



INTERNAL AUDIT DIVISION

OFFICE OF INTERNAL OVERSIGHT SERVICES

AUDIT REPORT

Audit of Recruitment in ICTR

6 June 2007

Assignment No. AA2006/260/2

United Nations  Nations Unies

INTEROFFICE MEMORANDUM

MEMORANDUM INTERIEUR

INTERNAL AUDIT DIVISION · DIVISION DE L'AUDIT INTERNE
OIOS · BSCI

TO: Mr. Adama Dieng, Registrar
A: International Criminal Tribunal for Rwanda (ICTR)

DATE: 6 June 2007

REFERENCE: AUD-ICTR (003-07) 20.238)

FROM: Dagfinn Knutsen, Acting Director
DE: Internal Audit Division, OIOS



SUBJECT: **Assignment No. AA2006/260/02 - Audit of Recruitment in ICTR**

OBJET:

1. I am pleased to present the report on the above-mentioned audit, which was conducted in from October 2006 to February 2007.

2. In order for us to close the recommendations, we request that you provide us with the additional information as discussed in the text of the report and also summarized in Annex 1.

3. Please note that OIOS will report on the progress made to implement its recommendations, particularly those designated as critical (i.e., recommendations 3 and 8), in its annual report to the General Assembly and semi-annual report to the Secretary-General.

4. IAD is assessing the overall quality of its audit process and kindly requests that you consult with your managers who dealt directly with the auditors and complete the attached client satisfaction survey form.

cc: Dr. S. Kilemi, Chief, Division of Administrative Support Services, ICTR
Mr. Swatantra Goolsarran, Executive Secretary, UN Board of Auditors
Mr. Jonathan Childerley, Chief, Oversight Support Unit, Department of Management
Mr. Byung-Kun Min, Programme Officer, OIOS
Mr. Christopher F Bagot, Chief, Nairobi Audit Section, OIOS

INTERNAL AUDIT DIVISION

FUNCTION

“The Office shall, in accordance with the relevant provisions of the Financial Regulations and Rules of the United Nations examine, review and appraise the use of financial resources of the United Nations in order to guarantee the implementation of programmes and legislative mandates, ascertain compliance of programme managers with the financial and administrative regulations and rules, as well as with the approved recommendations of external oversight bodies, undertake management audits, reviews and surveys to improve the structure of the Organization and its responsiveness to the requirements of programmes and legislative mandates, and monitor the effectiveness of the systems of internal control of the Organization” (General Assembly Resolution 48/218 B).

CONTACT INFORMATION

ACTING DIRECTOR:

Dagfinn Knutsen, Tel: +1.212.963.5650, Fax: +1.212.963.2185,
e-mail: knutsen2@un.org

ACTING DEPUTY DIRECTOR:

Fatoumata Ndiaye: Tel: +1.212.963.5648, Fax: +1.212.963.3388,
e-mail: ndiaye@un.org

ACTING CHIEF, NAIROBI AUDIT SERVICE:

Corazon Chavez: Tel: +41.22.917.2395, Fax: +41.22.917.0138,
e-mail: cchavez@unog.ch

EXECUTIVE SUMMARY

Audit of Recruitment in ICTR

OIOS conducted an audit of recruitment in the International Criminal Tribunal for Rwanda (ICTR) from October 2006 to February 2007. The main objective of the audit was to assess the adequacy of the arrangements for handling the recruitment/promotion and placement of staff for all organs of the Tribunal – Chambers, the Office of the Prosecutor (OTP) and the Registry. The audit was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.

The overall conclusion was that ICTR was generally undertaking recruitment in compliance with United Nations Regulations and Rules. OIOS noted a number of areas where controls needed to be strengthened to improve the efficiency and effectiveness of recruitment activities, as discussed below.

Governance, Mandate and Mission

The Human Resources and Planning Section (HRPS) was in the process of developing a handbook of policies and procedures on recruitment. To ensure correct application of new United Nations policies and instructions on recruitment, discussions at HRPS staff meetings and follow-up actions need to be recorded.

Some of the monitoring requirements of the Office of Human Resources Management (OHRM) for recruitment, placement and promotion of staff outlined in Annex II of the delegation of authority were not fulfilled. HRPS needs to adhere to the requirements agreed with OHRM to ensure that the recruitment process is being carried out in accordance with the delegation.

Use of Galaxy

Galaxy was not fully used by ICTR due to a number of technical and connectivity problems. ICTR, however, assured OIOS that these problems were being resolved, and as of 1 April 2007, vacancy announcements in Galaxy would be processed online. No documentary evidence was provided to indicate why these problems had not been resolved in the last two years, during which period there had been no change in connectivity and bandwidth. OIOS is pleased that HRPS is now addressing the issue but will follow up to ensure that the implementation is carried out as scheduled.

Evaluation and selection

OIOS is concerned about the inconsistency at HRPS in the selection of candidates at the 15, 30 and 60-day marks during and after the recruitment freeze, as this could result in the exclusion of suitable candidates. OIOS therefore recommended that, in order to ensure compliance with ST/AI/2006/3 (replacing ST/AI/2002/4) dealing with the selection of candidates, HRPS should prepare a summary of the eligibility criteria tailored to the ICTR situation, and

hold discussions with HRPS staff and Central Review Board members to clarify the application of the United Nations Regulations and Rules regarding this stage of the process.

Furthermore, new candidates were recruited even though reference checks had not been completed, and there was no follow-up mechanism to ensure that references were checked. OIOS felt that a mechanism needed to be developed to ensure that all pre-recruitment activities are completed prior to finalization of appointments as this could seriously impact on the image of the Tribunal should information provided by candidates not be valid.

TABLE OF CONTENTS

Chapter	Paragraphs
I. INTRODUCTION	1 - 7
II. AUDIT OBJECTIVES	8
III. AUDIT SCOPE AND METHODOLOGY	9
IV. AUDIT FINDINGS AND RECOMMENDATIONS	
A. Governance	10 - 13
B. Mandate and Mission	14 - 17
C. Use of Galaxy	18
D. Vacancy management	19 - 20
E. Evaluation and selection	21 – 42
F. Structure and Functions	43 – 44
G. Planning	45 – 48
H. Internal Reporting and Monitoring	49
I. Financial Management	50 – 51
J. Human Resources Management	52 – 54
K. IT Management	55 – 56
V. ACKNOWLEDGEMENT	57
ANNEX 1 – Actions needed to close audit recommendations	

I. INTRODUCTION

1. The Office of Internal Oversight Services (OIOS) conducted an audit of recruitment at the International Criminal Tribunal for Rwanda (ICTR) from October 2006 to February 2007.

2. In August 2005, the ICTR Human Resources and Planning Section (HRPS) shifted towards a team-based approach giving each human resources team the responsibility of handling all services provided to a client from recruitment to separation. The recruitment activities performed by each team include posting vacancy announcements, generating applications for submission to programme managers, formulating presentations to the Registrar and Central Review Bodies (CRBs), preparing the minutes of the meeting of CRBs, notifying the selected candidate, preparing offers of appointment, performing reference checks and arranging medical clearance. After discussions with the Registrar, effective 1 March 2007, HRPS reverted to an earlier structure under which separate teams handled recruitment and staff administration.

3. The CRBs consist of the central review board which examines the cases of international recruitment and a central review panel that examines recruitments in the General Service category at the G-5 level and above.

4. A staff member at the P-4 level is in charge of staff administration and recruitment activities and reports directly to the Chief, HRPS. At ICTR, Arusha, he is assisted by a P-3 who acts as the focal point for international recruitment activities and eight Field Service (FS) staff, one of whom oversees the recruitment of local staff, staff on short-term appointments, consultants and individual contractors.

5. The cost of recruitment of staff members and consultants during the period January 2004 to November 2006 amounted to approximately \$2.4 million.

6. The following oversight activities were considered when conducting this audit. The Board of Auditors, in its management letter dated 10 July 2003, recommended that ICTR should continue its efforts to reduce the vacancy rates to acceptable levels. In its management letter dated 18 October 2005, the Board of Auditors also suggested that ICTR should assess the impact of vacant posts on its operations and determine its immediate staffing needs. In addition, ICTR should comply with the staff rules in respect of all appointments and promotions and should conduct reference checks on all new eligible candidates.

7. Comments made by ICTR are shown in italics.

II. AUDIT OBJECTIVES

8. The major objective of the audit was to assess the adequacy of the arrangements for handling the recruitment/promotion and placement of staff for

all organs of the Tribunal – Chambers, the Office of the Prosecutor (OTP) and the Registry. This involved:

- a) Establishing whether adequate guidance and procedures were in place;
- b) Assessing the efficiency and effectiveness of ICTR's arrangements for handling recruitment of staff members, staff on short-term assignments, consultants and individual contractors; and
- c) Reviewing compliance with United Nations Regulations and Rules, and other circulars.

III. AUDIT SCOPE AND METHODOLOGY

9. OIOS reviewed the recruitment activities of HRPS for the period January 2004 to November 2006, from identification of the vacancy to sending the letter of appointment. The audit included a review and assessment of internal control systems, interviews with staff, analysis of applicable data and a review of the available documents and other relevant records.

IV. AUDIT FINDINGS AND RECOMMENDATIONS

A. Governance

10. Resolutions 59/273 and 591/274 concerning the financing of ICTR and the International Criminal Tribunal for Yugoslavia (ICTY) requested the Secretary-General to reduce the vacancy rate and improve staff retention at the Tribunals. In accordance with a memorandum from the Assistant Secretary-General for Human Resources Management to ICTR's Registrar dated 26 March 2002 dealing with the extension of appointment and promotion bodies and membership of CRBs, ICTR had set up its own CRBs and implements the rules stipulated in ST/AI/2002/4 (Staff selection system).

11. OIOS confirmed that policies and instructions passed on by the Department of Management (DM) and OHRM to ICTR were distributed to staff by the Chief, HRPS. To ensure that ICTR has up-to-date information on policies and instructions, OHRM regularly sends the Chief, HRPS, a summary sheet of updated staff rules, Secretary-General's Bulletins, Administrative Instructions and Information Circulars, indicating new, deleted and to be archived information. Copies of all policies and instructions from OHRM and DM were filed in the office of the Chief, HRPS who explained that as the custodian of these documents, he has kept them in his office for security reasons and that HRPS staff could easily retrieve them. At the time of the audit HRPS was in the process of developing a handbook of policies and procedures on recruitment. OIOS suggested and the Chief HRPS agreed to develop an electronic version of the

handbook which could easily be accessed by all staff and would make it more efficient for staff to search for information.

12. The Chief, HRPS informed OIOS that the staff of the Section met and discussed the implementation of new policies when issued by DM or OHRM. There was, however, no record of the discussions held and any follow-up actions to be implemented. While OIOS appreciates the initiative taken by HRPS to ensure correct application of new policies and instructions, it considered that the meetings would be more effective if discussions were recorded and provision made for any follow-up on actions arising from the meetings.

Recommendation 1

(1) To improve the effectiveness of meetings held by the ICTR Human Resources and Planning Section (HRPS) to discuss new policies and procedures, HRPS should record the issues discussed and any actions arising, including timelines and responsibilities.

13. *ICTR accepted recommendation 1 and stated that in this regard, HRPS will develop an electronic Quick Place reference center where all such material will be e-archived for ease of reference. This common repository will contain inter alia the following categories; Complete List of Benefits for ICTR staff, Position Management, Contract Management, Time and Attendance, and Employee Records. Recommendation 1 remains open pending receipt of evidence showing that the reference centre has been established.*

B. Mandate and Mission

Mandate

14. In accordance with Section 16 of the ICTR Statute, the Registrar is responsible for the administration and servicing of the Tribunal. In executing this responsibility, the Registrar has assigned the mandate for human resources to ICTR's Division of Administrative Support Services (DASS). OIOS is of the opinion that the mandate is clear and unambiguous.

Delegation of authority

15. The delegation of authority in the area of human resources was initially granted to ICTR by DM on 1 October 1997. This authority was extended by OHRM in a memorandum dated 14 March 2002 after an evaluation of its implementation conducted in November 1999. OIOS agrees with ICTR that this delegation is appropriate.

16. ICTR did not submit to OHRM some of the information and reports that were required as part of the monitoring requirements stipulated in the memorandum dated 14 March 2002 from the Under-Secretary-General, DM to ICTR's Registrar concerning the delegation of authority to ICTR in human

resources matters. The information that was not submitted included copies of ICTR information circulars to its staff setting out policies in the office, monthly staffing table and post incumbency reports and twice a year statistical reports on recruitments, placements and promotions, gender representation, and geographical composition. The Chief HRPS agreed to submit copies of information circulars to OHRM but explained that the statistical reports were not submitted because OHRM could generate the reports from IMIS. OIOS consulted OHRM who explained that while the reports could be generated from IMIS it would be useful for ICTR to submit the reports as required. In addition, OHRM indicated that up-to-date reports would assist in ensuring that ICTR's recruitment activities were regularly reviewed. In the opinion of OIOS, ICTR should comply with all the reporting and monitoring requirements to ensure that the recruitment process is being carried out in accordance with the delegation of authority.

Recommendation 2

(2) To ensure compliance with the delegation of authority in the area of recruitment, the ICTR Human Resources and Planning Section should provide OHRM all the reports and information stipulated in Annex II of the delegation of authority memorandum dated 14 March 2002.

17. *ICTR accepted recommendation 2 and stated that while HRPS will endeavour to send to OHRM all the reports and information stipulated in Annex II of the delegation of authority memo dated 14 March 2002, it would be worthwhile pointing out that reports in all the areas outlined in Annex II are submitted to OHRM on an ad hoc basis. HRPS will maintain a checklist indicating the title of the reports and date submitted to OHRM. Recommendation 2 remains open pending receipt of evidence showing that the staffing table and periodical statistical reports stipulated in the delegation of authority are sent to OHRM.*

C. Use of Galaxy

18. Currently, the ICTR Human Resources Case Officers (HRCOs) only use the vacancy assignment, vacancy management, and vacancy announcement translation modules, and partially use the selection process module. Short-listing and evaluation of candidates is, however, done manually. OIOS noted that for some posts approximately 500 applications were received, and was therefore, concerned that manual review of the applications could significantly affect the effectiveness and efficiency of the evaluation process. HRPS commented that the technical difficulties related to loss of connectivity and bandwidth which included regular down time. They described the most compelling problem as the delegation of authority requirement to post Field Service (FSL) posts in Galaxy. HRPS however assured OIOS that these problems were being remedied and as of 1 April 2007, vacancy announcements would be processed online. No documentary evidence was provided to indicate why these problems had not been resolved in the last two years since the Chief, EDP/MIS, informed OIOS that there had been no change in connectivity and bandwidth. OIOS is pleased that

HRPS is now addressing the issue, but OIOS will monitor to ensure that the implementation takes place as scheduled.

D. Vacancy management

Regular posts

19. OIOS interviewed seven out of the ten Human Resource Assistants (HRAs) handling international recruitment and was informed that there was an informal mechanism in place for sharing information on human resource issues amongst themselves. The Chief, HRPS, disputed this and informed OIOS that training was conducted for HRAs. In the opinion of OIOS, these contradictions may be avoided by recording staff meetings. This matter has already been addressed under Recommendation 1.

20. OIOS took a sample of 49 out of a population of 168 staff members consisting of international and local staff recruited during the period under review and three staff members recruited prior to 2004 and confirmed that generally job profiles, vacancy announcements and evaluation criteria had been prepared. OIOS noted that in most cases the evaluation criteria were endorsed by the CRBs when reviewing the selection process to ensure that applicable procedures were followed. OIOS confirmed that in such cases the evaluation criteria had been previously approved as part of a global submission to the ICTR CRB after the issuance of ST/AI/2002/4. OIOS also noted that vacancy announcements were issued only after the post was classified.

E. Evaluation and selection

Evaluation criteria

21. In September 2002, training on the new staff selection system and Galaxy software was conducted for Programme Case Officers (PCO), members of the CRBs and other staff members involved in the recruitment process. Training included guidelines for PCOs on building vacancy announcements and evaluation criteria under ST/AI/2002/4. OIOS was satisfied that the guidelines and training given were clear and adequate to allow programme managers and members of the CRBs to carry out their functions in an efficient manner.

22. A sample of 50 vacancy announcements out of 168 posts advertised during the period under review was checked. OIOS was satisfied that the evaluation criteria were objective, reflected the relevant competencies for the posts, and had been approved by the CRBs.

Short listing of candidates – use of the roster

23. The Information and Records Unit within HRPS is in charge of updating the roster. OIOS checked the roster to verify its validity and to determine whether it consisted of potential candidates who had been short-listed but not selected. OIOS was satisfied that the roster was updated on receipt of the CRB's

recommendation of candidates. It was also noted that the roster expired after one year. The recruitment officer provided evidence of requests for the roster by programme managers. OIOS was satisfied that the roster was working as intended.

Short listing of candidates – presentation of candidates at the 15, 30, and 60-day mark

24. ST/AI/2006/3 (replacing ST/AI/2002/4) states that staff members eligible for a lateral move at the 15-day mark include internal candidates whose appointment is not limited to service with a particular office. Staff whose appointment is limited to service with a particular office will be considered for vacancies at their level in that office only. Staff members to be considered at the 30-day mark for a post one level higher than the level of the staff member include internal candidates whose appointments are not limited to service with a particular office. Where the appointment is limited to service in a particular office, the staff member would be considered for the higher level post in that office only.

25. During the recruitment freeze, a memorandum dated 23 August 2004 from the Registrar to the Assistant Secretary-General for Human Resources Management requested approval to grant internal status to the staff of the United Nations Secretariat interested in serving the Tribunals on secondment. OHRM did not approve the request as it felt that this would be counter to the recruitment freeze and requested that any exemptions should have OHRM approval. OIOS reviewed seven recruitments from other agencies falling under the United Nations Secretariat such as the United Nations Assistance Mission for Iraq (UNAMI) and United Nations Office at Nairobi (UNON) and found that two of these candidates were considered at the 15-day mark during the recruitment freeze. This was done without any waiver from OHRM. In addition, after the recruitment freeze, four candidates serving in agencies under the United Nations Secretariat were considered at the 60-day mark although the applications were received within the 15-day mark. OIOS felt that this inconsistency could result in the exclusion of suitable candidates. ICTR was unable to provide OIOS with information to enable it to determine how many recruitment cases were affected.

26. OIOS found that the inconsistencies noted were mainly because of differences in interpretation by HRPS staff, on whether General Service staff from other United Nations agencies should be treated as internal candidates at the 15 and 30 day mark. OIOS agreed with the interpretation of the Chief, HRPS, that candidates from other United Nations agencies falling under the Secretariat, including General Service staff should be treated as internal candidates if recruited under the 100 series of the staff rules and have appointments that are not limited to service with a particular office. The Chief, HPRS, explained that there had been a high turnover of the HRPS assistants in the past two years which may have contributed to the differences in interpretation. He agreed with OIOS that there was need to ensure that HRAs and CRB members understood the eligibility criteria at the 15, 30 and 60 day mark in compliance with ST/AI/2002/4 and ST/AI/2006/3. In addition, the eligibility criteria should take into account the specific circumstances approved for ICTR such as special consideration of ICTY staff at the 15 day mark.

Recommendation 3

(3) To ensure compliance with ST/AI/2006/3 in the selection of candidates at the 15, 30 and 60-day mark, the ICTR Human Resources and Planning Section should prepare eligibility criteria tailored to the ICTR situation. An information circular should then be issued and discussed with Human Resource Assistants and members of the Central Review Bodies.

27. *ICTR accepted recommendation 3 and stated that HRPS is in the process of organizing a workshop for all human resources staff and members of the CRP/B in which an eligibility criteria specific to the ICTR situation will be developed. Recommendation 3 remains open pending receipt of the information circular proposed to be issued.*

Timeliness of recruitment process

28. The Chief, HRPS informed OIOS that the recruitment process in ICTR took between three to six months to complete. OIOS reviewed a sample of 12 recruitments for the period under review and checked the deadline date of vacancy announcements against the date of the offer of appointment issued to the selected candidate. It was found that the process took a minimum of six days and a maximum of nine months. HRPS explained that even though a turnaround time of seven days was given to programme managers for the short listing of candidates, there were often delays and in most cases the time frame established was exceeded. In addition, delays were also experienced if members of the CRBs were not available. The focal point for international recruitment activities indicated that reports on the status of recruitment on all posts were received on a fortnightly basis or more frequently if there was an increase in recruitment activity. Evidence was provided by the recruitment officer showing communication with programme managers in an effort to ensure the timeliness of the evaluation and review process. OIOS was pleased to note that the recruitment section is in the process of developing a worksheet to track the recruitment timelines. The full implementation of the Galaxy system would also provide a tracking mechanism that would assist in monitoring the progress of recruitments.

Written tests for General Service Staff

29. As part of the recruitment process for local staff, candidates were required to take a written test to evaluate their knowledge of the subject area in accordance with a memorandum from OHRM to the ICTR's Registrar dated 10 February 2003, which dealt with entrance tests and examinations for the recruitment or promotion of General Service staff. OIOS was informed that the Officer-In-Charge of the training unit was responsible for overseeing the marking and reviewing of the tests. A sample of 13 out of 41 locally recruited staff members was chosen to determine whether they had passed the entrance tests. OIOS found no evidence of a written test taken by one of the staff members recruited. In another instance, the staff member had been recruited for an occupational group

for which she had not taken the required test. These instances exhibited a lack of consistency in the application of the policy for the recruitment of local staff members. There was also no indication of the name of the staff member marking or reviewing the test papers. In the opinion of OIOS, test papers should be initialled by the persons marking and reviewing them to promote transparency and accountability in the process.

Recommendation 4

(4) To comply with the requirements outlined in the policy laid down for the recruitment of local staff, the ICTR Human Resources and Planning Section should establish clear guidelines governing how the policy will be implemented, including who will administer, mark and review the written test papers, and ensure that staff members marking and reviewing the test papers initial them.

30. *ICTR accepted recommendation 4 and stated that HRPS is in the process of updating the internal guidelines regarding the administration of written clerical test within HRPS.* Recommendation 4 remains open pending receipt of the internal guidelines outlining how the written tests will be administered.

Composition of the interview panel

31. OIOS confirmed that the programme manager produces a short list and interviews the candidates. The interviewing panel is formed on the basis of the vacancy announcement and evaluation criteria, with a member of HRPS usually present on the panel as an observer. OIOS reviewed the results recorded through rating sheets or interview reports which clearly outlined the parameters used to evaluate the candidates. OIOS was satisfied with the adequacy of the assessment sheets and no problems were noted. However, with the introduction of Galaxy, the rating of candidates will be more effective and efficient and welcomes the assurance provided by HRPS that the full system will be operational by 1 April 2007.

Selection and approval

32. OIOS noted that the results of interviews were recorded through rating sheets or interview reports signed by the members of the interviewing panel. This, however, will not be necessary with the implementation of Galaxy on 1 April 2007. Prior to mid-2006, the submissions made to the Registrar showed the ranking of the candidates but this practice has been discontinued. HRPS facilitates the process by submitting the unranked list of candidates to the Registrar as this function is not done electronically. Fifteen presentations to the Registrar were compared against submissions by the program manager to ensure agreement. No problems were noted.

ICTR Central Review Body and Central Review Panel (CRP)

33. The integrity of the selection process is reviewed by the ICTR CRBs. OIOS verified that the composition of the central review body and CRP had been submitted to UNHQ and was approved by the Secretary-General. OIOS interviewed three members of the CRP and two members of the central review body to determine the awareness of their responsibilities and the adequacy of the training received. In all cases, the members were satisfied with the training given and found it useful in clarifying their roles and responsibilities. OIOS examined the training material used but found that not enough emphasis was placed on the selection of candidates at the 15, 30 and 60-day mark, which may have contributed to the incorrect application of these provisions, as explained earlier in this report.

Short term appointments

34. OIOS reviewed a sample of 12 files out of 79 staff members on short term recruitment and confirmed that offers and letters of appointment were issued and medical clearance obtained in accordance with the Personnel Directives contained in the Personnel Manual prepared by OHRM. However, due to a lack of consistency regarding documentation in an individual's file, guidelines on filing need to be developed clearly outlining the documentation to be placed in an individual's official status file on recruitment. There was also no evidence that credentials of individuals had been verified, therefore, OIOS was unable to determine the adequacy of the process of evaluating the competency of the individual.

Recommendations 5 and 6

(5) To ensure consistency in the documents kept on file for short term appointments, the ICTR Human Resources and Planning Section should establish guidelines outlining the documents to be placed on an individual's official status file.

(6) To ensure the competency of individuals selected on short term recruitment, the ICTR Human Resources and Planning Section should verify the qualifications and experience of the individuals prior to appointment, in accordance with established recruitment practices.

35. *ICTR accepted recommendation 5 and stated that an essential documents checklist exists and is currently in use. This list will be re-circulated by email to all HRAs. OIOS checked a sample of four files and found that checklist had not yet been implemented. Recommendation 5 remains open pending receipt of evidence showing full implementation of the checklist.*

36. *ICTR also accepted recommendation 6 and stated that HRPS will be getting e-PAS reports from the releasing agencies before or two months after the candidates are on board, and with regard to external candidates, reference*

checks will be requested from the institutions the same time when the offer is being sent to the candidate. Recommendation 6 remains open pending receipt of evidence showing that the qualifications and experience of individuals on short term recruitment have been checked prior to appointment.

Consultants and individual contractors

37. OIOS reviewed the files of 15 out of a total of 99 individual contractors and consultants employed during the period under review, and was satisfied that the terms of reference indicated the expected tangible outputs of the assignment as required by ST/AI/1999/7 (Consultants and individual contractors).

38. OIOS also noted that the Information and Records Unit within HRPS used an evaluation form¹ for consultants and individual contractors which included an assessment of the quality of work and an overall performance rating. This form was then used as a basis for retaining or removing the consultant or individual contractor from the roster. Although the Information and Records Unit was responsible for verifying the qualifications and experience of consultants prior to inclusion on the roster, OIOS was unable to find evidence on file that these checks had been performed, even though the Officer-In-Charge of the Information and Records Unit confirmed that these checks had been conducted. OIOS agreed with HRPS that for consultants appointed by the trial Chambers as expert witnesses, verification of qualification and experiences may not be necessary. However, for all other consultants, OIOS felt that arrangements for entry on the roster could be strengthened by not only performing but also documenting and filing the background checks. This would also simplify checking at a later stage when consultants and individual contractors are recruited.

Recommendation 7

(7) To ensure compliance with ST/AI/1999/7, and that consultants and individual contractors are competent and eligible to be placed on the roster, the ICTR Human Resources and Planning Section should ensure that background checks are undertaken, documented and filed prior to appointment and inclusion on the roster.

39. *ICTR accepted recommendation 7 and stated that in addition to the response to Recommendation 6, all programme managers will be informed on the above practice.* Recommendation 7 remains open pending receipt of evidence showing that reference checks of the qualifications and experience of consultants and individual contractors have been undertaken, documented and filed prior to appointment.

Appointment

40. OIOS checked the date of final approval by the Registrar as Department Head against the date of the offer of appointment, and no problems were noted.

¹ Form P 106 R

OIOS was satisfied that the offers and letters of appointment were correctly prepared. All candidates from the sample were medically cleared prior to recruitment. However, a review of the sample of 50 files revealed that reference checks were not done for 31 of the staff members, eight were sent out but there was no response, there were five positive replies and one negative response, the remaining five were from other United Nations agencies and therefore no references were required as performance appraisals from the United Nations agencies were submitted. OIOS noted that no follow-up was done on the negative response received even though the institution concerned had requested ICTR to provide additional information to allow them to recheck their records. OIOS also noted that although reference checks were not completed, the candidates were recruited and no follow-up mechanism was in place. The Chief, HRPS, explained that in some cases especially for posts within the Office of the Prosecutor, recruitments were urgent and therefore the candidates could be recruited before reference checks were completed. He further stated that work pressure and staff turnover contributed to the delays in finalization of reference checks. OIOS was informed that the section was currently in the process of recruiting a temporary staff to help in clearing the backlog of reference checks. OIOS is pleased to note that HRPS is taking action to address the issue and is of the opinion that a mechanism needs to be developed to ensure that all pre-recruitment activities are completed prior to finalization of appointments, as this could seriously impact on the image of the Tribunal. This would assist in ensuring compliance with the Personnel Directives in the OHRM Personnel Manual and established recruitment practices.

Recommendations 8 and 9

(8) To comply with the Personnel Directives in the OHRM Personnel Manual and established recruitment practices, the ICTR Human Resources and Planning Section should establish a mechanism to follow-up on information requested, which may involve the assistance of the candidate selected.

(9) To ensure that information submitted by staff is valid, the ICTR Human Resources and Planning Section should follow up on the negative response to the reference check identified by OIOS, and provide the additional information requested by the institution. Appropriate action should be taken if the information submitted by the candidate is found to be inaccurate.

41. *ICTR accepted recommendation 8 and stated that in addressing the issue of reference checks in terms of methodology, the following steps are being taken with regard to backlog cases: a) Classification of reference check by occupational groups and by section with a clear indication of the type of risk vis-à-vis the organization; b) For ongoing reference checks, requests are being sent at the same time when the offer is being sent to each individual candidates. In connection with the second group, the action is being taken on a case by case basis. As regards the first group, HRPS will share with OIOS the list of these*

potential cases. Recommendation 8 remains open pending receipt of evidence showing the establishment of a follow-up mechanism for reference checks.

42. *ICTR accepted recommendation 9 and stated that it reiterates the response to Recommendation 8 above, and based on the updated information from the candidate, it is hoped that this problem would be eradicated.* Recommendation 9 remains open pending receipt of evidence showing that HRPS has followed up on the negative response identified by OIOS and has taken appropriate action if the information provided by the candidate is inaccurate.

F. Structure and functions

43. In August 2005, HRPS introduced a team-based approach to handling the services offered to their clients. Each human resources team was responsible for providing all services to its client, from recruitment to separation. Prior to this, the functions of staff administration and recruitment were being performed separately.

44. The Chief, HRPS informed OIOS that prior to August 2005, the vacancy rate was high and there was a need to assign specific teams to handle recruitment matters to facilitate timely processing. With a reduction in the vacancy rate by about 80 per cent, the volume of work in recruitment decreased, which resulted in the restructuring of HRPS and the introduction of the team-based approach to handle their clients. HRPS felt that this approach would enhance the career development and marketability of staff and allow equal work distribution. HRPS evaluated the two structures and found that the earlier structure was more effective as it allowed the HRAs to focus on their areas of greater strength. Therefore after discussions with the Registrar, effective 1 March 2007, HRPS has reverted to the earlier structure under which separate teams handled recruitment and staff administration. OIOS was satisfied with this explanation.

F. Planning

Identification of vacancies - Regular posts

45. Budgeted posts are detailed in the approved staffing table. OIOS confirmed that vacancies are usually identified by the programme manager and the issue is then discussed with HRPS. The programme manager advises HRPS on whether the post is to be advertised or redeployed if agreed with another section.

Identification of vacancies - Short term appointments

46. OIOS found that even though several components of the training given to programme managers for regular posts also applied to short term appointments, in many instances, justification showing the need for short term staff was not on file. OIOS was pleased to note that in January 2007, HRPS provided programme managers with a flow chart of the processes to be followed in recruiting short-term staff and the format to be used to provide the required justifications.

Identification of vacancies - Consultants and individual contractors

47. OIOS found that no guidelines had been given to programme managers for the employment of consultants and individual contractors, which could result in incompetent individuals being employed or the services duplicating work already done or about to be done. From the sample reviewed, OIOS was satisfied that the services of consultants could not be performed by staff members, but the process of recruitment of consultants and individual contractors could be improved if guidelines for their employment were communicated to programme managers. OIOS is pleased to note that at the end of 2006, HRPS held meetings with the programme managers to discuss issues on recruitment of consultants. HRPS has also provided the programme managers with a flow chart of the process to be followed in recruiting consultants and the list of approved remuneration rates. OIOS was satisfied with the steps taken by HRPS to address this issue.

Development of a recruitment plan

48. At the end of 2004-2005 biennium, ICTR had 104 vacant posts out of 1,042 authorized posts. This represented a vacancy rate of ten per cent. OIOS confirmed that HRPS developed a recruitment plan in consultation with programme managers. In light of the completion strategy, a committee has been established to develop an ICTR plan. The committee is currently awaiting feedback on the requirements from the Office of the Prosecutor (OTP) and other programme managers of ICTR. OIOS was satisfied with this explanation, as HRPS was facilitating the process.

H. Internal Reporting and Monitoring

49. OIOS confirmed that monthly statistical information on staffing is provided to the Chief, HRPS. The report gives information on the number of vacancies and shows the staffing situation by Section, Unit and Organ. In addition, the focal point for recruitment receives from all HRAs, on a fortnightly basis, a recruitment status report on all posts under recruitment. OIOS noted no problems with the accuracy and timeliness of these reports.

I. Financial Management

50. OIOS reviewed a sample of 20 travel claims for the biennium 2004-2005 to verify the accuracy of the rates used for payment of claims and found no problems.

51. A sample of vacant posts was checked and OIOS confirmed that the funds allocated for the posts had been used for staff purposes. No problems were noted.

J. Human Resources Management

Training Administrative Assistants

52. OIOS interviewed three Administrative Assistants all of whom indicated an interest in further training in the new staff selection system as this was an area new to them. OIOS discussed the issue with HRPS and the possibility of providing training to the Administrative Assistants to enable them to function more effectively and efficiently as focal points for human resources issues in their sections, and where appropriate, assist in the recruitment exercise, in such areas as development of vacancy announcements.

Recommendation 10

(10) To enhance the effectiveness and efficiency of Administrative Assistants as focal points for human resources issues in their sections, the ICTR Human Resources and Planning Section should review how Administrative Assistants can be more fully involved in the recruitment process and provide further training in these areas.

53. *ICTR accepted recommendation 10 and stated that HRPS is going to contact the administrative assistants on the list which was sent to OIOS, requesting their feedback as to which area within the new staff selection system they need additional training. Upon receipt of their input, a training session will then be organized with specific target and goals. Recommendation 10 remains open pending receipt of evidence showing that necessary training has been provided.*

Documentation

54. OIOS experienced difficulties in obtaining documents during the audit, and files were generally inadequately documented. ICTR admitted the inadequacy of its filing system and indicated that HRPS was in the process of recruiting an individual using General Temporary Assistance (GTA) funds. Whilst pleased to note this development, OIOS first raised this issue in 2005 in its audit report AA2005/260/01 (Audit of ICTR Administration of Entitlements – organization and management, mobility, hardship and non-removal allowance, education grant and dependency allowance). This recommendation is still open. OIOS encourages HRPS to implement the recommendation without further delay.

K. IT Management

55. The Field Personnel Management System (FPMS) is used by HRPS to record recruitment procedures, extension of contracts and other personal data on staff and non-staff members. IMIS is not used by ICTR. FPMS has been adapted

for use by ICTR to address its local needs, which includes the management of local staff and the locally paid entitlements of international staff members. HRAs are responsible for inputting personal information into the database and this is done on a daily basis. There was no evidence of data integrity checks being carried out, although OIOS found no discrepancies in the data on a sample of 12 staff members. The HROs informed OIOS that they check the accuracy of the information when reviewing the personnel action forms. The personal data for international staff is also sent to United Nations Headquarters in New York where it is entered in IMIS and a personnel action form is generated. In the opinion of OIOS, the personnel action prepared from IMIS should be checked against the records in FPMS to ensure that the information entered in both systems are accurate to minimize the risk of incorrect calculations and payment of entitlements.

Recommendation 11

(11) To ensure that incorrect data is not entered into the Field Personnel Management System (FPMS), the ICTR Human Resources and Planning Section should develop procedures detailing checks for information entered into FPMS, including comparing the information in the personnel action form derived from IMIS with FPMS records.

56. *ICTR accepted recommendation 11 and stated that HRPS has taken note of this recommendation. An internal information circular will be issued requesting HRAs to verify and consolidate the personnel action forms generated through IMIS at Headquarters with FPMS data for each staff member. Recommendation 11 remains open pending receipt of the procedures developed for comparing the information in FPMS against the personnel action form derived from IMIS.*

V. ACKNOWLEDGEMENT

57. We wish to express our appreciation to the Management and staff of ICTR's HRPS for the assistance and cooperation extended to the auditors during this assignment.

STATUS OF AUDIT RECOMMENDATIONS

Recom. no.	C/O ¹	Actions needed to close recommendation	Implementation date ²
1	O	Receipt of evidence that the reference centre has been established.	1 September 2007
2	O	Receipt of evidence that the staffing table and periodical statistical reports stipulated in the delegation of authority are sent to OHRM.	1 September 2007
3	O	Receipt of the information circular proposed to be issued.	1 June 2007
4	O	Receipt of the internal guidelines outlining how written tests will be administered.	30 June 2007
5	O	Receipt of evidence of full implementation of the checklist.	4 May 2007
6	O	Receipt of evidence that the qualifications and experience of individuals on short term recruitment have been checked prior to appointment.	Immediately
7	O	Receipt of evidence that reference checks of the qualifications and experience of consultants and individual contractors have been undertaken, documented and filed prior to appointment.	Immediately
8	O	Receipt of evidence of the establishment of a follow-up mechanism for reference checks.	Immediately
9	O	Receipt of evidence that HRPS has followed up on the negative response identified by OIOS and has taken appropriate action if the information provided by the candidate is inaccurate.	Immediately
10	O	Receipt of evidence that necessary training has been provided.	Immediately
11	O	Receipt of the procedures developed for comparing the information in FPMS against the personnel action form derived from IMIS.	(Ongoing and continuous Process) June 2007 to put in place a system of monthly data integrity checks.

1. C = closed, O = open

2. Date provided by ICTR in response to recommendations.