



Internal Oversight Division

Reference: IA 2017-04

Audit Report

Audit of Recruitment

February 20, 2018

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LIST OF ACRONYMS

ERM	Enterprise Risk Management
ERP	Enterprise Resource Planning
FT	Fixed Term
HR	Human Resources
HRMD	Human Resources Management Department
ICS	Individual Contractual Services
IIA	Institute of Internal Auditors
IOD	Internal Oversight Division
IP	Intellectual Property
LOA	Letter of Appointment
OI	Office Instruction
PTD	Procurement and Travel Division
SRR	Staff Regulations and Rules
UN	United Nations
VA	Vacancy Announcements
WIPO	World Intellectual Property Organization

EXECUTIVE SUMMARY

1. In accordance with its 2017 Annual work plan, the Internal Oversight Division (IOD) conducted an Audit of Recruitment for the period January 2016 to August 2017. The objectives of the audit were to: (a) Assess governance, risk management, and controls in WIPO's recruitment process; (b) Assess efficiency and effectiveness of staff recruitment procedures, and compliance with related rules and regulations; and (c) Verify that existing systems and tools effectively support the recruitment process.
2. IOD noted that the World Intellectual Property Organization (WIPO) recruitment policies, procedures and guidelines need to be enhanced to ensure consistency of decisions in the recruitment process. Defining and documenting the recruitment lead time indicator and performance indicators for each stage of the recruitment process would be beneficial for assessing the overall efficiency of the recruitment cycle.
3. Furthermore, some Staff Regulations and Rules such as those that requires the staff member to undertake medical examination before issuance of a Letter of Appointment need to be revised and aligned with current practices. The Guidelines for Members of Appointment Boards need to be updated to reflect the current processes, practices and the deployment of the electronic recruitment system.
4. WIPO has been using the Taleo system, a talent acquisition/recruitment tool since April 2016. Whilst it was noted that efficiency gains have been achieved through this tool, WIPO has not fully optimized the tool in managing the entire recruitment cycle. WIPO can derive more efficiency in the recruitment process by utilizing the system's data analytics and reporting functionalities to help monitor and assess recruitment aspects such as vacancy announcement's awareness.
5. Additionally, automation of manual onboarding processes by integrating them within the existing workflows of WIPO's Enterprise Resource Planning (ERP) System would result in more benefits in terms of efficiency gains, accountability and real-time monitoring of recruitment and onboarding processes.
6. One of the opportunities identified for automation and implementation of good practices is the introduction of an online induction course which can be useful in supporting the in-class induction, both as preparation for the in-class induction, and as a reference or refresher. The course would also contribute towards more efficient use of resources as well as effective management and dissemination of relevant information to enhance staff knowledge, and support WIPO's Induction Program.
7. Finally, the results of the survey on WIPO's Recruitment process and onboarding carried out as part of this audit supports some of the above observations, such as; the need to improve on compliance with the recruitment regulations, procedures, guidelines and other stipulated appointment formalities. Generally, the respondents of the survey found the overall recruitment process satisfactory.

1. BACKGROUND

1. Recruitment forms part of WIPO's strategic management of Human Resources (HR), which has a number of interrelated elements designed to deliver long term sustainable success. Effective recruitment helps ensure that WIPO has the right balance of human resources with experience and skill sets to achieve organizational objectives and expected results, while maintaining a culture of ethics, professionalism and integrity.

2. The HR Strategy has defined four pillars for the management of the Organization's human resources as follows:

- (a) Pillar 1: A fit-for-purpose and diverse staff;
- (b) Pillar 2: Client- and demand-oriented provider of Intellectual Property (IP) global services;
- (c) Pillar 3: WIPO – employer of choice; and
- (d) Pillar 4: Talent development and management.

3. Recruitment affects all above pillars and more specifically, the need for a fit-for-purpose and diverse staff. Various initiatives have taken place over the years, notably; gender mainstreaming at management and senior management levels, and engaging Member States in an outreach effort to further diversify staffing at WIPO and reduce the current number of unrepresented countries¹.

Table 1: WIPO Staff Distribution by Region as of August 2017

Region	Countries Represented	Count
Africa	32	113
Asia and the Pacific	23	209
Eastern and Central Europe and Central Asia	21	77
Latin America and the Caribbean	22	97
Middle East	7	21
North America	2	72
Western Europe	17	639
Total	124	1,228

Source: WIPO's Business Intelligence Tool

¹ At June 2016, there were 69 unrepresented countries.

The table below summarizes 2017 recruitment activities as at August 2017:

Table 2: Recruitment Activities as of August 2017

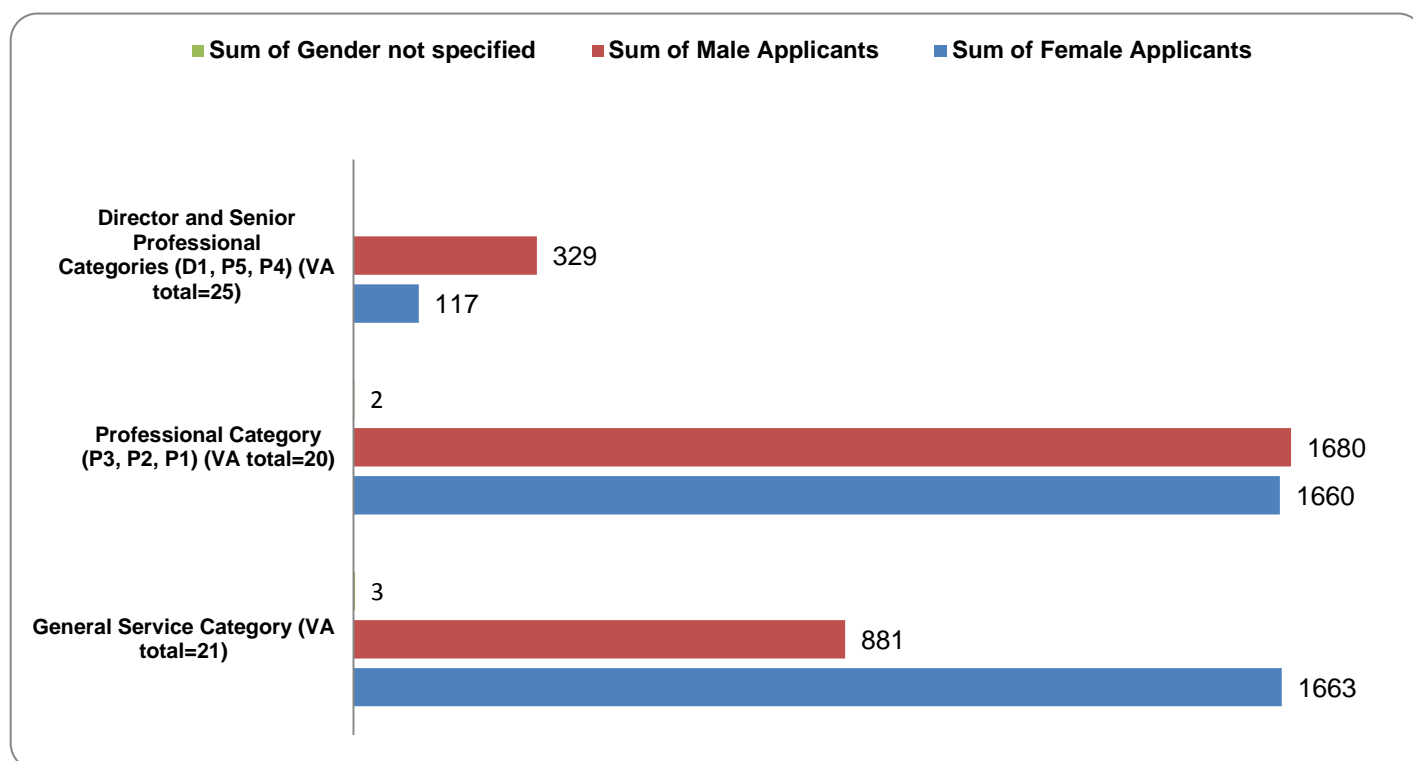
Status	Fixed-Term	Temporary	Total
Vacancy Announcement (VA) Published	14	4	18
VA Closed/Pending initiation*	9	1	10
Selection in process	14	1	15
Approval in process	10	4	14
Candidates selected	5	6	11
New hires	6	6	12

* Vacancy closed, pending start of selection process

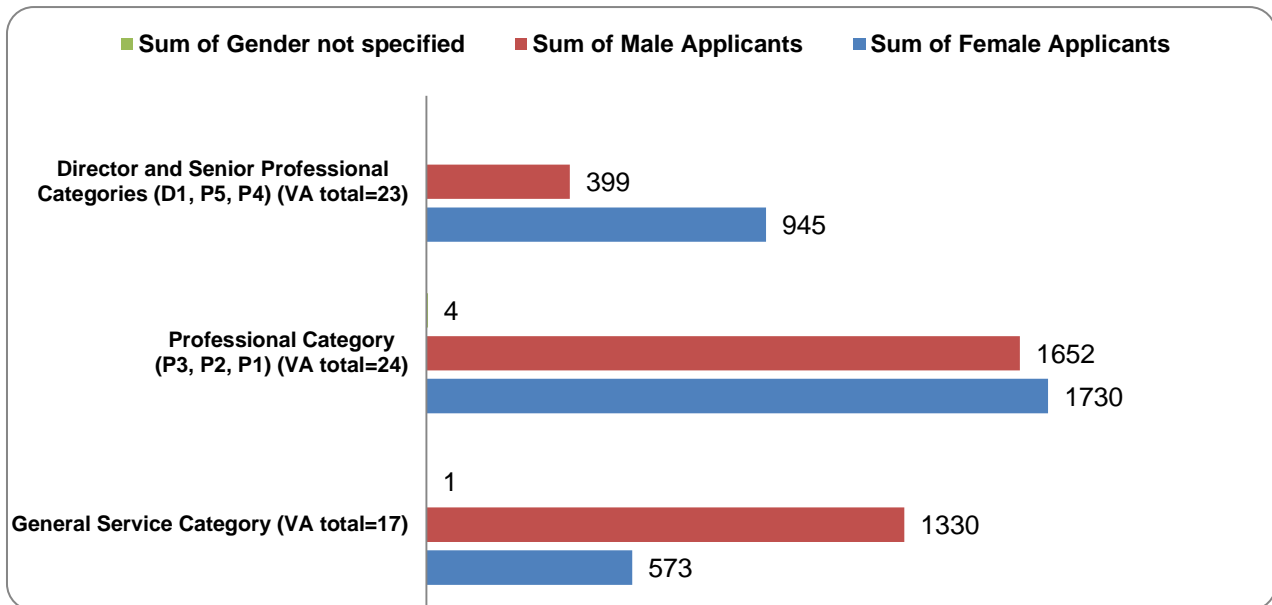
Source: WIPO's Business Intelligence Tool

4. The number of applications for fixed-term posts according to the Gender distribution for the year 2016 and the period January – August, 2017 are shown below.

Figure A: Gender distribution of Applicants in 2016

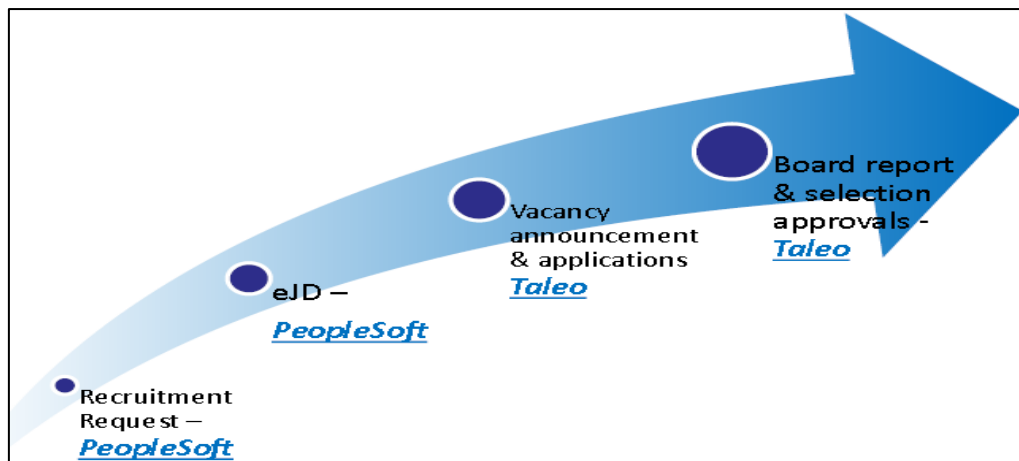


Source: WIPO's Electronic Recruitment System 2016 Vacancies

Figure B: Gender distribution of Applicants: January – August 2017

Source: WIPO's Electronic Recruitment System: January- August 2017 Vacancies

5. From April 2016, WIPO moved to a new recruitment system (Taleo), part of Oracle products and hence allowing better integration with WIPO's ERP which includes PeopleSoft applications for management and finance. With the integration of this tool, the entire recruitment cycle, starting with the recruitment request is handled online, and through one central system, as depicted below.

Figure C: Electronic recruitment cycle

Source: HRMD presentation on Taleo

6. Fixed-term, Temporary and Internship opportunities are advertised and processed in the Taleo System (Fellowships are also managed in the system); and Individual Contractual Services (ICS) contracts are advertised through a dedicated portal in Taleo.

(A) OBJECTIVES

7. The objectives of this audit were to:

- (a) Assess governance, risk management, and controls in WIPO's recruitment process;
- (b) Assess efficiency and effectiveness of staff recruitment procedures, and compliance with related rules and regulations; and
- (c) Verify that existing systems and tools effectively support the recruitment process.

(B) SCOPE AND METHODOLOGY

8. The audit scope covered the recruitment of fixed, temporary general and professional staff conducted between January 2016 and August 2017; and considered the following key stages:

- (a) Planning;
- (b) Advertising;
- (c) Evaluation of Applications;
- (d) Selection and Appointment; and
- (e) Onboarding.

9. The audit methodology included:

- (a) Interviewing key stakeholders on the governance, risk management and control environment surrounding recruitment at WIPO;
- (b) Assessing whether recruitment policies and procedures are designed to effectively support the organization's needs and objectives;
- (c) Assessing effectiveness by a walkthrough of the key stages of recruitment, from planning to onboarding;
- (d) Verifying through sample testing, that recruitment workflows and controls are aligned and compliant with related rules and regulations;
- (e) Assessing effectiveness of controls in place to handle sensitive recruitment information;
- (f) Assessing whether performance indicators such as recruitment costs and timelines are monitored and reported;
- (g) Verifying that geographical distribution and gender considerations are effectively integrated in the recruitment process;
- (h) Verify that recruitment activities are conducted and reported in a clear and transparent manner; and
- (i) Assessing whether the new recruitment system (Taleo) is delivering the expected benefits.

10. The audit was performed in accordance with the International Standards for the Professional Practice of Internal Auditing (Standards) issued by the Institute of Internal Auditors (IIA).

2. AUDIT RESULTS

11. The audit results address components that support WIPO's recruitment activities namely compliance, efficiency and effectiveness of the process, and tools and systems that support the recruitment process. The ensuing observations and recommendations are summarized as follows.

(A) GOVERNANCE

12. IOD reviewed WIPO's governance and risk management practices, policies, procedures and guidelines relating to recruitment. Further, the Human Resources Strategy, recruitment plans and leading recruitment practices of the UN and other International Organizations were reviewed. The observations were:

(i) Enhancing recruitment policies and guidelines

13. The Staff Regulations and Rules, recruitment policies, procedures and guidelines do not specify a minimum number of candidates to be shortlisted and interviewed when conducting a competition. In addition, the recruitment guidelines do not provide guidance on what steps or action to follow in the event that, at shortlisting stage, there is only one candidate that meets the qualifications and experience requirements for the post.

14. This has resulted in inconsistencies in the decisions for similar situations as observed by IOD in three competitions (fixed term and temporary) for which there was one shortlisted candidate following preliminary evaluation of applicants. In one competition the sole candidate was interviewed and thereafter recommended to the Director General for appointment by the Appointment Board whilst in another, the competition was cancelled and re-advertised after some amendments to the VA. In the third case for a temporary post, an internal candidate who had already been performing the tasks for the post on a six months contract was recommended for appointment.

15. From the aforementioned cases, it can be seen that the absence of guidelines for situations where there is only a single candidate for a competition may result in inconsistent decisions.

16. Given the length of time it takes to complete recruitments, in the event that the single candidate interviewed for the post declines the offer of employment, the recourse may be to re-advertise the post, which would further delay the recruitment, and may adversely impact the timely execution of program plans. It is also loss of an opportunity to identify other equally suitable candidates for the post, who can be placed on a roster/pool or reserve list of assessed candidates to avoid re-advertisement.

17. Furthermore, IOD noted that while guidelines exist for supporting the work of the Appointment Board, these guidelines have however not been reviewed and updated since October 2015. These guidelines should be reviewed and updated to reflect the changes in recruitment practices since the implementation of the Taleo System in April 2016.

(ii) Training for the Appointment Board Members

18. Competency based interviewing training is mandatory for staff members who are appointed to serve on assessment/selection panels of the UN and most of the UN system organizations. This requirement is based on the understanding that a selection panel trained in competency based interviewing skills helps ensure the selection of candidates who possess the required skills, attributes and behaviors, and who are the best fit for both the position and the Organization.

19. The Human Resources Management Department (HRMD) periodically invites staff members to attend competency-based interviewing training; however it is not a requirement or pre-requisite for staff members who wish to serve on Appointment Boards to undertake such training. Consequently, staff members who are not trained in competency-based interviewing skills served on Appointment Boards of competitions that were conducted during the period under review.

20. HRMD plans to make competency based training mandatory for all members of Appointment Boards. Going forward, it would be useful to take appropriate measures to ensure that any staff member appointed to the Board has received prior training on competency based interviews, in order to further enhance the selection process, as well as align with the UN and other International Organizations.

(iii) Risk Management

21. HRMD identified and recorded two risks pertaining to recruitment of staff in the Organization's Enterprise Risk Management (ERM) system – Acuity STREAM[®]. These risks are: (i) Inability to deliver on recruitment lead-times as set out in the work plan; and (ii) False information on applications and fraud during testing due to desire to meet job requirements. However, these risks were last assessed and updated in November 2014.

22. IOD was informed by HRMD that regular review of the ERM system is already being undertaken and new risks are considered at the time of the Program and Budget and included in the ERM if deemed appropriate.

23. However, IOD reiterates the importance of proactively and regularly updating the risk registers to reflect the evolving nature of recruitment risks faced by WIPO including the new risks that may arise from deployment of the electronic recruitment system.

Recommendation(s)

1. The Human Resources Management Department (HRMD) should review and update the guidelines for the Appointment Board by providing guidance to the Appointment Boards in instances where only one candidate qualifies for the post after preliminary evaluation/shortlisting of candidates.

(Priority: High)

(B) COMPLIANCE

24. IOD reviewed policies and procedures for recruitment and performed compliance and performance assessments of up to 68 randomly selected recruitment files for the period under review. The main observations follow.

(i) Compliance with Appointment Board guidelines

25. **Professional Grade of Board Members** - According to the Staff Regulations and Rules (SRR) on the Composition and Rules of Procedures of Appointment Boards (Rule 4.10.1), each Board shall consist of a chairman and three members, whose grade shall not be lower than that of the vacant post and who shall not be temporary staff, appointed by the Director General.

26. IOD observed in one case that a staff member of a lower grade than that of the post of the competition was appointed to serve as a member of the Appointment Board. This is non-compliant with the above mentioned SRR.

27. **Staff Council Representatives on the Board** - The SRR, 2017 (Rule 4.10.1) also requires that one of the four members of the Appointment Board shall be designated from a list of at least four names submitted by the Staff Council; and Guidelines for Members of Appointment Boards stipulate that the representative of the Staff Council shall be chosen from the list of names presented by the Council, which includes the names of two nominated staff members and two alternates.

28. A review of fixed term competitions for the period under review revealed that the Staff Council did not meet the requirement of the SRR of providing at least four names in 14 competitions that were conducted between January and March 2017. In these competitions only two representatives were nominated - one designated member and one alternate.

29. Further IOD tests showed that since the establishment of the new Staff Council in March 2017, four names of representatives have been provided regularly and efficiently.

(ii) Compliance with recruitment policies and rules

30. **Medical Clearance/Certificates for Appointed Staff Members** - According to Staff Regulations and Rules, 4.11, Medical Examination, the Director General shall establish medical standards that staff members shall be required to meet before issuance of the Letter of Appointment and during their appointment.

31. IOD's review of randomly selected files of newly recruited fixed term staff revealed that, HRMD issued the Letter of Appointment (LOA) to the selected candidates, in some cases (64 per cent) before and in others (36 per cent) after receipt of the Medical clearances. This is not consistent with the above mentioned rule.

32. HRMD informed IOD that the LOA is subject to medical clearance and there is an additional clause in the letter that highlights the need for HRMD to receive medical clearances prior to travel arrangement being made for new recruits. IOD confirmed through subsequent audit tests that no travel arrangements were made prior to HRMD receiving medical clearances.

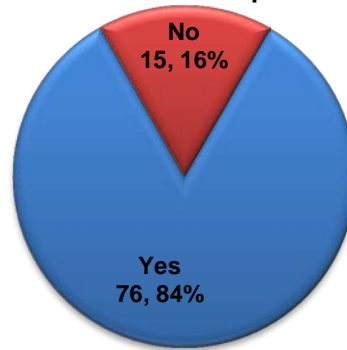
33. Going forward, in order to ensure relevance, compliance and alignment, it would be useful for HRMD to review the SRR on Medical examination, to better reflect the current practices.

34. **Issuance of Job Description with Letter of Appointment** - According to the Staff Regulations and Rules 4.12(a), upon appointment, each staff member shall receive a LOA signed by the Director General or by his or her duly authorized representative. In addition, clause 4.12(d) provides, *inter alia*, that the LOA shall include an accurate and up-to-date job description.

35. A review of the current practice showed that the job descriptions were not consistently issued to the successful candidates at the time of issuance of the LOA.

36. The IOD survey on WIPO Recruitment Process and onboarding showed that 16 per cent (15/91) of the respondent's LOA did not include the job description.

My Letter of Appointment included the Job description



Recommendation(s)

2. The Human Resources Management Department (HRMD) should introduce measures and controls to ensure compliance with recruitment policies, rules and guidelines such as:
 - (a) Introducing a process to validate the grades of staff members nominated to serve on Appointment Boards for each competition;
 - (b) Establishing a control mechanism to ensure that a Job Description is issued to a staff member together with the Letter of Appointment; and
 - (c) HRMD should, at the next review of the Staff Regulations and Rules, review Rule 4.11 - Medical Examination to reflect and align the current practice with related rules and procedures.

(Priority: High)

(C) EFFICIENCY AND EFFECTIVENESS

(i) Timeliness of the recruitment process

37. HRMD in its Annual Report on Human Resources (WO/CC/74/2) to the WIPO Coordination Committee set the recruitment lead time at a targeted average of 19 weeks for fixed-term positions - Professional and General Service Staff. This is aligned with the target (19 weeks) and baseline (18.81 weeks) for the recruitment lead time performance indicator set in the proposed Draft Program and Budget 2018/19. These figures were established following analysis of 15 competitions from 2016 for fixed term competitions. Also, these targets are based on the benchmarking exercise conducted by the United Nations Joint Inspection Unit² in 2012, which recommends that the recruitment lead time from vacancy posting to selection decision should ideally not exceed a period of 120 days.

38. However, IOD notes that HRMD has yet to document in their policies and guidelines, the start and end points within the recruitment process used to determine the recruitment lead time indicator reported in the Program and Budget.

39. Furthermore, this approach does not provide clear and useful information to help monitor and enhance efficiency of the recruitment process because the calculation does not review efficiency (time taken) at each of the four stages of the recruitment process as follows:

- (a) Vacancy Announcement;

² JUI/REP/2012/4

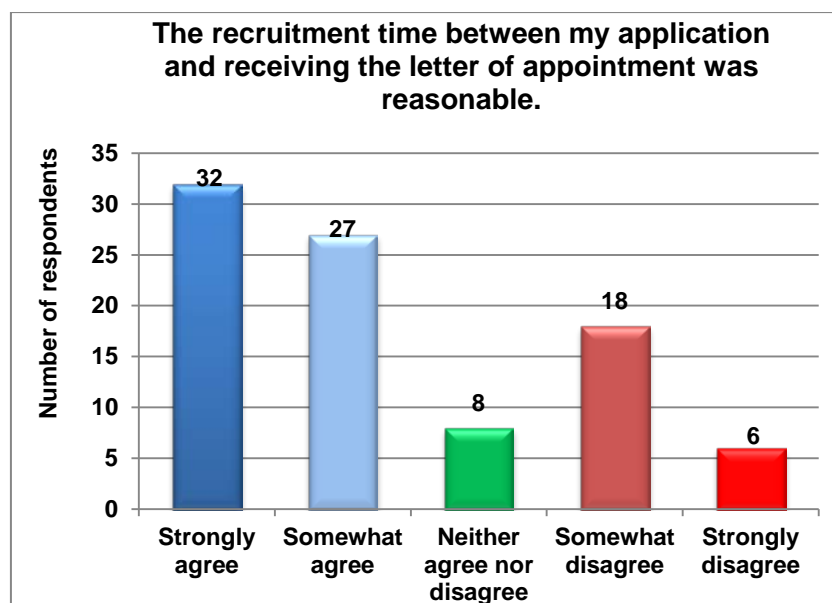
- (b) Establishment of Appointment Board;
- (c) Appointment Board activities (assessments, interviews, selection); and
- (d) Approval of recommended candidate by the Director General.

40. For instance a test of a sample of 30 fixed term recruitments revealed the following:

- (a) The vacancy announcements posting period for professional grade staff ranged from two to eight weeks depending on the type of post and grade. Therefore, the average lead time does not provide valuable information to assess the efficiency of the VA phase;
- (b) The time taken to constitute an Appointment Board varied between one day to three weeks after the VA was closed with some instances where the Board was constituted prior to vacancy application deadlines;
- (c) Furthermore, the time taken to complete the selection activities varied from three to 25 weeks depending on the post and grade.

41. Going forward, establishing clear start and end points for the recruitment lead time indicator, and benefiting from the automated features of Taleo, to develop a more in-depth analysis for the various stages of the recruitment process, would provide valuable internal indicators to monitor the process, help identify root causes of lengthy recruitments, and capture relevant information for continuous improvement of the recruitment process at WIPO.

42. Indicatively, the IOD survey on WIPO Recruitment Process and onboarding showed that while 65 per cent (59/91) of the respondents agreed (strongly to somewhat agree) that the time between submitting an application and receiving the Letter of Appointment was reasonable, a combined 26 per cent (24/91) disagreed (strongly to somewhat disagreed) whilst the remaining nine per cent (8/91) neither agreed nor disagreed.



Recommendation(s)

3. The Human Resources Management Department (HRMD) should review and revise the recruitment policies and procedures to:

- (a) Ensure that the recruitment lead time indicator is documented and defined in an accurate, specific and measurable manner with the lead time start and end points stated; and
- (b) Develop and document internal performance indicators that will provide accurate measurements to help assess efficiency and effectiveness at each stage of the recruitment process.

(Priority: Medium)

(D) TOOLS AND SYSTEMS

43. Since April 2016, WIPO has been using the Taleo System, a talent acquisition/recruitment tool. Whilst it was noted that efficiency gains have been achieved through this tool, HRMD is not using the tool to its full capacity in managing the entire recruitment cycle as illustrated below.

(i) Optimized use of the Taleo System

44. **Vacancy Announcement Awareness** - as part of its Human Resources (HR) Strategy, WIPO pays due regard to recruiting staff on as wide a geographical basis as possible and attracting a diverse pool of candidates.

45. The Taleo System has a feature which can help generate data on how candidates from various geographical regions became aware of the vacancy announcements.

46. WIPO would benefit from the analysis of data collected in the Taleo System on vacancy announcements' awareness and utilize it as an input in devising cost effective and targeted advertising campaigns, outreach programs and maximizing the utilizing of specific media to attract candidates from particular areas such as member states that are not represented or under-represented.

47. IOD was informed by HRMD that such an activity was planned as part of the focal point program which is still in the early stages.

48. **Duplication of work flows** - the Taleo System has a number of automated workflows designed to increase the efficiency and effectiveness of the recruitment process. A review of the work flows revealed that a number of automated processes were also being carried out manually resulting in duplication of work and loss of efficiency gains.

49. Among the processes both carried out manually and subsequently on the system were:

- (a) The preparation and finalization of the VA;
- (b) Approvals to proceed, to the next phase of the recruitment process; and
- (c) Approval of the final report by Appointment Board members.

(ii) Separated staff with active user accounts on Taleo

50. In order to manage access to the Taleo System, HRMD, ICT and the Procurement and Travel Division (PTD) have a formal user registration and de-registration process that facilitates the assignment and revocation of access rights. The process allows for, among others; disabling or removing user IDs of users who have left WIPO, removing or disabling redundant user IDs and ensuring that users are assigned access rights congruent with their job roles.

51. IOD found that user accounts of two former employees; a staff member in Procurement Section and one serving under Management and Administrative Applications Section on an Individual Contractor Services (ICS) contract, who had left WIPO in November 2016 and March 2017 respectively, were still active on the system as of December 2017.

52. Going forward, it would be beneficial for HRMD as the business application owners to collaborate with other Divisions or Sections that use the Taleo system to regularly validate the user accounts.

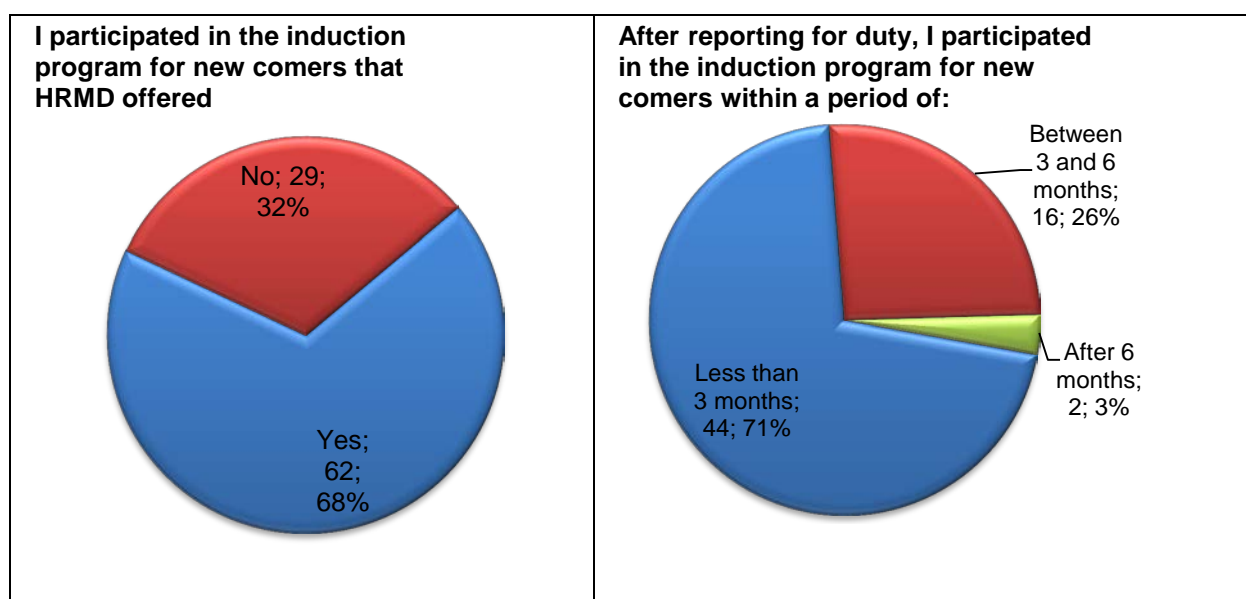
(iii) Automation of onboarding checklist

53. The Human Resources Operations Service has developed a Microsoft Excel checklist to ensure that onboarding processes are conducted efficiently, effectively and in compliance with the relevant Staff Regulations and Rules on recruitment. The checklist serves as an important and integral control measure in the onboarding phase of the recruitment process.

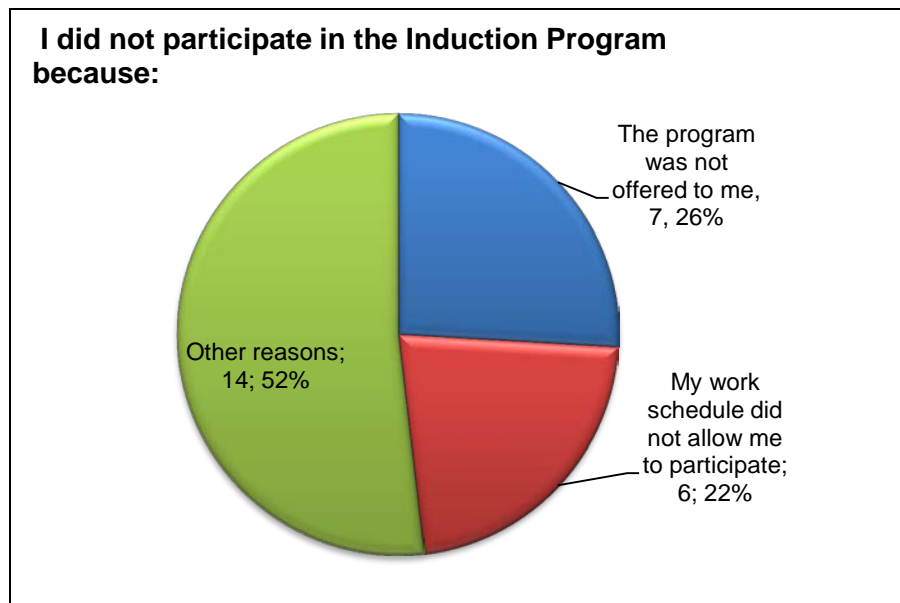
54. However, Human Resources Operations Service can derive more benefits in terms of efficiency gains, accountability and real-time monitoring by automating the processes carried out manually and incorporating them within the existing workflows of WIPO's ERP System.

(iv) Online induction course

55. The IOD survey on WIPO recruitment process and onboarding showed that 32 per cent (29/91) of the respondents did not participate in the induction program when it was offered by HRMD. For those that participated in the program, 71 per cent did so within a period of three months upon reporting for duty, 26 per cent did so between three to six months and three per cent participated after six months.



56. Out of 91 survey participants, 27 did not participate in the Induction program offered by HRMD and attributed it to various reasons; 26 per cent (7/27) indicated that the program was not offered to them ; 22 per cent (6/27) stated that their work schedule did not allow them to participate ; whilst 52 per cent (14/27) attributed their non-attendance to various reasons, among them; being based in WIPO satellite offices, being exempted on account of having worked for WIPO for a considerable number of years and being internal candidates who were recruited on promotion. The chart below summarizes the reasons for which newly recruited staff did not participate in the Induction program.



57. The introduction of an online induction course can be useful in supporting the in-class induction, both as preparation for the in-class induction, and as a reference or refresher.

58. Finally, this would contribute towards more efficient use of resources as well as effective management and dissemination of relevant information to enhance staff knowledge, and support WIPO's Induction Program.

Recommendation(s)

4. The Human Resources Management Department (HRMD) should:

- (a) Engage the analytics and reporting functionalities of Taleo to help monitor and assess the vacancy announcements' awareness to utilize it as an input in devising cost effective and targeted advertising campaigns, outreach programs to support the objectives of geographical diversity and gender;
- (b) Incorporate the manual processes for on boarding within the existing workflows of WIPO's Enterprise Resource Planning system so as to derive more benefits in terms of efficiency, accountability and real time monitoring.

(Priority: Medium)

5. The Human Resources Management Department (HRMD) should introduce an Online Induction course that supports the Induction Program.

(Priority: Medium)

(E) SURVEY OF NEWLY RECRUITED STAFF

(i) Summary of survey results

59. IOD surveyed newly recruited staff, to obtain relevant information on the experience they had with WIPO recruitment and onboarding process. A total of 184 (fixed term and temporary) staff recruited during the period from January 2016 to August 2017 were invited to take part in the survey out of which 91 participated representing a response rate of 50 per cent.

60. Despite the challenges expressed with some of the recruitment and onboarding processes and procedures, 72 per cent of the respondents were satisfied (very satisfied – satisfied), while 20 per cent were somewhat satisfied and eight per cent were not satisfied with their overall experience.

61. Further, Participants made the following relevant observations:

(a) HRMD should provide detailed information on where to live, pros and cons of living in France or Switzerland given the housing situation and cost in Geneva, and the implications of such decisions on schooling, health insurance, taxation and alike;

(b) The staff welfare should proactively and timely engage appointed staff members before they report at the duty station so that he/she gets an appreciation of the needs and expectations of staff and address any social welfare concerns that they may have; and

(c) HRMD should encourage the respective Units of newly recruited staff members to arrange for departmental orientation and, with the consent of the new staff member, allocate or assign a colleague to help them settle in at work.

62. HRMD indicated that measures are in place and actions have been taken to address the observations mentioned above.

63. The detailed results of the survey are presented in Annex II of this report.

ACKNOWLEDGMENT

IOD wishes to thank HRMD and all relevant members of staff for their assistance, cooperation and interest during this assignment.

Prepared by: Bevan Chishimba, Internal Audit Officer, IOD.

Reviewed and Approved by: Rajesh Singh, Director, IOD.

TABLE OF RECOMMENDATIONS

No.	Recommendations	Priority	Person(s) Responsible	Other Stakeholders	Management Comments and Action Plan	Deadline
1.	<p>The Human Resources Management Department (HRMD) should review and update the guidelines for the Appointment Board by providing guidance to the Appointment Boards in instances where only one candidate qualifies for the post after preliminary evaluation/shortlisting of candidates.</p> <p><i>Related risks: Operational, Governance</i></p>	High	Head, HR Planning	Director, HRMD Head, HR Policy and Law Section	HRMD agrees with the recommendation and will insert guidance on instances where there is only one qualified candidate.	31.03.2018
2.	<p>The Human Resources Management Department (HRMD) should introduce measures and controls to ensure compliance with recruitment policies, rules and guidelines such as:</p> <p>(a) Introducing a process to validate the grades of staff members nominated to serve on Appointment Boards for each competition;</p> <p>(b) Establishing a control mechanism to ensure that a Job Description is issued to a staff member together with the Letter of Appointment; and</p> <p>(c) HRMD should, at the next review of the Staff Regulations and Rules, review Rule 4.11 - Medical Examination to reflect and align the current practice with related rules and procedures.</p> <p><i>Related risks: Operational, Human Capital, Compliance</i></p>	High	Deputy Director, HR Operations/ Head HR Policy and Law /Head HR Planning/ Staff Council	Director HRMD	<p>HRMD agrees to the recommendation 2 (a) and proposes that going forward recommendations to the Director General on the Appointment Board composition will also include grades as well as the names of the staff members proposed.</p> <p>HRMD takes note of recommendation 2 (b) and notes that while HR Operations has always ensured that newly appointed staff members receive a copy of their Job Description at the latest prior to their entry on duty, with immediate effect it will ensure that the Job Description is sent together with the Letter of</p>	<p>Immediate effect</p> <p>Immediate effect</p>

No.	Recommendations	Priority	Person(s) Responsible	Other Stakeholders	Management Comments and Action Plan	Deadline
					<p>Appointment.</p> <p>HRMD takes note of Recommendation 2 (c) and will at the next review of the Staff Regulations and Rules, propose a modification to the wording of Regulation 4.11 – Medical Examination, to remove the wording “the issuance of the letter of”.</p>	To be submitted to Coordination Committee for approval.
3.	<p>The Human Resources Management Department (HRMD) should review and revise the recruitment policies and procedures to:</p> <p>(a) Ensure that the recruitment lead time indicator is documented and defined in an accurate, specific and measurable manner with the lead time start and end points stated; and</p> <p>(b) Develop and document internal performance indicators that will provide accurate measurements to help assess efficiency and effectiveness at each stage of the recruitment process.</p> <p><i>Related risks: Operational, Governance</i></p>	Medium	Head HR Planning/ Talent Acquisition Manager	Director, HRMD	HRMD agrees with the recommendation in principle. As part of the ongoing review of the WIPO recruitment process, the Talent Acquisition Manager together with the Head of HR Planning will consider current practice for monitoring recruitment lead time and recruitment KPIs to determine how/whether these can be strengthened.	30.09.2018
4.	<p>The Human Resources Management Department (HRMD) should:</p> <p>(a) Engage the analytics and reporting functionalities of Taleo to help monitor and</p>	Medium	Head, HR Planning/Deputy Director HR Operations	Director HRMD/Talent Acquisition Manager	HRMD notes that HR Planning is currently already using the analytics and reporting functionalities of Taleo via its integrated	30.09.2018

No.	Recommendations	Priority	Person(s) Responsible	Other Stakeholders	Management Comments and Action Plan	Deadline
	<p>assess the vacancy announcements' awareness to utilize it as an input in devising cost effective and targeted advertising campaigns, outreach programs to support the objectives of geographical diversity and gender;</p> <p>(b) Incorporate the manual processes for on boarding within the existing workflows of WIPO's Enterprise Resource Planning system so as to derive more benefits in terms of efficiency, accountability and real time monitoring</p> <p><i>Related risks: Operational, Human Capital, IT</i></p>				<p>Oracle Business Intelligence application, to monitor and assess applications from Member States and specifically from unrepresented Member States. These reports facilitate the provision of statistics to Member States on number of applications per country/region.</p> <p>HRMD agrees with the recommendation that further implementation of the full range of reporting /analysis on sourcing could be beneficial and notes that HR Planning always intended to enhance its use of the Taleo reporting functionality. However, for practical/operational reasons, the implementation of the new system required a staged approach. With the arrival of the new Talent Acquisition Manager it is expected that HR Planning will be in a position to use this functionality more broadly.</p>	

No.	Recommendations	Priority	Person(s) Responsible	Other Stakeholders	Management Comments and Action Plan	Deadline
5.	The Human Resources Management Department (HRMD) should introduce an online induction course that supports the Induction Program. <i>Related risks: Operational, Human Capital, IT</i>	Medium	Head, Performance and Development Section, HRMD	Director, HRMD	HRMD agrees with the recommendation and on-line learning activities will be developed/introduced to support the current induction program, thus developing a 'blended' induction program.	31.12.2018

ANNEXES

Annex I.	Risk rating and priority of audit recommendations
Annex II.	Summary of IOD survey on the recruitment and onboarding of staff

[Annexes follow]

ANNEX I: RISK RATING AND PRIORITY OF AUDIT RECOMMENDATIONS

The risk ratings in the tables below are driven by the combination of likelihood of occurrence of events and the financial impact or harm to the Organization's reputation, which may result if the risks materialize. The ratings for audit recommendations are based on the control environment assessed during the audit.

Table 1.1: Effectiveness of Risks/Controls and Residual Risk Rating

		Compound Risk Rating (Likelihood x Impact)			
		Low	Medium	High	Very High
Control Effectiveness	Low	Low	Medium	High	Very High
	Medium	Low	Medium	High	High
	High	Low	Low	Medium	Medium

Table 1.2: Priority of Audit Recommendations

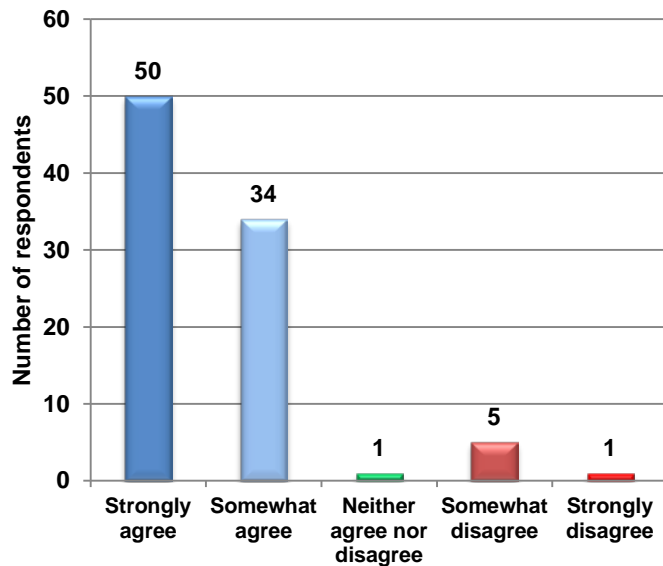
Priority of Audit Recommendations	Residual Risk Rating
Requires Immediate Management Attention	Very High
Requires Urgent Management Attention	High
Requires Management Attention	Medium
Routine in Nature	Low

[Annex II follows]

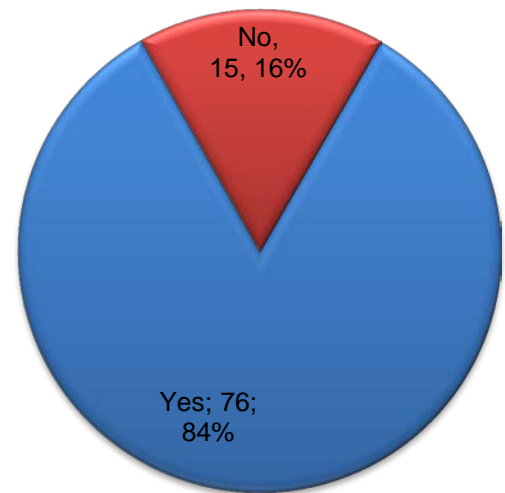
ANNEX II: SUMMARY OF IOD SURVEY ON THE RECRUITMENT AND ONBOARDING OF STAFF

(Number of Survey Participants: 91)

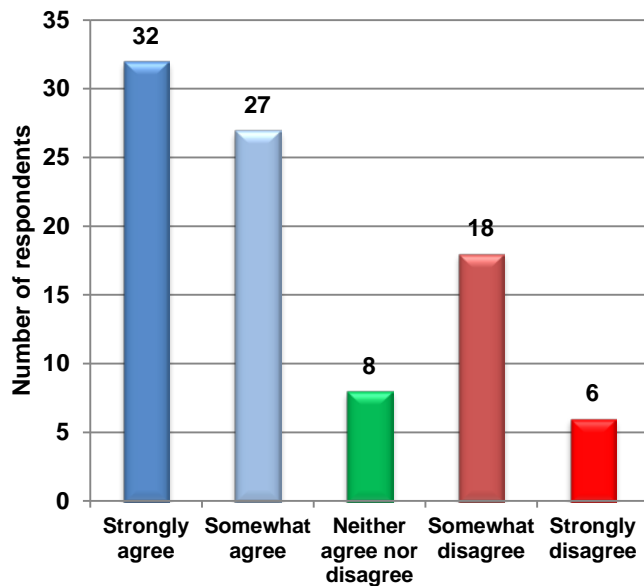
1. The terms and conditions of my appointment were clearly explained in my Letter of Appointment



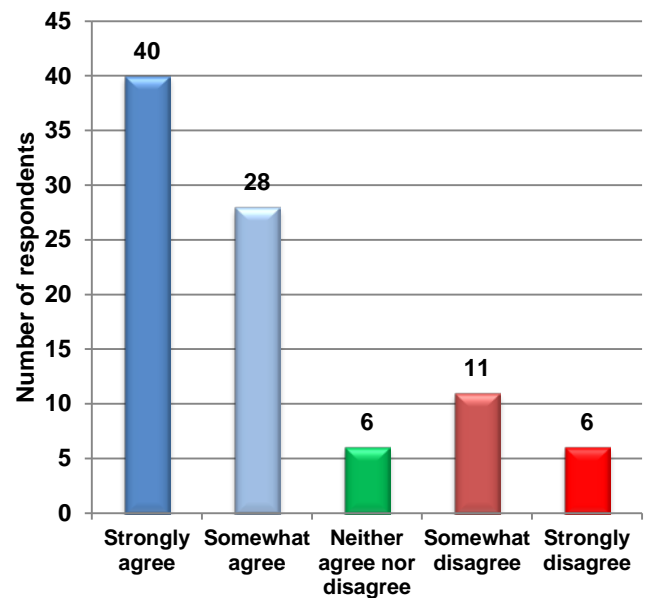
2. My Letter of Appointment included the job description.



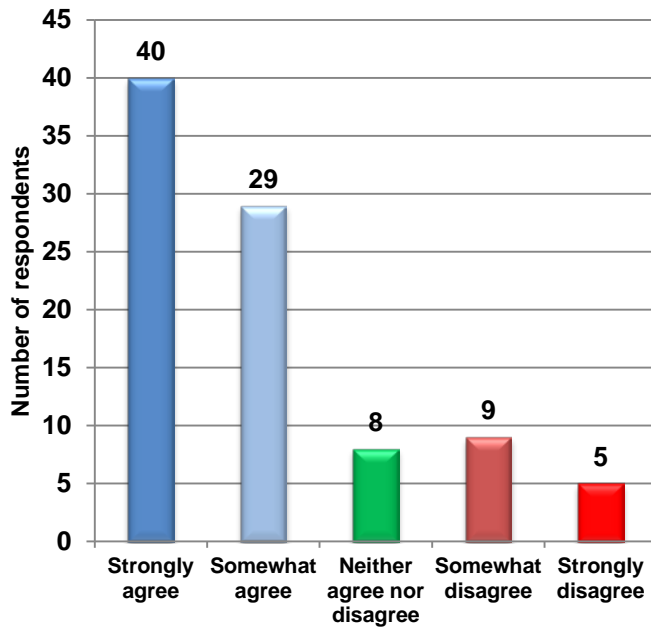
3. The recruitment time between my application and receiving the Letter of Appointment was reasonable.



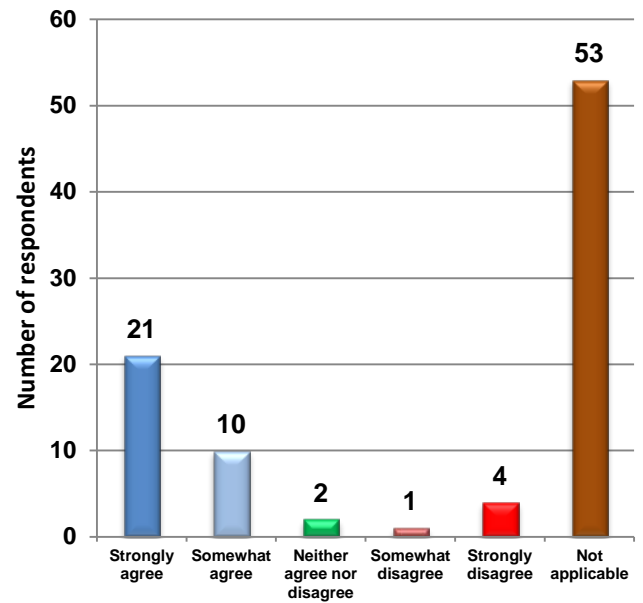
4. There was satisfactory communication from HRMD during the recruitment process.



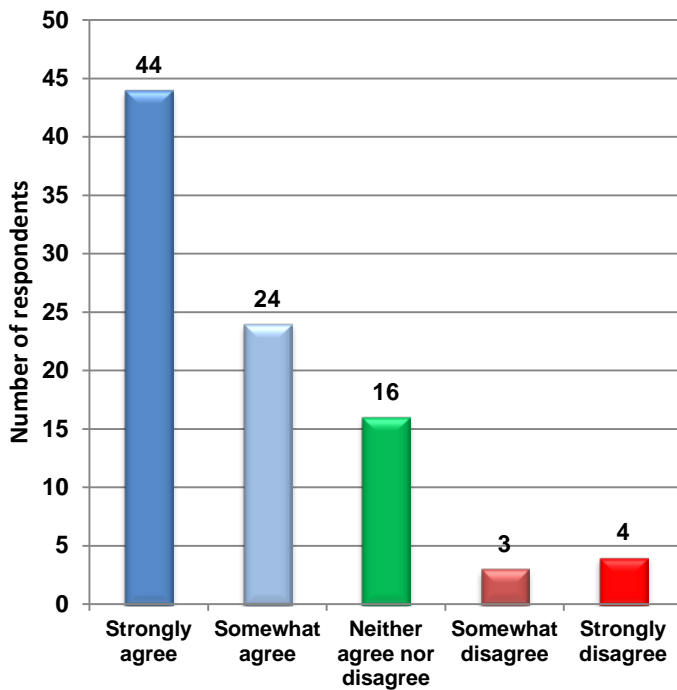
5. The information provided by HRMD prior to my reporting for duty was helpful.



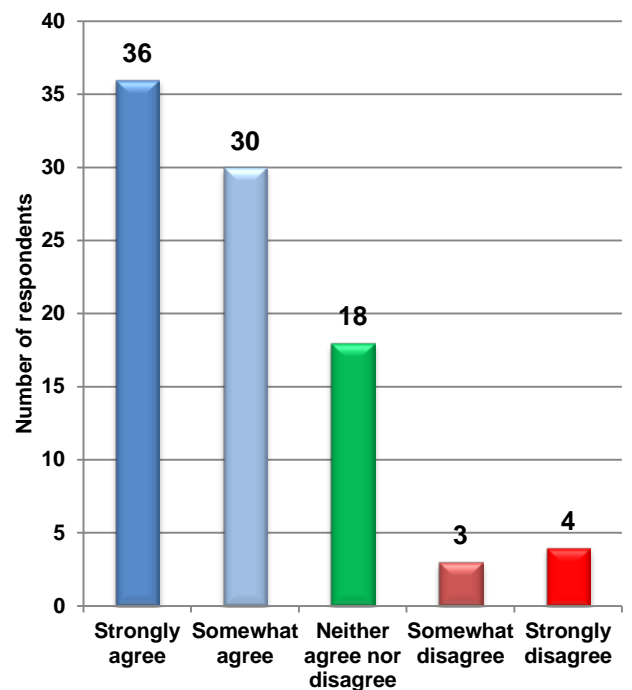
6. The travel arrangements made by WIPO were satisfactory.



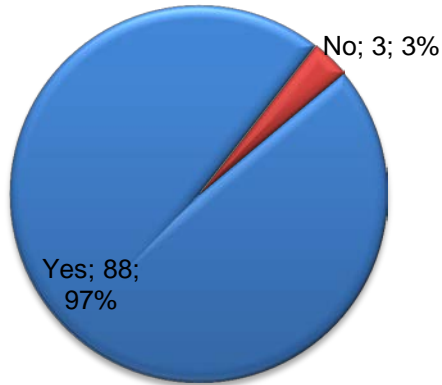
7. The briefing held with the HRMD staff assigned to me provided me with relevant and useful information to facilitate my installation upon reporting for duty.



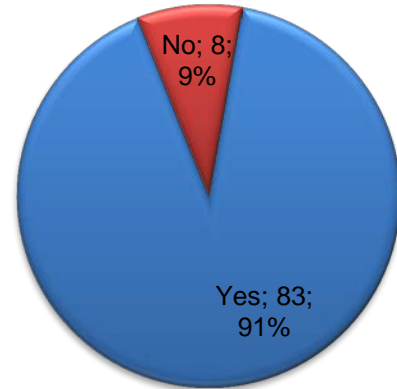
8. The briefing pack received from HRMD contained useful and relevant information.



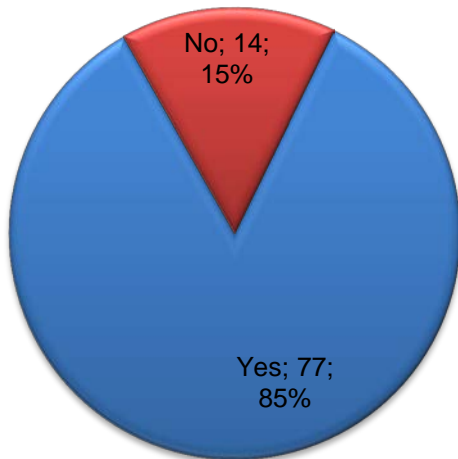
10. I signed the relevant WIPO policies upon reporting for duty (i.e. IT Acceptable Use Policy, Code of conduct, etc.)



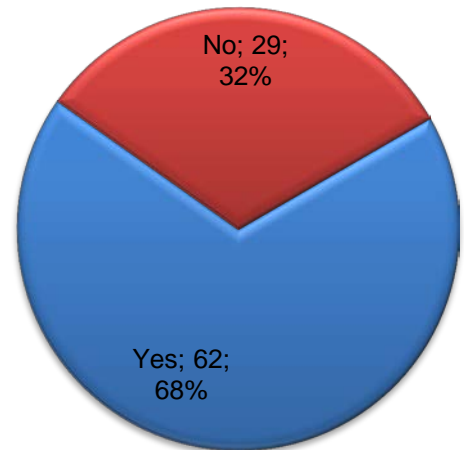
11. Upon reporting for duty, my tasks were clearly explained to me by my supervisor.



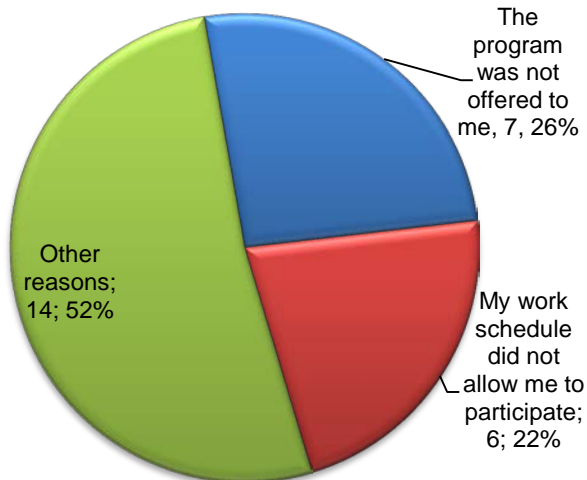
12. I signed the Declaration of Oath of Loyalty.



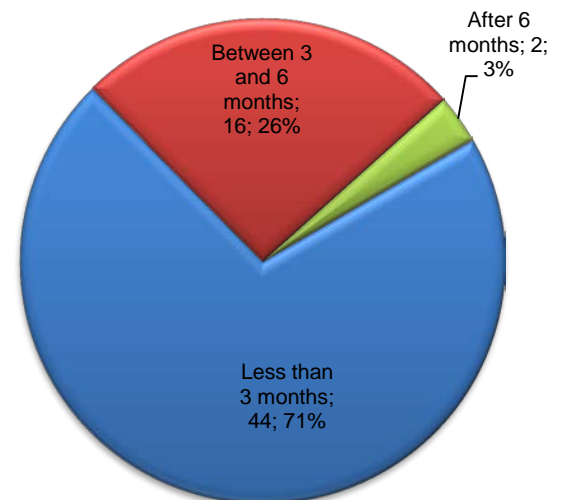
13. I participated in the Induction Program for new comers that HRMD offered.



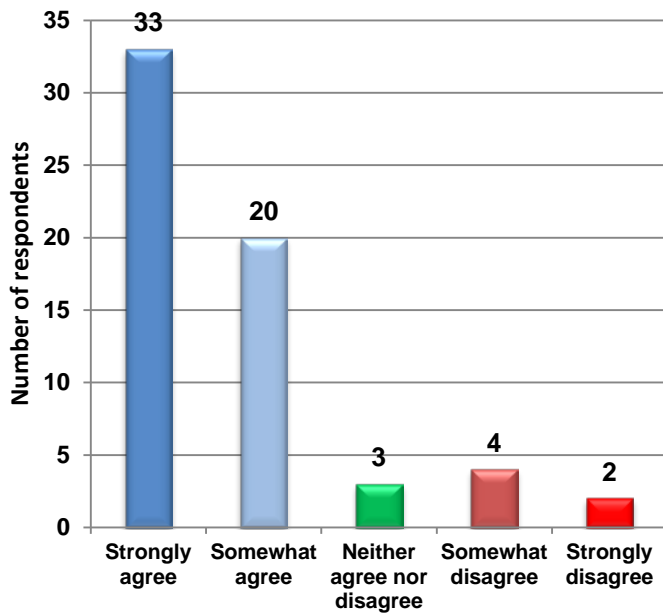
14. I did not participate in the Induction Program because:



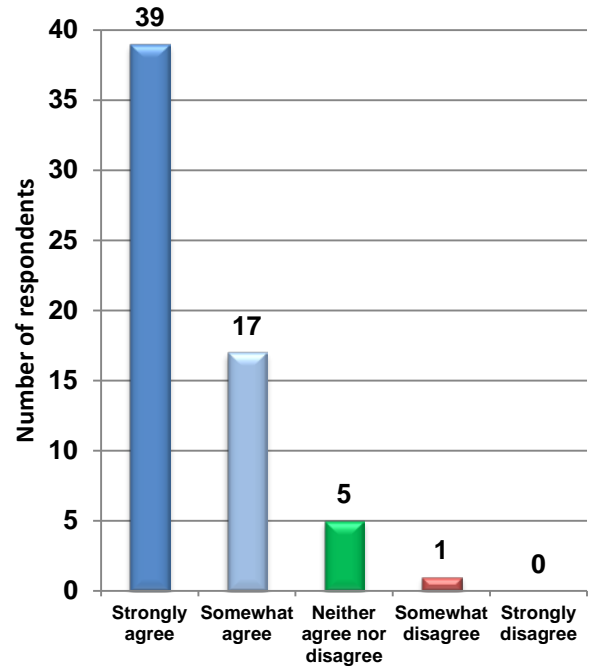
15. After reporting for duty, I participated in the Induction Program for new comers within a period of:



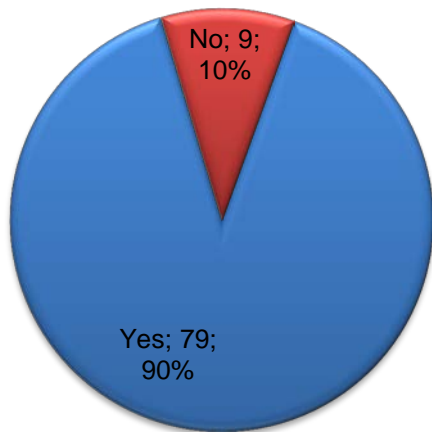
16. The time period between reporting for duty and attending induction was reasonable.



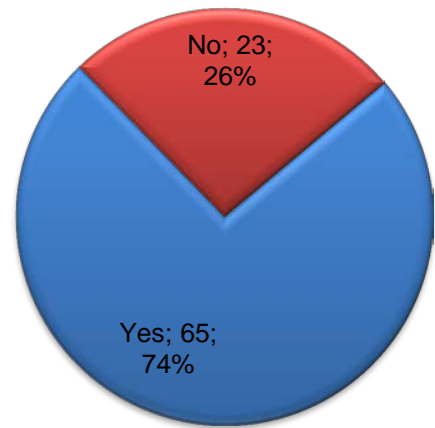
17. The Induction Program for new comers that I participated in provided me with relevant and useful information about WIPO.



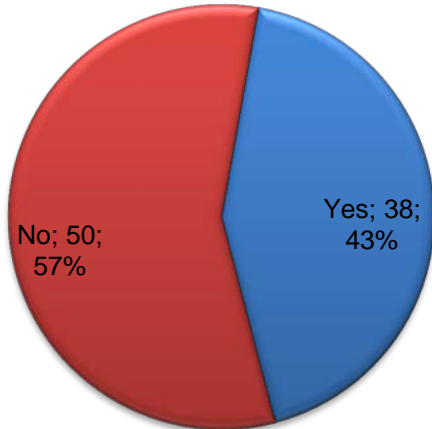
18. Access to the information systems and tools relevant for my work was provided in a timely manner



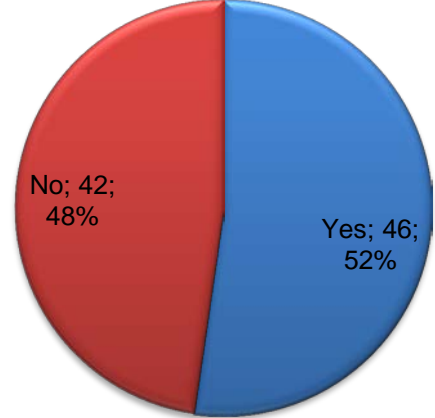
19. I was offered training in the relevant information systems, tools and equipment necessary for my work in a timely manner



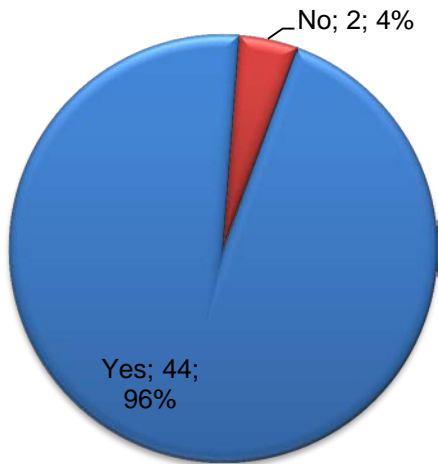
20. My department/unit arranged an orientation program specific to my work.



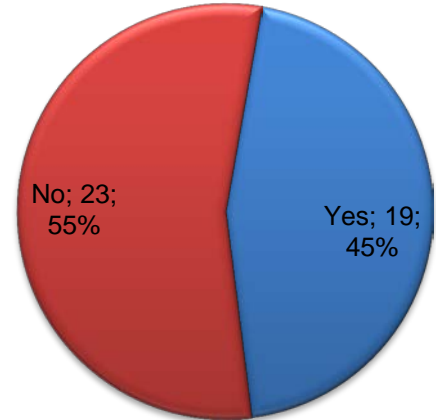
21. My Department/Unit allocated or assigned a colleague to help me settle in at work.



22. Allocating/assigning a colleague to assist me was helpful



23. It would have been helpful to assign or allocate a colleague to assist me in settling in.



24. Overall, my experience of the recruitment and onboarding process was:

