



International Organization for Migration (IOM)  
The UN Migration Agency

## OFFICE OF THE INSPECTOR GENERAL

### Management Response and Actions IOM Personnel Administration Audit File No. PA201801

The IOM Office of the Inspector General (OIG) conducted an internal audit of the IOM Personnel Administration from May to October 2018. The audit assessed the risk exposure and risk management of the Personnel Administration's activities, in order to ensure these are well understood and controlled by the Chief Human Resources Operations and Administrative Services' management and staff. The audit covered the activities of the Personnel Administration from January 2016 to April 2018. The results of the audit are public and can be accessed through IOM's global website<sup>1</sup>.

The OIG assessed the Office as partially effective, and raised 16 audit findings and recommendations, out of which 10 are very high and high priority.

As of January 2021, only 1 high priority recommendation remains open.

The below report provides an explanation of the actions taken since the 2018 audit and the current state of the IOM Personnel Administration office.

### Management Response and Actions to the Internal Audit Report of PA201801 – IOM Personnel Administration

#### Management and Administration

#### **Finding No. 1: Ineffective organizational structure, limited capacity, and inefficient work distribution set-up**

*Finding Closed*

There was a delay in the approval of the Personnel Administration Unit new structure at headquarters level. The new structure has finally just been approved with go-live date on 1 March 2021. Manila Human Resources Operations is currently in the process of filling all newly established positions of the new structure through competitive selection process.

#### **Finding No. 2: Outdated process flows and inadequate Standard Operating Procedures**

*Finding Closed*

Standard operating procedures and business process flows have been constantly updated also in view of the remote working modalities during almost the full 2020. The final revised standard operating procedures and business process flows will be put in place with the new Personnel Administration

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<sup>1</sup>[https://www.iom.int/sites/default/files/about-iom/audit/pa201801\\_-\\_iom\\_personnel\\_administration.pdf](https://www.iom.int/sites/default/files/about-iom/audit/pa201801_-_iom_personnel_administration.pdf)



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Unit structure in March 2020 when a new human resources action authorization matrix will be implemented.

**Finding No. 3: Inefficient segregation of duties in the Personnel Administration Unit and lack of alignment of PRISM roles to staff positions to access professional staff entitlements**

*Finding Closed*

The full segregation of duties and roles in the Personnel Administration Unit will be implemented with the new unit structure in March 2020 where different authorization levels are envisaged as per the human resources action authorization matrix. In addition to this, several T-codes were developed and online fully training rolled out for the Resource Management Officers/Human Resources Officers in the regional and country office level during 2020.

**Finding No. 4: Ineffective buddy system to cover staff leaves and Travel on Duty**

*Finding Closed*

The full backup system and coverage during leaves and travel on duty will be implemented in March 2020 with the new Personnel Administration Unit structure.

**Finding No. 5: Outdated Contract types, Grading's and Terms of Reference**

*Finding Closed*

All terms of reference have been updated, grades reviewed and adjusted and eligible staff in the Personnel Administration Unit have received regular contracts. Currently, several competitive selection processes are ongoing for the newly established positions in the Personnel Administration Unit, which all have adequate terms of reference and classification.

**Finding No. 6: Lack of continuous capacity building to staff**

*Finding Closed*

In addition to the several short-term assignments of Personnel Administration Unit staff in the field that were very beneficial in terms of exposure and development, there have been a number of training sessions undertaken by Personnel Administration Unit staff until end of 2020. The staff training and development is a priority for Manila Human Resources Operations and is a continuous activity.

**Finding No. 7: Lack of signature in the confidentiality agreement, monitoring of Prevention of Sexual Exploitation and Abuse and need to improve staff records filing**

*Finding Closed*

All Manila Human Resources Operations' staff were trained and have signed the confidentiality agreement which is included in their individual personnel files. This process will be repeated on an annual basis. Refresher on Prevention on Sexual Exploitation and Abuse training was also conducted and will be repeated for new Manila Human Resources Operations staff.



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## Personnel Administration

### **Finding No. 10: Lack of verification of staff entitlements**

*Finding Closed*

A number of business process reviews have been carried out by the Operations Support Unit in close coordination with both the Personnel Administration and Payroll Units. Unfortunately, the funding request for implementation of workflow automation and validations in PRISM was not approved at present. Improvements in these areas will be addressed in the framework of the ongoing business transformation initiatives and the tools that will be implemented with the new Personnel Administration Unit structure.

### **Finding No. 11: Personnel Actions and Contract Extension processes need enhancement**

*Implementation On-going*

**Personnel Administration Unit's Response:** The Payroll unit will perform additional verifications of the staff vendor account and ensure coordination with the relevant Missions prior to separation process is finalized. Any contract template modification is coordinated with Office of Legal Affairs – Human Resources.

### **Finding No. 12: Improvement from PRISM HR support is needed**

*Finding Closed*

Coordination with Information and Communications Technology has improved given the connecting role performed by the Operations Support Unit and the Human Resources Analyst active interventions and participation in the process. A new template for capturing and approving correct business requirements is put in place. All technical issues in PRISM are now channeled through the Human Resources Analyst and any solution or enhancement developed by PRISM HR team requires the approval of the Human Resources Analyst. The Operations Support Unit is now fully participating in the User Acceptance Test process and provides substantial input therein.

#### **OIG/Internal Audit Comment:**

**OIG - Internal Audit notes the significant effort undertaken to implement the majority of the audit recommendations and is encouraging the implementation of the remaining one in due course.**