levels and vacancy rates

<i>Financial Year</i>	<i>2015/16</i>		<i>2016/17</i>		<i>2017/18</i>	
	Approved	On-board	Approved	On-board	Approved	On-board
International	943	855	961	849	953	894
National	1 522	1 319	1 480	1 371	1 464	1 391
United Nations Volunteers	463	425	442	382	442	401
Total	2 928	2 599	2 883	2 602	2 859	2 686
Target overall vacancy rates:	15%		15%		14%	
Actual vacancy rates						
International	9%		12%		6%	
National	13%		7%		5%	
UNVs	8%		14%		9%	
Actual overall vacancy rate	11%		10%		6%	

Source: Extracts from UNMISS incumbency reports

17. OIOS concluded that the actions taken by the Mission were effective in reducing the vacancy rate.

B. Processing of recruitment actions

The Mission complied with the staff selection process on recruitment of international and national staff

18. According to ST/AI/2010/3 on the staff selection system, applicants are pre-screened by Inspira on the basis of information provided in their application, to determine whether they meet the minimum requirements of the JO approved by the Office of Human Resources Manager. Once these applicants are released, the UNMISS hiring manager is responsible for evaluating all of them and preparing a shortlist of those who appear most qualified for the JO, based on a review of their application; and assessing the shortlisted candidates against the criteria established in the JO.

19. A review of all 23 posts filled through PSJOs in the audit period indicated that the hiring manager:

- Conducted a preliminary evaluation of all released candidates against the requirements outlined in the JO related to education, work experience and language proficiency;
- Prepared a shortlist of the most qualified candidates for each JO;
- Assessed all shortlisted applicants to determine that they met the technical requirements and competencies of the job. The Mission tested applicants on their knowledge using the Written Examination System (WES). From a sample of 60 applicants in 23 PSJO recruitments, 48 (or 80 per cent) confirmed having participated in written tests, while 12 (or 20 per cent) did not reply. The

technical assessments were adequately conducted and there was no evidence to suggest the integrity was compromised in any way. OIOS was satisfied with the process;

- Assessed further, through a competency-based interview, all shortlisted applicants that were successful in the written assessment. Applicants who did not make it to the interview stage and those who were unsuccessful at the interview were promptly informed that their applications would not be considered any further;
- Prepared comparative analysis reports for all 23 cases, which adequately assessed the candidates' competencies against the evaluation criteria specified in the JO;
- Submitted to the field central review body his/her proposal for at least one or a list of qualified unranked candidates for recruitment and rostering; and
- Sent to the field central review body 11 of the 23 transmittal memoranda containing at least a female candidate.

20. A review of 52 RfRs indicated that, for completed recruitments, the hiring managers:

- Received from Inspira a long list of rostered applicants who matched the job specific requirements and who indicated interest and availability for the hiring manager's consideration;
- Reviewed all nominated candidates released to them to identify those who were most suitable for the position;
- Had discussion with candidates to reconfirm their interest and establish a sense of the candidates' suitability;
- Provided a clear and documented record indicating the reasons in Inspira why nominated candidates were not found suitable, in cases where no nominated candidates were recommended for selection; and
- Provided a written record documenting the selection decision.

21. A review of 17 completed national staff recruitments indicated that the hiring manager:

- Sent a request for recruitment to the post management unit, which confirmed that the post was vacant;
- Submitted terms of reference to HRS, which included the evaluation criteria. HRS then confirmed that the evaluation criteria were consistent with established guidelines regarding years of experience, educational qualification and other competencies, before approving vacancy announcements;
- Received a memorandum from HRS with a list of screened applicants, along with personal history profiles and other application materials;
- Prepared a shortlist of candidates for interview;
- Administered practical test for all shortlisted applicants for national general service (GS) 3 and below posts. In the case of GS-4 posts and above, all the shortlisted applicants underwent English proficiency test administered by HRS. Thereafter, the hiring manager may administer an off-line written test for NPO positions; and
- Assessed further, through a competency-based interview, all applicants that were successful in the English proficiency test. Applicants who did not make it through the interview stage and those who were unsuccessful at the interview were promptly informed that their applications would not be considered any further. The interview reports were submitted to HRS together with a recommendation for selection.

22. Based on the audit review, OIOS concluded that the Mission complied with the selection process in the recruitment of international staff through PSJO and RfR job openings and of national staff.

TJO recruitment decisions were not always properly documented to support decisions made

23. According to ST/AI/2010/4/Rev.1 on the administration of temporary appointments, UNMISS may raise a TJO for various reasons, including to fill a position whose incumbent is on special leave, to fill a vacant position pending finalization of the recruitment process and to work on a special project. For a temporary appointment that is expected for more than three months but less than one year, the hiring manager is required to prepare and advertise a TJO in Inspira. On receipt of the list of applicants, the hiring manager is required to assess whether candidates are eligible, they meet the minimum requirements, and the technical requirements and competencies of the temporary position. Such assessment will be undertaken through a comparative analysis of the applications. The assessment may also include a competency-based interview and/or other appropriate method. The hiring manager is required to maintain documentation consisting of written, printed or electronic material that provides information or evidence of the recruitment process.

24. UNMISS generally issued TJOs to temporarily fill posts pending completion of recruitments through PSJO, managed mobility exercise under the political, peace and humanitarian network (POLNET), and prolonged temporary leave of absence of the incumbent due to illness. A review of 33 of the 189 TJOs indicated all 33 were justified and that:

- TJOs to temporarily fill posts for more than three months to one year were advertised in Inspira;
- The JOs included a proper description of required qualifications, skills and competencies for the position;
- Hiring managers conducted a preliminary evaluation of all released candidates against the requirements outlined in the JO related to education, work experience, language proficiency and other competencies; and prepared a shortlist of the most qualified candidates for each JO; and
- All the shortlisted applicants were assessed to determine that they met the technical requirements and competencies of the job prior to recommending a candidate for approval. Such assessments included competency-based interview.

25. However, for 7 of 33 cases reviewed, UNMISS was unable to demonstrate that a proper process had been followed. For instance: (a) in two cases, the hiring managers recommended and selected candidates who were not included in the comparative analysis reports for the specific TJO they were placed on; (b) in four cases, although on average 103 persons applied for the TJOs, there was only a 'comparative' analysis report for the candidate selected, even though the selection memoranda indicated, for example, that there were 114 cleared candidates, while the other three cases referred to between 3 and 6 shortlisted candidates; and (c) in the seventh case, the hiring manager prepared a selection memorandum indicating the name of a selected candidate even though there was no long list of applicants and a comparative analysis report.

26. The above resulted as hiring managers were not maintaining copy of electronic records or the manual records prepared when undertaking the review and preparing selection memoranda, which were normally available to support data subsequently entered in Inspira. In the seven cases above there were no manual records or notes. This situation may result in difficulty in properly responding to queries if the recruitment process is challenged.

27. UNMISS explained that the cases identified by OIOS resulted due to a glitch in Inspira where the comparative analysis that was entered disappeared from the system at a later stage. UNMISS had raised this issue with the Field Personnel Division in the Department of Field Support but resolution was still pending at the time of the audit. UNMISS informed OIOS that it was developing compensatory measures,

including hiring managers maintaining a screen shot copy of the comparative analysis of candidates to support the selection. As the management is aware of the issue and taking actions, OIOS does not make a recommendation.

Controls to meet target recruitment timelines for international staff need to be strengthened

28. To monitor the effectiveness of the recruitment process, the Inspira recruitment module has built-in target timelines of: (a) 65 calendar days for recruitment from a roster; and (b) 90 calendar days for recruitment through PSJOs from the first day of posting a vacancy announcement. Also, UNMISS has adopted a selection target of 57 days for TJO recruitments. For national staff recruitments, the target days are 35 and 45 for GS and national professional officers (NPO) respectively, from the request for recruitment to on-boarding.

29. A review of 122 of 495 recruitments of international staff (58 RfRs, 31 PSJOs and 33 TJOs) indicated that 51 (or 42 per cent) recruitments were not completed within the set recruitment target timelines. Of the 51 cases: 22 RfRs were delayed by an average of 101 days, 23 PSJOs by an average of 249 days, and 6 TJOs by an average of 25 days. The delays mostly occurred because hiring managers did not always prioritize the completion of required recruitment actions such as preparing evaluation reports.

30. Delays in the recruitment process were also because of the fairly high number of JOs being cancelled after posting. A review of 65 cancelled recruitment cases showed that 10 of them were due to processing errors by hiring managers, including incorrect JO numbers and incorrect evaluation criteria related to work experience, educational qualifications and competencies. To address this, HRS was vetting JOs prior to posting. Other cancellations were due to the following, which was hard for UNMISS to control: 31 (or 48 per cent) cancelled cases due to changes in operational requirements/post reclassification, 22 (or 34 per cent) cancelled cases due to lack of suitable candidates and 2 (or 3 per cent) cases where selected candidates later declined to take up the posts. In some cases, the cancellation of recruitment processes led to two additional recruitment processes, prolonging the delay. For example, the cancellation of RfR 33492 for the Chief Engineer led to PSJO 36479 and as an interim measure, pending completion of PJSO 36479, TJO 48245 was launched. This was the case for RfR 56484 for an occupational safety officer's post and RfR 39336 for a coordination officer's post.

31. Additionally, a review of 16 general service and 1 NPO of the 224 national staff recruitment cases showed that they took an average of 110 days compared to the target of 35 and 45 days respectively. This resulted because job openings for national staff attracted hundreds of applicants to evaluate and all recruitment steps were processed manually until March 2018. The Office of Human Resources Management of the Department of Management initiated an automated process for the recruitment of national staff in Inspira effective 15 March 2018 to speed up the evaluation process. UNMISS used Inspira to only process vacancy announcements and the initial screening of applicants of national staff. OIOS review of the timelines for all 21 national general staff recruitments conducted in Inspira from April to October 2018, indicated the average time taken was 50 days compared to the target of 35 days.

32. Delays in the recruitment could adversely affect effective implementation of the Mission's mandate, while cancellations led to considerable administrative burden to repeatedly process recruitment activities.

(1) UNMISS should issue a reminder to hiring managers of the need to adhere to established recruitment timelines.

UNMISS accepted recommendation 1 and stated that HRS again sent an awareness email to hiring managers in December 2018 advising them to observe the established recruitment timelines and

explaining the effect of delays on the efficient functioning of the Mission. Recommendation 1 remains open pending receipt of evidence of the improved timelines.

There was a need to constitute assessment/interview panels appropriately

33. ST/AI/2010/3 on the staff selection system and the Inspira Manual for the Hiring Manager on staff selection system require that assessment/interview panels consist of at least three staff including two subject matter experts at the same or higher level than that of the advertised position and one from outside the unit/section where the job is located. Also, at least one assessor should be female at the same or higher level as the position advertised. All panel members should have taken the training on United Nations competency-based selection and interviewing skills and hold a fixed-term, permanent or continuing appointment.

34. A review of the composition of 23 assessment panels indicated that no female member was included in 2 of 23 panels involved in PSJO recruitments, and in 6 of the 18 assessment panels for recruitment of national staff had no female members.

35. A review of 11 panel members involved in 23 completed PSJO recruitments showed that 3 panel members had not completed the required competency-based interviewing training prior to participating as a panel member in 3 PSJO cases. Additionally, two members of the assessment/interview panel were on temporary appointment. For national staff recruitments, a review of the eligibility of 18 interview panel members involved in the 26 national staff recruitment assessment panels indicated that 8 had not completed the required training prior to participating as a panel member.

36. The above occurred because hiring managers did not ensure that assessment/interview panels were appropriately constituted due to oversight by some managers and lack of awareness by others. Also, hiring managers did not obtain confirmation from the Integrated Mission Training Centre (IMTC) that panel members had completed the competency-based selection and interviewing skills training although IMTC maintained the relevant information. Failure to establish assessment/interview panels with the appropriate composition may lead to recruiting staff who do not have the required skill set and could impact the perception of the fairness of the recruitment process.

(2) UNMISS should instruct hiring managers to confirm and ensure that assessment panels are properly constituted and that only qualified personnel who have completed the competency-based interviewing training workshop serve as panel members.

UNMISS accepted recommendation 2 and stated that HRS had provided adequate guidance and instructions to hiring managers to ensure that assessment interview panels were appropriately constituted. Also, HRS, in collaboration with the IMTC, ensured that all panel members had taken the competency-based interviewing workshop and other tailored training for specific panels were available. Recommendation 2 remains open pending receipt of evidence that assessment panels are properly constituted and only personnel who have completed the competency-based interviewing training serve as an assessment panel member.

Reference checks were not always conducted

37. Reference checks, which shall consist of verification of candidates' educational qualifications and employment records, are required by DPKO/DFS SOP on staff selection for all external candidates applying for national and international staff posts as well as currently serving staff for whom a reference check had not yet been conducted. Reference checks must be completed prior to an offer of appointment to a selected candidate.

38. A review of recruitment case files for 19 of 28 national staff recruited during the audit period indicated that in all the sampled cases HRS verified the academic credentials and work experience of selected candidates.

39. However, the Reference Verification Unit (RVU) in Brindisi conducted reference checks for only 38 of the 63 international staff recruitments reviewed by OIOS. Out of the 38 reference checks conducted, 1 did not yield favourable results and the offer of appointment to the concerned candidate was subsequently withdrawn. Reference checks were not conducted for the other 25 cases because successful candidates did not submit reference verification request forms to the Regional Service Centre in Entebbe (RSCE) for the latter to initiate reference check requests. The selected candidates in the 25 cases were offered appointments and had assumed their posts without a reference check; 22 of these were for initial appointments, while 3 were reassignments.

40. The above happened because the Inspira Recruitment Module does not have any automated mechanism to prevent issuance of offer of appointment letters prior to the completion of reference checks. HRS and RSCE have implemented enhanced procedures for newly recruited staff to submit reference verification request forms as part of the on-boarding process. In addition, during the audit, UNMISS coordinated with RVU and completed reference checks of staff who had not undergone the process. Based on the review of evidence of actions taken, OIOS does not make a recommendation.

The Mission established gender parity targets and identified specific strategies towards achieving them

41. The United Nations system-wide strategy on gender parity requires UNMISS to set annual targets based on its current gap to parity and reinvigorate recruitment and retention efforts to achieve annual gender parity targets from 2018 to 2028. UNMISS launched a mission-specific gender parity strategy on 28 May 2018 that included the following strategic interventions: (a) target setting and monitoring; (b) leadership and accountability with regards to working towards targets; (c) engaging recruitment, retention, progression and talent management; and (d) creating an enabling environment to encourage gender parity.

42. For 2018, UNMISS had an overall parity target of 28 per cent female to 72 per cent male (28/72) for its international staff. The Mission took into consideration its gender parity goals in the recruitment of staff and hiring managers confirmed in a memorandum to the DMS that they had taken this goal into consideration in the recommendation and selection of candidates. The UNMISS overall gender profile of international staff as at 30 June 2018 comprised 26 per cent female and 74 per cent male. OIOS concluded that UNMISS was making meaningful progress towards achieving its gender parity target.

IV. ACKNOWLEDGEMENT

43. OIOS wishes to express its appreciation to the management and staff of UNMISS for the assistance and cooperation extended to the auditors during this assignment.

(Signed) Eleanor T. Burns
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STATUS OF AUDIT RECOMMENDATIONS

Audit of recruitment in the United Nations Mission in the Republic of South Sudan

Rec. no.	Recommendation	Critical ¹ / Important ²	C/ O ³	Actions needed to close recommendation	Implementation date ⁴
1	UNMISS should issue a reminder to hiring managers of the need to adhere to established recruitment timelines.	Important	O	Receipt of evidence of improved recruitment timelines.	31 December 2018
2	UNMISS should instruct hiring managers to confirm and ensure that assessment panels are properly constituted and that only qualified personnel who have completed the competency-based interviewing training workshop serve as panel members.	Important	O	Receipt of evidence that assessment panels are properly constituted and only personnel who have completed the competency-based interviewing training serve as an assessment panel member.	31 December 2018

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 UNMISS in response to recommendations.

APPENDIX I

Management Response

Management Response

Audit of recruitment in the United Nations Mission in the Republic of South Sudan

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
1	UNMISS should issue a reminder to hiring managers of the need to adhere to established recruitment timelines.	Important	Yes	Chief Human Resources	Implemented	Human Resources Section re-sent an awareness email to hiring managers on 13 December 2018 advising them to observe the recruitment timelines and explaining how the delays in recruitments can affect the efficient functioning of the Missions' key performance indicators (KPIs). Documentary evidence was provided to OIOS.
2	UNMISS should instruct that hiring managers confirm and ensure that assessment panels are properly constituted and that only qualified personnel who completed the competency-based interviewing training workshop serve as panel members.	Important	Yes	Chief Human Resources and Chief Integrated Mission Training Center (IMTC)	Implemented	Human Resources Section has provided adequate guidance, and instructions to hiring managers to ensure that assessment interview panels are appropriately constituted. Also, the Section in collaboration with the IMTC ensured that all panel members are competency-based interviewing (CBI) certified and other tailored trainings for specific panels are available. Documentary evidence was provided to OIOS.

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.