



## INTERNAL AUDIT DIVISION

### REPORT 2015/026

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Audit of staff development and training  
in the United Nations Operation in Côte  
d'Ivoire

Overall results relating to the effectiveness of  
staff development and training were initially  
assessed as partially satisfactory.  
Implementation of three important  
recommendations remains in progress

FINAL OVERALL RATING: PARTIALLY  
SATISFACTORY

20 April 2015  
Assignment No. AP2014/640/06

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# AUDIT REPORT

## Audit of staff development and training in the United Nations Operation in Côte d'Ivoire

### I. BACKGROUND

1. The Office of Internal Oversight Services (OIOS) conducted an audit of staff development and training in the United Nations Operation in Côte d'Ivoire (UNOCI).
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 United Nations learning and development policy was established to improve the professional and managerial competencies of staff and to enhance mandate implementation and job performance. The UNOCI Integrated Mission Training Centre (IMTC) was responsible for the coordination and implementation of all training and career development activities for civilian, military and police personnel.
4. IMTC was headed by a Chief at the P-4 level and had eight approved posts, including two international staff, three national staff, and three United Nations volunteers. The total training budget for both fiscal years 2012/13 and 2013/14 was \$2 million.
5. Comments provided by UNOCI are incorporated in italics.

### II. OBJECTIVE AND SCOPE

6. The audit was conducted to assess the adequacy and effectiveness of UNOCI governance, risk management and control processes in providing reasonable assurance regarding the **effectiveness of staff development and training programmes in UNOCI**.
7. The audit was included in the 2014 risk-based work plan of OIOS because of the operational risks related to staff development and training in implementing the UNOCI mandate.
8. The key control tested for the audit was training and development. For the purpose of this audit, OIOS defined this key control as the one that provides reasonable assurance that training and development plans exist and are implemented to ensure that staff skills and competencies are enhanced and updated in accordance with operational requirements and their professional development needs.
9. The key control was assessed for the control objectives shown in Table 1. The control objective shown in Table 1 as "Not assessed" was not relevant to the scope defined for this audit.
10. OIOS conducted this audit from July to October 2014. The audit covered the period from 1 July 2012 to 30 June 2014.
11. OIOS conducted an activity-level risk assessment to identify and assess specific risk exposures, and to confirm the relevance of the selected key control in mitigating associated risks. Through interviews

and analytical reviews, OIOS assessed the existence and adequacy of internal controls and conducted necessary tests to determine their effectiveness.

### III. AUDIT RESULTS

12. The UNOCI governance, risk management and control processes examined were initially assessed as **partially satisfactory**<sup>1</sup> in providing reasonable assurance regarding the **effectiveness of staff development and training programmes in UNOCI**. OIOS made three recommendations to address the issues identified. UNOCI staff development and training activities were well coordinated with clearly defined roles and responsibilities, and IMTC worked in close coordination with representatives of the military and police components. However, UNOCI needed to: (a) revise its needs assessment approach to obtain more details on staff training needs; (b) implement a mechanism to monitor staff compliance with mandatory training requirements; and (c) ensure that training programme evaluations were completed and used for future training programmes.

13. The initial overall rating was based on the assessment of the key control presented in Table 1. The final overall rating is **partially satisfactory** as implementation of three important recommendations remains in progress.

**Table 1: Assessment of key control**

Business objective	Key control	Control objectives			
		Efficient and effective operations	Accurate financial and operational reporting	Safeguarding of assets	Compliance with mandates, regulations and rules
Effectiveness of staff development and training programmes in UNOCI	Training and development	Partially satisfactory	Partially satisfactory	Not assessed	Partially satisfactory
<b>FINAL OVERALL RATING: PARTIALLY SATISFACTORY</b>					

### Training and development

#### Staff training and development programmes were well coordinated

14. The Department of Peacekeeping Operations/Department of Field Support (DPKO/DFS) Training Policy required the Head of Mission, the Force Commander and Police Commissioner to coordinate with the Chief of IMTC to identify training needs, and develop and implement a comprehensive mission training plan.

15. Discussions with Mission management and assigned officers from the Military Training Cell and the United Nations Police Internal Evaluation Unit, and reviews of training requests submitted by substantive and mission support sections confirmed that the Chief of IMTC coordinated with relevant parties to identify training requirements. These requirements were used to develop the annual Mission

<sup>1</sup> 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.

training plan. Additionally, IMTC routinely shared training activities, facilities and resources among all staff components, and coordinated joint training programmes where appropriate. OIOS concluded that adequate controls were in place to ensure that the training function and associated resources were adequately coordinated.

Capacity building and career development support activities were established

16. The United Nations Learning and Development Policy required that comprehensive learning and development support be made available to staff through career resource centres. The DPKO/DFS Training Policy encouraged the training of trainers to develop in-house expertise.

17. A review of documents and interviews conducted indicated that IMTC provided staff members with the necessary training and resources to respond to their learning and professional development needs. IMTC also launched a Career Resource Centre in 2010 to complement on-the-job and performance management training. The Centre provided comprehensive career support advice and information resources through a small in-house library. IMTC also coordinated five training-of-trainer courses to develop in-house expertise on Umoja, Galileo, protection of civilians and military peacekeeping operations. OIOS concluded that IMTC established suitable alternative capacity building and career development support activities and resources.

The training needs assessment process needed improvement

18. The DPKO/DFS Training Policy required missions to ensure that training requirements were supported by a needs assessment.

19. UNOCI had identified its training needs based on the DPKO/DFS Integrated Training Service Global Peacekeeping Training Needs Assessment of 2012/13, which identified strategic focus areas required to implement Security Council mandates. Additionally, IMTC conducted an online survey to obtain staff input and enhance the development of UNOCI training needs. However, Mission personnel were not responding to the IMTC survey. For example, in 2012/13 and 2013/14, only 159 out of 1,200 civilian staff (or 13 per cent), and 163 of 1,100 civilian staff (or 15 per cent), respectively, responded to the survey.

20. The low response rate was due to staff tendency to overlook e-mail broadcasts and because IMTC did not follow up with staff who were not responding. As a result of the limited response to the survey, IMTC gave priority to DPKO/DFS global peacekeeping training needs, which did not fully reflect staff learning and development needs.

**(1) UNOCI should revise its needs assessment techniques to increase participation by staff and managers in determining the Mission's training requirements.**

*UNOCI accepted recommendation 1 and stated that IMTC adopted the use of an online survey to increase staff participation in the training needs assessment, and requested the support of section chiefs in ensuring that staff completed the survey. IMTC would also directly organize discussions with staff from sections with low response rates during the next training needs assessment scheduled between August and October 2015. Recommendation 1 remains open pending receipt of evidence that UNOCI has taken action to ensure staff training needs are adequately reflected in the IMTC training plan.*

The Mission was not able to validate staff members' compliance with mandatory training requirements

21. The United Nations Learning and Development Policy included centrally coordinated programmes managed by the Office of Human Resources Management, which prescribed four online and three instructor-led mandatory training programmes for all staff, including topics related to ethics and integrity, security, prevention of workplace harassment, sexual harassment and abuse of authority, Mission induction training, and prevention of sexual exploitation and abuse. The DPKO/DFS Training Policy required IMTC to monitor the implementation of and adherence to the training policy.

22. IMTC included all mandatory training programmes in the Mission training plan and communicated scheduled training to staff via e-mail broadcasts. IMTC implemented a procedure for staff to register for mandatory training programmes at their convenience. IMTC did not maintain a complete record of staff who were attending the mandatory training programmes. This was because UNOCI management had not followed-up with staff to remind them of their responsibility to complete mandatory training courses and IMTC had not implemented a process to monitor staff compliance with the mandatory training requirements. As a result, UNOCI did not have assurance that United Nations and UNOCI mandatory training requirements were met.

**(2) UNOCI should remind staff of their responsibilities to attend mandatory training programmes and provide record of attendance to the Integrated Mission Training Centre as well as implement a mechanism to monitor staff members' compliance with mandatory training requirements.**

*UNOCI accepted recommendation 2 and stated that IMTC would establish an intranet page with direct links to mandatory training platforms, integrate the training requirement to check-in procedures and conduct section/unit specific training sessions to enhance staff compliance. The Chief of Administrative Services would issue an information circular assigning section chiefs responsibility to monitor their staff's compliance. IMTC would also liaise with the Human Resources Section to obtain Inspira-based mandatory training data and actively track mandatory training information. Recommendation 2 remains open pending OIOS verification of the adequacy of the process for monitoring attendance at mandatory training programmes.*

The Integrated Mission Training Centre had a 50 per cent vacancy rate

23. The DPKO/DFS standard operating procedure for the staff selection system for peacekeeping operations and special political missions required the Chief Civilian Personnel Officer together with the Field Personnel Operations Service Desk Officer to develop a recruitment plan to ensure the filling of current and projected vacant posts in a timely manner as part of workforce planning procedures.

24. A review of IMTC staffing indicated that four of eight posts were vacant. The vacant posts included that of the Chief Training Officer who relocated in May 2014, two training officer posts, which had been vacant since October 2013, and a training/budget assistant post retrenched on 30 June 2014.

25. The delay in filling vacant posts resulted because UNOCI management temporarily suspended recruitment in June 2014 during the Mission's restructuring and staff retrenchment exercise. As a result, IMTC was unable to effectively implement the training plan mission-wide partly due to limited training in sectors, and only achieved 60 per cent of its work plan based on the number of staff members trained in 2013/14. Additionally, lack of staff to manage the Career Resource Centre impeded the ability of IMTC to effectively support staff career development. Towards the end of the audit, UNOCI appointed one of its training officers as Chief of Section, and the recruitment process for vacant training officer positions was

on-going. Based on the action taken by UNOCI to fill vacant posts in IMTC, OIOS did not make a recommendation.

The Mission needed to strengthen the evaluation of training outcomes

26. The DPKO/DFS Training Policy and Guidelines on Design, Delivery and Evaluation of Training required UNOCI to evaluate whether its training had achieved its intended objectives and expected outcomes. IMTC standard operating procedures required: participants of out-of-mission training to submit post-training reports within seven days of their return; and participants of Mission-conducted training to submit an initial evaluation at the end of the training programme, and a second performance evaluation to estimate programme impact/application of the learning by both the attendee and their supervisor two months thereafter.

27. A review of all 45 participants who attended external training courses during the audit period indicated that 33 (or 73 per cent) did not submit a post-training report. Also, 67 out of 533 (or 13 per cent) of participants who attended 30 mission-conducted training programmes did not submit their initial evaluation, and all 533 participants did not submit the second performance evaluation to IMTC.

28. Non-submission of post-training reports and evaluations resulted due to lack of follow up by IMTC. As a result, IMTC and Mission management were unable to assess whether resources allocated to training programmes had achieved their intended objectives and outcomes.

**(3) UNOCI should implement procedures to ensure that training evaluation forms and post-training reports are submitted by staff in a timely manner on completion of training courses.**

*UNOCI accepted recommendation 3 and stated that the Chief of Administrative Services would issue an information circular advising staff and section chiefs of their responsibilities in completing and submitting post training reports, and IMTC would continually remind staff members in default. Recommendation 3 remains open pending verification that post training reports are submitted in a timely manner as required.*

#### **IV. ACKNOWLEDGEMENT**

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

(Signed) David Kanja  
Assistant Secretary-General for Internal Oversight Services

## STATUS OF AUDIT RECOMMENDATIONS

## Audit of staff development and training in the United Nations Operation in Côte d'Ivoire

Recom. no.	Recommendation	Critical <sup>2</sup> / Important <sup>3</sup>	C/ O <sup>4</sup>	Actions needed to close recommendation	Implementation date <sup>5</sup>
1	UNOCI should revise its needs assessment techniques to increase participation by staff and managers in determining the Mission's training requirements.	Important	O	Receipt of evidence that UNOCI has taken action to ensure staff training needs are adequately reflected in the IMTC training plan.	30 November 2015
2	UNOCI should remind staff of their responsibilities to attend mandatory training programmes and provide record of attendance to the Integrated Mission Training Centre as well as implement a mechanism to monitor staff members' compliance with mandatory training requirements.	Important	O	OIOS verification of the adequacy of the process for monitoring attendance at mandatory training programmes.	31 December 2015
3	UNOCI should implement procedures to ensure that training evaluation forms and post-training reports are submitted by staff in a timely manner on completion of training courses.	Important	O	OIOS verification that post training reports are submitted in a timely manner as required.	30 September 2015

<sup>2</sup> Critical recommendations address significant and/or pervasive deficiencies or weaknesses in governance, risk management or internal control processes, such that reasonable assurance cannot be provided regarding the achievement of control and/or business objectives under review.

<sup>3</sup> Important recommendations address important deficiencies or weaknesses in governance, risk management or internal control processes, such that reasonable assurance may be at risk regarding the achievement of control and/or business objectives under review.

<sup>4</sup> C = closed, O = open

<sup>5</sup> Date provided by UNOCI in response to recommendations.



# **APPENDIX I**

## **Management Response**



**FACSIMILE TRANSMISSION**

OUTGOING FAX NO: 009	DATE: 8/4/2015
TO: Ms. Eleanor T. Burns Director Internal Audit Division OIOS	FROM: Robert Cannon Chief of Mission Support UNOCI, Abidjan
CC: Ms. Cynthia Avena-Castillo Professional Practices Section Internal Audit Division  Mr. Djedji S. H. Aboa Chief Integrated Mission Training Centre, UNOCI  Mr. Alpha Diallo Chief Resident Auditor OIOS, UNOCI  Major General Hafiz M. Ahmed Force Commander UNOCI  Mr. Vianey Nshimiyimana Police Commissioner UNOCI	
FAX NO:	FAX NO:
NUMBER OF PAGES: 02	REF:
SUBJECT: <b>Draft report on an audit of staff development and training in the United Nations Operation in Côte d'Ivoire (Assignment No. AP2014/640/06)</b>	

1. Reference is made to your IAD: 15-640-04 dated 16 March 2015 on the draft audit report for the above-mentioned audit.
2. Attached, please find ONUCI action plan with target dates and titles of individuals responsible for implementing the recommendations in Appendix I.

Best regards.

<b>Distribution:</b>	<b>Drafted by:</b> Andrew Brimelow 
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## Management Response

## Audit of staff development and training in the United Nations Operation in Côte d'Ivoire

Recom. no.	Recommendation	Critical <sup>6</sup> / Important <sup>7</sup>	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
1	UNOCI should revise its needs assessment techniques to increase participation by staff and managers in determining the Mission's training requirements.	Important	Yes	Chief IMTC	30 November 2015	UNOCI's Integrated Mission Training Center (IMTC) will (i) continue to request the support of section chiefs in advocating for staff members to complete the survey and (ii) directly organize discussions with staff from sections with low response rates during the next Training Needs Assessment, scheduled between August and October 2015.
2	UNOCI should remind staff of the responsibilities to attend mandatory training programmes and to provide record of attendance to the Integrated Mission Training Centre as well as implement a mechanism to monitor staff members' compliance with these mandatory training requirements.	Important	Yes	Chief IMTC	31 December 2015	UNOCI will create an intranet page where all mandatory training and related links will be listed out to ease access of training resources to staff members. An Information Circular will be issued by the Chief of Administrative Services requesting all section Chiefs to ensure that their staff members comply with mandatory training by December 2015. Section/Unit specific training sessions and support will be provided by IMTC to ensure that staff members who are yet to complete mandatory training comply.
3	UNOCI should implement procedures to ensure that staff attending training courses submit their training evaluation forms and post-training reports.	Important	Yes	Chief IMTC	30 September 2015	IMTC will continue to remind staff members who fail to submit their Post Training Report (PTR) to do so. The Chief of Administrative Services will issue an Information Circular advising staff and section chiefs of their responsibilities in ensuring PTRs are completed and submitted.

<sup>6</sup> Critical recommendations address significant and/or pervasive deficiencies or weaknesses in governance, risk management or internal control processes, such that reasonable assurance cannot be provided regarding the achievement of control and/or business objectives under review.

<sup>7</sup> Important recommendations address important deficiencies or weaknesses in governance, risk management or internal control processes, such that reasonable assurance may be at risk regarding the achievement of control and/or business objectives under review.