



INTERNAL AUDIT DIVISION

REPORT 2016/043

Audit of the United Nations Human Rights Training Centre for South-West Asia and Arab Region in Doha

Overall results relating to the management of the operations of the Centre were initially assessed as partially satisfactory. Implementation of eight important recommendations remains in progress

FINAL OVERALL RATING: PARTIALLY SATISFACTORY

12 May 2016
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AUDIT REPORT

Audit of the United Nations Human Rights Training Centre for South-West Asia and Arab Region in Doha

I. BACKGROUND

1. The Office of Internal Oversight Services (OIOS) conducted an audit of the United Nations Human Rights Training Centre for South-West Asia and Arab Region in Doha (hereinafter referred to as UNHRTC-Doha or the Centre).

2. In accordance with its mandate, OIOS provides assurance and advice on the adequacy and effectiveness of the United Nations internal control system, the primary objectives of which are to ensure (a) efficient and effective operations; (b) accurate financial and operational reporting; (c) safeguarding of assets; and (d) compliance with mandates, regulations and rules.

3. The Centre was established in 2005 by General Assembly resolution 153/60 under the Office of the United Nations High Commissioner for Human Rights (OHCHR). It is mandated to undertake training and documentation activities according to international human rights standards and to support such efforts within the region. The Centre's mandate covers 25 countries in the Asia-Pacific, Middle East and North Africa region. In addition to the Centre, OHCHR had seven field presences in the Middle East and North Africa (MENA) Region: one regional office in Beirut, four country offices (Tunisia, Mauritania, Yemen and Palestine) and two human rights components within United Nations peace missions (Iraq and Libya). The Centre is required to work in close coordination with the field presences and OHCHR headquarters to foster respect for human rights and to strengthen emerging democracies in the region.

4. According to OHCHR's management plan for 2014-2017, the Centre will carry out its mandate in the following thematic priorities:

- (a) Strengthening the effectiveness of international human rights mechanisms
- (b) Enhancing equality and countering discrimination
- (c) Widening the democratic space
- (d) Combating impunity and strengthening accountability and the rule of law
- (e) Early warning and protection of human rights in situations of conflict, violence and insecurity.

5. The Centre is headed by a Senior Human Rights Officer at P-5 level supported by two professional staff (P-4 and P-3) and four general service staff. In addition, it had one international consultant in charge of implementing the "Education Above All" project. International professional staff members were governed by United Nations staff regulations and rules while the general service staff were governed by United Nations Development Programme (UNDP) staff regulations and rules. The Head of the Centre reported to the Chief of Asia Pacific, Middle East Branch, which is one of the three branches within the Field Operations and Technical Cooperation Division (FOTCD) at OHCHR Headquarters. MENA Section, which is part of the Asia-Pacific, Middle East Branch provided backstopping support to the Centre and other field presences in the MENA region.

6. For the 2012-2013 biennium, the Centre was fully funded from voluntary contributions. Its actual expenditure for the biennium 2012-2013 was \$2.6 million. This included the "Education Above All" project which promotes the right to education during insecurity and armed conflict in the MENA Region.

The project was approved for three years (2013-2015) with a total budget of \$919,000. Following the adoption of General Assembly resolution 67/162 in December 2014, funds were allocated under the regular budget to reinforce the Centre's capacity to respond to training and documentation demands. The Centre's 2014-2015 biennium budget was \$4.2 million with \$2.1 million funded from the regular budget and \$2.1 million from voluntary contributions. In addition to the activities funded by its budget, the Centre provided support upon request to OHCHR headquarters divisions and other field presences in the region.

7. Comments provided by OHCHR are incorporated in *italics*.

II. OBJECTIVE AND SCOPE

8. The audit was conducted to assess the adequacy and effectiveness of OHCHR governance, risk management and control processes in providing reasonable assurance regarding the **effective management of operations of UNHRTC-Doha**.

9. The audit was included in the OIOS 2015 risk-based internal audit work plan for OHCHR due to the high risks associated with the implementation of the Centre's mandate.

10. The key controls tested for the audit were: (a) strategic planning and risk assessment; (b) performance monitoring; and (c) regulatory framework. For the purpose of this audit, OIOS defined these key controls as follows:

(a) **Strategic planning and risk assessment** - controls that provide reasonable assurance that strategic planning mechanisms are in place and implemented effectively, and that risks to achieving objectives are assessed and appropriately managed.

(b) **Performance monitoring** - controls that provide reasonable assurance that appropriate performance metrics have been established and used to monitor performance effectively.

(c) **Regulatory framework** - controls that provide reasonable assurance that policies and procedures: (i) exist to guide the activities in the areas of human resources management, financial management, procurement and asset management; (ii) are implemented effectively; and (iii) ensure the reliability and integrity of financial and operational information.

11. The key controls were assessed for the control objectives shown in Table 1.

12. OIOS conducted this audit from October 2015 to January 2016. The audit covered the period from January 2013 to October 2015.

13. OIOS conducted an activity-level risk assessment to identify and assess specific risk exposures, and to confirm the relevance of the selected key controls in mitigating associated risks. Through interviews, analytical reviews and tests of controls, OIOS assessed the existence and adequacy of internal controls and conducted necessary tests to determine their effectiveness.

III. AUDIT RESULTS

14. The OHCHR governance, risk management and control processes examined were initially assessed as **partially satisfactory**¹ in providing reasonable assurance regarding the **effective management of operations of UNHRTC-Doha**. OIOS made eight recommendations to address issues identified in the audit.

15. The Centre’s sub-regional notes (which served as its strategic plan) for 2014-2017 were aligned with the OHCHR management plan. The Centre used the six thematic cross-cutting priorities in the management plan as the basis for its activities. Strategic planning and risk assessment was assessed as partially satisfactory because the Centre needed to: (i) better articulate its long-term strategy to respond to the needs and demands in the Region; (ii) develop a risk assessment and risk mitigation plan; and (iii) strengthen coordination mechanisms with the OHCHR Methodology, Education and Training Section (METS).

16. Performance monitoring was assessed as partially satisfactory because the Centre needed to establish appropriate supervision and review mechanisms to ensure compliance with requirements relating to: (i) defining targets and baselines; (ii) performance reporting; (iii) development, implementation and evaluation of human rights training; and (iv) collection of lessons learned to assess any corrective actions needed for its work programme.

17. Regulatory framework was assessed as partially satisfactory because the Centre needed to: (i) establish supervision and review mechanisms and performance goals to ensure compliance with the Field Office Manual requirements; (ii) develop an action plan to achieve full compliance with the Minimum Operating Security Standards (MOSS); and (iii) ensure staff compliance with mandatory training requirements.

18. The initial overall rating was based on the assessment of key controls presented in Table 1 below. The final overall rating is **partially satisfactory** as implementation of eight important recommendations remains in progress.

Table 1: Assessment of key controls

Business objective	Key controls	Control objectives			
		Efficient and effective operations	Accurate financial and operational reporting	Safeguarding of assets	Compliance with mandates, regulations and rules
Effective management of operations of UNHRTC-Doha	(a) Strategic planning and risk assessment	Partially satisfactory	Partially satisfactory	Partially satisfactory	Partially satisfactory
	(b) Performance monitoring	Partially satisfactory	Partially satisfactory	Partially satisfactory	Partially satisfactory
	(c) Regulatory framework	Partially satisfactory	Partially satisfactory	Partially satisfactory	Partially satisfactory
FINAL OVERALL RATING: PARTIALLY SATISFACTORY					

¹ A rating of “**partially satisfactory**” means that important (but not critical or pervasive) deficiencies exist in governance, risk management or control processes, such that reasonable assurance may be at risk regarding the achievement of control and/or business objectives under review.

A. Strategic planning and risk assessment

Need to better articulate the Centre's strategy and programme to respond to the different needs and demands in the Region

19. According to OHCHR guidelines, the sub-regional notes should include background assessments, assessment of the role of other actors, definition of results and the strategy for achieving the results. The Centre did not fully comply with the guidelines for developing sub-regional notes. The 2014-2017 sub-regional notes and related work plans did not indicate in which of the 25 countries it planned to undertake its activities, and which countries' human rights actors it was targeting to work with. The Centre's focus seemed to be on countries covered by the Regional Office for the Middle East and North Africa (ROMENA) without explanation of the rationale for covering these countries and not addressing any country in the Asia-Pacific Region.

20. There was also no mention of other United Nations entities in the sub-regional notes and whether the Centre had established or planned to establish relationships with them. The August 2014 report of the Secretary-General (A/69/333) on the activities and achievements of the Centre stated that the development and provision of training and documentation was adapted to the linguistic and capacity-building needs in the region. However, there was no evidence that the Centre had conducted needs assessments or consulted stakeholders and partners in the countries covered to inform and support its strategic choices. For example, under the "strategy" section of its sub-regional notes, the Centre indicated that it would play a leading role in the implementation of the World Human Rights Education Programme's three phases but it did not outline the status of human rights education and how it would involve relevant regional actors or United Nations entities. Further, the Centre had indicated in its sub-regional notes and in the OHCHR strategy for the Arab Region adopted by the OHCHR Senior Management Team in 2013 that it would develop a long-term programme but it had not started to develop one.

21. Based on the above, OIOS concluded that the Centre needed to strengthen its assessment of human rights capacity gaps and partnerships with relevant actors in the region to ensure that its training and documentation activities are tailored to expertise required and focused on areas where the Centre could add the most value. Such measures could increase the impact of the Centre's activities and enhance the effectiveness and relevance of its operations.

(1) UNHRTC-Doha should, in coordination with the Field Operations and Technical Cooperation Division and relevant OHCHR field presences, review and update its sub-regional notes including: (i) assessing the needs and demands in the region and developing its long-term strategy or programme clearly defining the countries targeted; and (ii) exploring areas where it could partner with relevant actors in the region.

OHCHR accepted recommendation 1 and stated that UNHRTC-Doha will conduct an analysis of the needs and demands in the region, including through consultation with relevant actors and field presences and drawing upon existing guidance and recommendations, including the MENA regional strategy paper and the outcome of the Regional Conference on the role of OHCHR in promoting and protecting human rights in the Arab Region held in January 2016 in Doha. UNHRTC-Doha will reflect the findings of the analysis in a revised version of the sub-regional note, setting out the long-term programme and strategy for responding to the different needs and demands in the region, including how it intends to engage countries under its mandate that it has not previously focused on. Recommendation 1 remains open pending receipt of the revised sub-regional notes.

The Centre needed to develop a risk assessment and risk mitigation plan

22. The United Nations Enterprise Risk Management (ERM) and Internal Control Policy adopted in May 2011 requires Risk and Internal Control Focal Points in Departments and Offices to customize the Secretariat-wide risk universe to reflect the risks relevant to their entities and to monitor the effectiveness of risk management and internal control measures. While the strategic planning process required the Centre to identify planning assumptions that must be fulfilled in order to achieve results, it had not required field offices to assess risks and identify mitigation measures in their sub-regional notes. As a result, the Centre had not assessed its foreseeable risks, such as lack of qualified human resources in terms of training, documentation and linguistic (Arabic, English and Persian) skills. As reported in the OIOS audit of the management of selected trust funds in OHCHR (Report No. 2015/021), OHCHR had not yet prepared entity-level risk assessment and risk mitigation measures in accordance with the ERM methodology. The need for the Centre and other field offices to assess and manage risks had therefore not also been addressed. The Centre needed to assess its risks as this will help ensure that appropriate mitigate actions are incorporated in its strategic plan.

(2) UNHRTC-Doha should identify and assess its programme level risks and develop appropriate measures to manage them effectively.

OHCHR accepted recommendation 2 and stated that UNHRTC-Doha will assess specific and foreseeable risks which may impact upon its ability to deliver its mandate and propose mitigating actions in the revision of the sub-regional planning notes and the preparation of its annual work plans. Recommendation 2 remains open pending receipt of evidence that UNHRTC-Doha has assessed programme level risks and developed measures to manage them.

Need to strengthen arrangements for coordination between METS and the Centre

23. The 2013 policy framework for the development and implementation of human rights methodology and training requires the Centre to consult with METS at the stages of planning, conducting and evaluating human rights training for guidance and support. The policy also states that the Centre is to serve, in close cooperation with METS, as a key dissemination and capacity-building hub in the Region in relation to OHCHR training materials and methodology. In addition, METS is responsible, inter alia, for providing methodological advice and support to field presences involved in the design, management and delivery of human rights training.

24. There was no indication that the Centre had effectively coordinated its activities with METS. METS had provided training on human rights training methodology to the international staff in charge of training at the Centre but had not been involved in the planning, conducting or evaluation of training activities implemented by the Centre. METS indicated that information on training activities is occasionally shared on an ad hoc basis. There is a need for formal coordination arrangements between METS and the Centre to ensure coherence in training activities, avoid duplication and achieve synergies.

(3) OHCHR should ensure that UNHRTC-Doha and the Methodology, Education and Training Section establish formal arrangements for coordination to avoid duplication and achieve synergies.

OHCHR accepted recommendation 3 and stated that UNHRTC-Doha will prepare a standard operating procedure (SOP) in collaboration with METS which sets out how and at what stage coordination will take place, including providing advance notice at the planning stage for training programmes or workshops, sharing of training materials and agendas for comment and advice, and

to explore further opportunities for support from METS in conducting the training. At the conclusion of each training programme or workshop, feedback from participants and trainers will be shared and discussed. Recommendation 3 remains open pending receipt of evidence from OHCHR on the arrangements for coordination between UNHRTC-Doha and METS.

B. Performance monitoring

Need to establish monitoring mechanisms to ensure compliance with OHCHR performance monitoring framework

25. OHCHR has developed a performance management framework for field offices with specific requirements including: (a) guidelines for undertaking a mid-year and annual review and reporting on a monthly basis through the Performance Monitoring System; (b) regional notes' guidelines that included requirements on establishing specific, measurable, achievable and relevant (SMART) performance measures and identifying key strategic lessons learned or challenges from the previous years; and (c) policy guidelines for developing, implementing and evaluating human rights' training. Compliance with the established framework is essential for effective performance monitoring including reporting on progress made, assessing performance gaps and identifying lessons learned. OIOS review noted that the Centre did not fully comply with OHCHR performance management requirements as described below.

(a) Performance measures

26. The Centre's expected accomplishments in its sub-regional notes for the period 2014-2017 were not SMART because the targeted countries and baselines for the performance indicators were not specified. For example, baselines and targets were not specified for the expected accomplishment dealing with legislations, policies and practices related to migrants, minorities and trafficked persons.

(b) Year-end performance reporting

27. The Centre's year end performance report did not specify results achieved for the planned outputs and reasons for not carrying out planned activities. Ten of the 30 activities and five of the seven outputs listed in the 2014 work plan were not mentioned in the report. For instance the Centre did not report on progress made on outputs related to developing publications such as the Teachers Guide of Human Rights Education. Performance gaps were therefore not clearly identified and no explanation was provided on the main problems and constraints that led to performance gaps and what actions would be taken with regard to outputs that were not on track.

(c) Monthly reporting

28. Contrary to monthly reporting requirements, the Centre had not submitted monthly reports for the year 2014. In 2015 only 8 of the 12 monthly reports were submitted and they were all submitted in October 2015 which was late for reports relating to the first months of the year. The Centre cited shortage of staff and lack of regular monthly activities as reasons for the deficiencies. In addition, four out of the eight monthly reports submitted contained updates on the actual activities performed but did not identify challenges and obstacles to achieving the annual work plan. Therefore, the effectiveness of the monthly reports as a tool for monitoring progress was not optimized.

(d) Needs assessment and evaluation of training

29. The OHCHR policy for development and implementation of human rights methodology and training required Human Rights Officers to tailor the training to the specific needs of target audience and to prepare training participants' evaluation reports. The Centre did not fully comply with these requirements. Of the seven training events reviewed, in six cases there was no indication of needs assessment prior to organizing the training, in five cases there was no indication of planned number of participants, and in all cases there was no indication of the specific countries that were being targeted. Further, evaluations had not been carried out in three of the seven training events reviewed and an evaluation summary was prepared in only one case. Compliance with the policy requirements would help ensure that the training provided was of appropriate quality and facilitate identification of good practices, deficiencies and lessons learned.

(e) Collection and use of lessons learned

30. The 2014-2017 sub-regional notes did not include any lessons learned assessment of what had worked and what had not worked. Two out of the seven training events/workshop reviewed included lessons learned but there were no follow up actions arising from the identification of the lessons learned. Outside of the mission reports, lessons learned and best practices were not documented. As a result, important information and knowledge which could have led to opportunities for collaboration, learning and leveraging of existing work for the Centre and other field presences in the region may not have been captured.

31. OIOS attributed the deficiencies to inadequate supervision, oversight and monitoring to ensure: (a) appropriate performance measures were established; and (b) the year-end and monthly reports are prepared in a timely manner and are of appropriate quality. With regard to the collection of lessons learned, the deficiency was attributed to lack of a formal process to capture the lessons learned, best practices, and other items suitable for knowledge sharing that can be usefully applied and readily available to the Centre's staff for future training.

(4) UNHRTC-Doha should establish appropriate supervision and review mechanisms to ensure compliance with requirements relating to: (i) defining performance targets and baselines; (ii) performance reporting; (iii) developing, implementing and evaluating human rights training; and (iv) documenting lessons learned to address any corrective actions needed in the work programme.

OHCHR accepted recommendation 4 and stated that in revising its sub-regional note, UNHRTC-Doha will consult with the MENA Section and the relevant field presences regarding definition of appropriate performance indicator baselines and targets. Roles and responsibilities for each staff member will be clearly defined by the Head of UNHRTC-Doha, including with reference to reporting duties, and set out in the respective staff performance evaluation documents. Regular coordination with METS will be set out in the SOP referenced above, and training provided to UNHRTC-Doha staff to ensure full understanding of OHCHR human rights training standards. UNHRTC-Doha will also ensure that the preparation of documentation required by its mandate is reported upon accordingly in end of year progress reports, mid-year review, and monthly reports. Information including follow-up actions on lessons learned will be systematically collected by UNHRTC-Doha following each training programme or workshop, to be reflected in the aforementioned SOP. At the end of the year an internal report will be produced summarizing the key lessons learned. Recommendation 4 remains open pending receipt of evidence that mechanisms have been established to ensure compliance with requirements relating to: (i) defining performance targets and baselines; (ii) performance reporting; (iii) developing, implementing and evaluating

human rights training; and (iv) documenting lessons learned to address any corrective actions needed in the work programme.

C. Regulatory framework

Need to ensure compliance with the Field Office Manual requirements

32. The OHCHR Field Offices Manual and related SOP guide staff with assigned responsibilities in the field to ensure adherence to United Nations Financial and Staff Regulations and Rules and all other administrative instructions issued by the United Nations. Compliance with the established procedures is essential in ensuring that the Centre's resources are managed and used effectively and assets are appropriately safeguarded. The Centre did not fully comply with OHCHR Field Office Manual and related SOP. The cases of non-compliance included issues on telephone recovery, time and attendance, vehicle, travel and internship programme as discussed below.

(a) Cost recovery of private telephone calls

33. The OHCHR Field Office Manual required field offices to keep a log of long-distance telephone calls that clearly identified private calls so that their costs could be recovered from staff. Itemized invoices were not requested from the fixed phone service providers to enable the Centre to identify charges for private calls that should be recovered from staff. With regard to mobiles phones, the Centre had a package for international calls at a fixed monthly cost of \$75 with a maximum of free calls up to 1,500 minutes for each staff member with a mobile phone. OIOS noted that there was no mechanism to monitor mobile phones private calls above the free limit to enable the Centre to identify and recover the cost of private calls as required by the Field Office Manual. From January 2014 to June 2015, the Centre spent about \$12,000 on fixed line costs and \$21,000 on mobile phone costs. The Centre indicated that following the audit fieldwork, it had started reviewing the cost of mobile phones and sought Headquarters' advice regarding which category of staff should be provided with an office mobile phone to reduce its communication costs.

(b) Time and attendance records

34. For two of the four professional staff there was a difference of two and seven days respectively between the 2014 closing leave balances and the 2015 opening balances. In addition, one staff attendance records did not include ten leave days (eight sick leave days and two days of annual leave) taken during the year. There was no mechanism put in place to review the accuracy of staff attendance records and for staff members to certify the accuracy of the year-end leave balances. Since field offices will implement Umoja for professional staff to record their leave, there is a need for the Centre to clean up staff leave records to ensure that they are accurate before Umoja implementation in the field.

(c) Timeliness of air tickets issuance and submission of travel claims

35. The Centre did not comply with the instructions issued by OHCHR headquarters to purchase tickets at least 14 days in advance of departure. The review of nine travel requests showed that tickets were issued from nine to two days prior to departure. The justification for non-compliance with the 14 days requirement for issuance of tickets was not on file. The travel claims relating to the selected sample did not include submission and approval dates and therefore the timeliness of the submission of the claims could not be verified. This issue was addressed by PSMS during their visit to the Centre in February 2015. The review of travels undertaken after the PSMS visit showed that the Centre had not yet established mechanisms to ensure compliance with travel requirements.

(d) Maintenance of vehicle log books

36. According to the OHCHR vehicle policy, field offices should maintain vehicle log books that the drivers fill upon completion of each journey and should track petrol expenditure once a month. There was no evidence that the Centre consistently monitored the use of its vehicle since its acquisition in 2011. OIOS was informed that the log books for the period 2011 to April 2014 were lost in April 2014. The 2015 log books were maintained but there were differences between the closing and opening balances from one month to the next. For example there was a discrepancy of 2,274 kilometers between May 2015 closing balance and June 2015 opening balance. The Centre did not have any explanation for these differences. In addition, records of fuel consumption were not being maintained as required. The Centre stated that since the cost of fuel is cheap in the host country, the risk of misappropriation of fuel is very low. In OIOS view, there are also reputational risks that could arise if the vehicle is used by unauthorized staff or for unauthorized purposes. Maintaining fuel consumption records is not a time consuming exercise and should be complied with to help ensure that the vehicle is used for authorized purposes and the expenses are adequately supported.

(e) Internship programme requirements

37. According to the Administrative Instruction on the management of internship programme, interns are expected to work under the supervision of a staff member at an appropriate level. Further, a record of attendance shall be maintained to ensure that interns met the minimum duration of an internship. The hiring office shall ensure that interns do not undertake official travel on behalf of the United Nations in the performance of the internship. The Centre did not comply with the internship programme requirements. Four out of the eight interns hired during the period under review undertook official travel on behalf of the Organization, and four of the interns were supervised by an individual contractor instead of a staff member as required by the Administrative Instruction. In addition, attendance records and performance evaluations had not been completed for any of the interns except in one case at the request of the education institution.

38. OIOS attributed the deficiencies to inadequate supervision, oversight and monitoring mechanisms to ensure compliance with the Field Offices Manual and other SOPs and guidelines. The performance appraisal goals of the Head of the Centre for 2014 and 2015 did not include goals relating to the management and control of support staff and the need to ensure compliance with OHCHR policies and procedures as recommended in the memorandum dated 26 February 2013 from the Head of PSMS to heads of field presences. Further, the memorandum was issued in 2013 and new staff may not be aware of it since the requirement had not been incorporated in the Field Office Manual or a SOP and PSMS had not sent any reminders to the Heads of field presences or their supervisors.

(5) UNHRTC-Doha should establish appropriate mechanisms and performance goals to ensure compliance with the requirements relating to: (i) maintenance of leave records; (ii) cost recovery of private telephone calls; (iii) management of vehicles; (iv) purchase of travel tickets; and (v) management of interns.

OHCHR accepted recommendation 5 and stated that the performance appraisal goals of the Head of UNHRTC-Doha will be amended to include the management of support staff and the need to ensure all OHCHR and UN policies and procedures are available and implemented. UNHRTC-Doha will consult with PSMS focal points to clarify any guidance from the OHCHR Field Admin Manual as needed. Monthly reports on implementation of these measures will be submitted to OHCHR Geneva during 2016 to confirm compliance. Recommendation 5 remains open pending receipt of evidence that appropriate mechanisms and performance goals have been established to

ensure compliance with the Field Office Manual requirements relating to: (i) maintenance of leave records; (ii) cost recovery of private telephone calls; (iii) management of vehicles; (iv) purchase of travel tickets; and (v) management of interns.

The Centre needed to assess cost-effectiveness of support staff travel and telephone costs

39. Management is expected to take advantage of opportunities to enhance the overall cost effectiveness of operations. Travel expenses totalling \$30,350 related to the travel of the Centre's support staff (driver, information technology assistant and three interns) outside Doha (Morocco, Yemen, Tunisia, Jordan, Kuwait) to provide logistical support at 10 out of 31 training events held from 2011 to October 2015. In four of these events, more than one support staff was used to provide support such as paying Daily Subsistence Allowance (DSA), preparing presentations on flash drives, printing of participants' training files, taking photographs and arranging transportation for participants. OIOS is of the view that to minimize travel costs, some of the tasks could be performed by the Human Rights Officers providing the training. There was also a need to analyse the cost-effectiveness of support staff performing administrative tasks outside Doha compared to the Centre hiring a local service provider.

40. In addition, the Centre did not encourage staff to use mobile phones (which had a package for international calls at a monthly fixed cost) in preference to landline telephones which charged for international calls. Use of mobile phones could have resulted in potential savings of approximately \$15,000 from April 2014 to June 2015. Also, it may not be cost effective for the Centre to pay for the 1500 minutes of international call package for staff (international and local) when cheaper versions for making international calls are available and not all the Centre staff may need the package. Due to lack of monitoring, the Centre was not aware of the average utilization of its landlines for international calls. Such information is important for the Centre to take appropriate measures with regard to its long distance telephone expenses.

(6) UNHRTC-Doha should assess the cost effectiveness of: (i) support staff travelling outside Doha; and (ii) the use of mobile telephones in order to reduce costs.

OHCHR accepted recommendation 6 and stated that UNHRTC-Doha will prepare a cost-benefit analysis with support from PSMS as needed to assess the current telephone packages and on this basis will make the appropriate changes, in consultation with OHCHR Geneva, to ensure cost effectiveness. Travel proposals will be prepared case-by-case, assessing the staff requirements, and submitted to FOTCD for clearance during 2016. Appropriate standards will be recorded for future reference. Recommendation 6 remains open pending receipt of the results of the assessment on cost effectiveness of support staff travelling outside Doha and the use of mobile telephones.

Need to develop an action plan to achieve full compliance with MOSS

41. MOSS is the primary mechanism for managing and mitigating security risks to personnel, property and assets of United Nations organizations. Field offices are required to comply with MOSS requirements for the Country. In 2014, the MOSS for Qatari country security risk assessment was revised. In November 2015, a team from the Department of Safety and Security at Headquarters conducted an assessment against the revised standards and found that the Centre was non-compliant in a number of key areas. The Centre had not yet developed an action plan to achieve full compliance with MOSS. Due to the volatility of the security and safety situation in the Region, non-compliance with MOSS requirements could expose the Centre to security risks.

(7) UNHRTC-Doha should develop an action plan to achieve full compliance with the Minimum Operating Security Standards.

OHCHR accepted recommendation 7 and stated that UNHRTC-Doha will consult with the Safety and Security Section to prepare and submit a costed action plan to achieve full MOSS, in the context of the annual work plan for 2016. Recommendation 7 remains open pending receipt of the costed action plan to achieve full MOSS compliance.

Need to ensure staff compliance with mandatory training requirements

42. The United Nations Learning and Development Policy prescribed mandatory training for all staff including topics related to ethics and integrity, security, prevention of workplace harassment, sexual harassment and abuse of authority and OHCHR induction training. None of the Centre staff had taken the following training: Integrity Awareness Programme, Ethics and Integrity and Prevention of Workplace Harassment. In addition, two of the three staff in supervisory role had not received the mandatory training on the Performance Management and Development System. The mandatory training is designed to help ensure that the staff are familiar with the Organization's expectations on ethical and integrity issues. They would also help ensure that staff are equipped with the necessary knowledge and tools, to prevent or deal with any integrity, conflict and harassment issues.

(8) UNHRTC-Doha should ensure that its staff complete all the mandatory training requirements.

OHCHR accepted recommendation 8 and stated that UNHRTC-Doha will ensure compliance of all staff with the mandatory training requirements. Recommendation 8 remains open pending receipt of evidence that UNHRTC-Doha staff have completed all the mandatory training.

IV. ACKNOWLEDGEMENT

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

(Signed) Eleanor T. Burns
Director, Internal Audit Division
Office of Internal Oversight Services

STATUS OF AUDIT RECOMMENDATIONS

Audit of the United Nations Human Rights Training Centre for South-West Asia and Arab Region in Doha

Recom. no.	Recommendation	Critical ² / Important ³	C/ O ⁴	Actions needed to close recommendation	Implementation date ⁵
1	UNHRTC-Doha should, in coordination with the Field Operations and Technical Cooperation Division and relevant OHCHR field presences, review and update its sub-regional notes including: (i) assessing the needs and demands in the region and developing its long-term strategy or programme clearly defining the countries targeted; and (ii) exploring areas where it could partner with relevant actors in the region.	Important	O	Receipt of the revised sub-regional notes.	31 December 2016
2	UNHRTC-Doha should identify and assess its programme level risks and develop appropriate measures to manage them effectively.	Important	O	Receipt of evidence that UNHRTC-Doha has assessed risks and developed measures to manage them.	31 December 2016
3	OHCHR should ensure that UNHRTC-Doha and the Methodology, Education and Training Section establish formal arrangements for coordination to avoid duplication and achieve synergies.	Important	O	Receipt of evidence from OHCHR on the arrangements for coordination between UNHRTC-Doha and METS.	31 December 2016
4	UNHRTC-Doha should establish appropriate supervision and review mechanisms to ensure compliance with requirements relating to: (i) defining performance targets and baselines; (ii) performance reporting; (iii) developing, implementing and evaluating human rights training; and (iv) documenting lessons learned to address any corrective actions needed in the work programme.	Important	O	Receipt of evidence that mechanisms have been established to ensure compliance with requirements relating to: (i) defining performance targets and baselines; (ii) performance reporting; (iii) developing, implementing and evaluating human rights training; and (iv) documenting lessons learned to address any corrective actions needed in the work programme.	31 December 2016

² Critical recommendations address critical and/or pervasive deficiencies in governance, risk management or control processes, such that reasonable assurance cannot be provided with regard to the achievement of control and/or business objectives under review.

³ Important recommendations address important (but not critical or pervasive) deficiencies in governance, risk management or control processes, such that reasonable assurance may be at risk regarding the achievement of control and/or business objectives under review.

⁴ C = closed, O = open

⁵ Date provided by OHCHR in response to recommendations.

STATUS OF AUDIT RECOMMENDATIONS

Audit of the United Nations Human Rights Training Centre for South-West Asia and Arab Region in Doha

Recom. no.	Recommendation	Critical ² / Important ³	C/ O ⁴	Actions needed to close recommendation	Implementation date ⁵
5	UNHRTC-Doha should establish appropriate mechanisms and performance goals to ensure compliance with the requirements relating to: (i) maintenance of leave records; (ii) cost recovery of private telephone calls; (iii) management of vehicles; (iv) purchase of travel tickets; and (v) management of interns.	Important	O	Receipt of evidence that appropriate mechanisms and performance goals have been established to ensure compliance with the Field Office Manual requirements relating to: (i) maintenance of leave records; (ii) cost recovery of private telephone calls; (iii) management of vehicles; (iv) purchase of travel tickets; and (v) management of interns.	31 December 2016
6	UNHRTC-Doha should assess the cost effectiveness of: (i) support staff travelling outside Doha; and (ii) the use of mobile telephones in order to reduce costs.	Important	O	Receipt of the results of the assessment done on cost effectiveness of support staff travelling outside Doha and the use of mobile telephones.	31 December 2016
7	UNHRTC-Doha should develop an action plan to achieve full compliance with the Minimum Operating Security Standards.	Important	O	Receipt of the costed action plan to achieve full MOSS compliance.	31 December 2016
8	UNHRTC-Doha should ensure that staff complete all the mandatory training requirements.	Important	O	Receipt of evidence that UNHRTC-Doha staff have completed all the mandatory training.	31 December 2016

APPENDIX I

Management Response

Management Response

Audit of the United Nations Human Rights Training Centre for South-West Asia and Arab Region in Doha

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
1	UNHRTC-Doha should, in coordination with the Field Operations and Technical Cooperation Division and relevant OHCHR field presences, review and update its sub-regional notes including: (i) assessing the needs and demands in the region and developing its long-term strategy or programme clearly defining the countries targeted; and (ii) exploring areas where it could partner with relevant actors in the region.	Important	Yes	Head of UNHRTC-Doha	31/12/2016	UNHRTC-Doha will conduct an analysis of the needs and demands in the region, including through consultation with relevant actors and field presences in the region and drawing upon existing guidance and recommendations, including the MENA regional strategy paper and the outcome of the Regional Conference on the role of OHCHR in promoting and protecting human rights in the Arab Region held in January 2016 in Doha. UNHRTC-Doha will reflect the findings of the analysis in a revised version of the sub-regional note, setting out the long-term programme and strategy for responding to the different needs and demands in the region, including how it intends to engage countries under its mandate that it has not previously focused on.
2	UNHRTC-Doha should identify and assess its programme level risks and develop appropriate measures to manage them effectively.	Important	Yes	Head of UNHRTC-Doha	31/12/2016	UNHRTC-Doha will assess specific and foreseeable risks which may impact upon its ability to deliver its mandate and propose mitigating

¹ Critical recommendations address critical and/or pervasive deficiencies in governance, risk management or control processes, such that reasonable assurance cannot be provided with regard to the achievement of control and/or business objectives under review.

² Important recommendations address important (but not critical or pervasive) deficiencies in governance, risk management or control processes, such that reasonable assurance may be at risk regarding the achievement of control and/or business objectives under review.

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Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
						actions in the revision of the sub-regional planning note and the preparation of its Annual Work plans.
3	OHCHR should ensure that UNHRTC-Doha and the Methodology, Education and Training Section establish formal arrangements for coordination to avoid duplication and achieve synergies.	Important	Yes	Head of UNHRTC-Doha	31/12/2016	UNHRTC-Doha will prepare an SOP in collaboration with METS which sets out how and at what stage coordination will take place, including providing advance notice at the planning stage for training programmes or workshops, sharing of training materials and agendas for comment and advice, and to explore further opportunities for support from METS in conducting the training. At the conclusion of each training programme or workshop, feedback from participants and trainers will be shared and discussed.
4	UNHRTC-Doha should establish appropriate supervision and review mechanisms to ensure compliance with requirements relating to: (i) defining performance targets and baselines; (ii) performance reporting; (iii) developing, implementing and evaluating human rights training; and (iv) documenting lessons learned to address any corrective actions needed in the work programme.	Important	Yes	Head of UNHRTC-Doha	31/12/2016	In revising its sub-regional note, UNHRTC-Doha will consult with the MENA Section, ROME and the relevant field presences regarding definition of appropriate performance indicator baselines and targets. Roles and responsibilities for each staff member will be clearly defined by the Head of UNHRTC-Doha, including with reference to reporting duties, and set out in the respective staff performance evaluation documents. Regular coordination with METS will

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						be set out in the SOP referenced above, and training provided to UNHRTC-Doha staff to ensure full understanding of OHCHR human rights training standards. UNHRTC-Doha will also ensure that the preparation of documentation required by its mandate is reported upon accordingly in end of year progress reports, mid-year review, and monthly reports. Information including follow-up actions on lessons learned will be systematically collected by UNHRTC-Doha following each training programme or workshop, to be reflected in the aforementioned SOP. At the end of the year an internal report will be produced summarizing the key lessons learned.
5	UNHRTC-Doha should establish appropriate mechanisms and performance goals to ensure compliance with the requirements relating to: (i) maintenance of leave records; (ii) cost recovery of private telephone calls; (iii) management of vehicles; (iv) purchase of travel tickets; and (v) management of interns.	Important	Yes	Head of UNHRTC-Doha	31/12/2016	The performance appraisal goals of the Head of UNHRTC-Doha will be amended to include the management of support staff and the need to ensure all OHCHR and UN policies and procedures are available and implemented. UNHRTC-Doha will consult with PSMS focal points to clarify any guidance from the OHCHR Field Admin Manual as needed. Monthly reports on implementation of these

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Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
						measures will be submitted to OHCHR Geneva during 2016 to confirm compliance.
6	UNHRTC-Doha should assess the cost effectiveness of: (i) support staff travelling outside Doha; and (ii) the use of mobile telephones in order to reduce costs.	Important	Yes	Head of UNHRTC-Doha	31/12/2016	UNHRTC-Doha will prepare a cost-benefit analysis with support from PSMS as needed to assess the current telephone packages and on this basis will make the appropriate changes, in consultation with OHCHR Geneva, to ensure cost effectiveness. Travel proposals will be prepared on a case-by-case, assessing the staff requirements, and submitted to FOTCD for clearance during 2016. Appropriate standards will be recorded for future reference.
7	UNHRTC-Doha should develop an action plan to achieve full compliance with the Minimum Operating Security Standards.	Important	Yes	Head of UNHRTC-Doha	31/12/2016	UNHRTC-Doha will consult with the Safety and Security Section to prepare and submit a costed action plan to achieve full MOSS, in the context of the annual work plan for 2016.
8	UNHRTC-Doha should ensure that staff complete all the mandatory training requirements.	Important	Yes	Head of UNHRTC-Doha	31/12/2016	UNHRTC-Doha will ensure compliance of all staff with the mandatory training requirements.