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Observation No: 14  
Audit area: Human Resource  
Issue title: Lack of and/or incomplete personal files of Project staff

### Condition

During our review of personal files of Project staffs we noted certain instances where necessary documentations were not available that constitute essential part of the personal files. The documents missing include:

- Evidence of performance appraisal of the staff.
- Evidence of reference checks.

Following are the instances where performance appraisal was not carried out;

Name of Staff	Designation	Date of Joining	Performance Appraisal	Reference Checks
Popal Habibi	M&E Specialist	27-Sep-10	X	X
Ahmad Zaki	National Project Co-ordinator	13-Jul-10	X	X
Engineer.Mateen	Civil Engineer	13-Jul-10	X	X
Inayat Kazmi	Database Associate	3-Jan-09	X	X

### Criteria

UNDP Service Contracts policy states that *"Service monitoring and evaluation are mandatory and a regular management responsibility that are carried out as part of a process to provide regular feedback about individual performance and progress achieved against agreed terms of reference. Performance of the SC holder must be monitored and documented throughout the duration of the SC"* and;

*"UNDP Offices must require written references to verify the credentials and experience of the candidate and substantiate them prior to the issuance of an offer of contract. Requesting offices, with support from the UNDP HR Unit, are responsible for conducting reference checks and documenting findings before submitting for issuance of a contract"*.

### Cause

Lack of/or inadequate guidance/supervision at project level

### Impact or risk

Areas of improvement remain unidentified if the employee's performance is not evaluated on regular intervals.

Suitable persons may not be hired due to lack of appropriate reference checks.

### Recommendation

We recommend that the performance of employees should be evaluated on regular intervals as per UNDP Service Contract policies . Moreover, we also recommend that

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reference checks should be carried out before the issuance of contracts to candidates as per the requirements of UNDP service contract policies.

**Priority**

Medium

**Management comments**

[REDACTED]

**Responsible Manager**

**Expected Completion Date**