



## INTERNAL AUDIT DIVISION

### REPORT 2015/070

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Audit of the use of the Umoja deployment guidelines by the United Nations Operation in Côte d'Ivoire

Overall results relating to the use of the Umoja deployment guidelines by the United Nations Operation in Côte d'Ivoire were initially assessed as partially satisfactory. Implementation of four important recommendations remains in progress

FINAL OVERALL RATING: PARTIALLY SATISFACTORY

14 July 2015

Assignment No. AP2014/640/07

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# AUDIT REPORT

## Audit of the use of the Umoja deployment guidelines by the United Nations Operation in Côte d'Ivoire

### I. BACKGROUND

1. The Office of Internal Oversight Services (OIOS) conducted an audit of the use of the Umoja deployment guidelines by 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. 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.
4. In 2008, the General Assembly, in its resolution 63/262, formally approved the implementation of Umoja, an administrative reform initiative of the United Nations Secretariat that included a thorough streamlining of the Organization's business processes. Umoja is an enterprise resource planning solution based on the Systems Applications and Products software (commonly known as SAP), an application that supports management activities related to finance, budget, human resources, supply chain, central support services, and other core business functions. This integrated system would replace and integrate numerous existing legacy information systems in use across the Secretariat.
5. Umoja Foundation, deployed in UNOCI on 1 November 2013, included the following modules: finance, supply chain, project management, and sales and distribution. The UNOCI Umoja deployment team had 17 members, comprising a realization manager, a site coordinator, a technical focal point, a site assistant, seven local process experts and six alternate local process experts. The deployment of other modules such as human resources administration and travel management was scheduled for November 2015.
6. Comments provided by UNOCI are incorporated in italics.

### II. OBJECTIVE AND SCOPE

7. The audit was conducted to assess the adequacy and effectiveness of UNOCI governance, risk management and control processes in providing reasonable assurance regarding the **use of the Umoja deployment guidelines by UNOCI**.
8. The audit was included in the 2014 risk-based plan of OIOS due to the operational risks relating to Umoja deployment and to identify lessons from the initial deployment that may be applied in succeeding deployments.
9. The key control tested for the audit was regulatory framework. For the purpose of this audit, OIOS defined this key control as the one that provides reasonable assurance that policies and procedures:

(a) exist to guide the deployment of Umoja in UNOCI; (b) are implemented consistently; and (c) ensure the reliability and integrity of financial and operational information.

10. The key control was assessed for the control objectives shown in Table 1. Certain control objectives shown in Table 1 as “Not assessed” were not relevant to the scope defined for this audit.

11. OIOS conducted the audit from October 2014 to January 2015. The audit covered the preparatory and change management activities conducted by Umoja for the roll-out of Umoja Foundation. These activities were subsequently outlined in the Umoja Deployment Guide (released on 31 January 2014) and included establishment of local deployment team, risk mitigation, change impact documents, training, communication, realization plan, user access mapping, data migration and relevant documentation requirements. The audit did not include an assessment of how well the new system was working.

12. 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

13. The UNOCI governance, risk management and control processes examined were initially assessed as **partially satisfactory**<sup>1</sup> in providing reasonable assurance regarding **the use of the Umoja deployment guidelines by UNOCI**. OIOS made seven recommendations to address the issues identified. The UNOCI train-the-trainers programme was effectively delivered, which ensured end-users were trained in the proper use of Umoja. To improve UNOCI preparations for subsequent Umoja deployments, UNOCI needed to ensure that: (a) the local deployment team was fully constituted and effectively functioning; (b) all required monitoring reports were prepared and submitted to the Headquarters Umoja Project Team; (c) all members of the local deployment team participated in readiness workshops; (d) change-impact procedures were implemented; (e) user access mapping was properly conducted; and (f) preparatory activities were implemented and documented. UNOCI also needed to implement an action plan to ensure that data was collected to quantify benefits from implementing Umoja.

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

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<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.

**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
Use of the Umoja deployment guidelines by UNOCI	Regulatory framework	Partially satisfactory	Partially satisfactory	Not assessed	Partially satisfactory
<b>FINAL OVERALL RATING: PARTIALLY SATISFACTORY</b>					

## **Regulatory framework**

The Umoja deployment team was not fully constituted and did not effectively function as required

15. The Umoja Deployment Guide required the Umoja deployment team (the team) to comprise a deployment team lead, team assistant, training coordinator, trainers, communication officer, local process experts, technical focal point and iNeed focal point. The Guide also required the team to: meet regularly to manage the progress of activities; ensure that all deployment activities were completed on time; and identify and mitigate any risks that would hinder the successful deployment of Umoja.

16. UNOCI established the Umoja deployment team on 20 January 2013, comprising a realization manager, a site coordinator, a technical focal point, a site assistant, seven local process experts and six alternate local process experts. However, UNOCI did not appoint a training coordinator, communication officer and iNeed focal point. There were also no meeting agendas and minutes to show that the team met regularly as required to effectively monitor the deployment process.

17. The above conditions resulted because UNOCI management did not dedicate sufficient attention and staff to the Umoja deployment activities and requirements. As a result, critical activities were delayed or not properly performed and/or documented. For example, UNOCI did not conduct any risk assessment to identify, mitigate, and resolve risks and issues relating to user access mapping, user verification, data validation, quality checks during data migration, and other preparatory activities.

18. As a result of the lack of risk assessment, a number of risks relating to finance, procurement and human resources immediately arose after Umoja went live, which delayed the processing of some payments and procurement activities up to February 2014. These issues included:

- The lack of confirmation of the receipt of goods or certification of delivery of services in Umoja. Because there was no such validation, a \$3 million down payment to a vendor was processed.
- The erroneous conversion of UNOCI purchase orders to those of other United Nations entities, which caused errors in product categories, descriptions, delivery addresses and account balances.
- The incomplete transfer of active vendors from Mercury to Umoja, which delayed the solicitation process.

- The lack of approving officers' access to Umoja, which delayed the approval of fund commitments.

19. Additionally, the absence of a communication officer weakened accountability for communication activities that were not adequately performed. For example, the then Umoja Site Coordinator viewed the only town hall meeting held on 28 March 2013 to discuss the impact of Umoja with mission staff as a failure because it was poorly attended. The Site Coordinator requested another meeting to better communicate Umoja related issues to staff. This meeting did not take place.

**(1) UNOCI should: properly reconstitute the Umoja deployment team as required; assign dedicated staff to manage Umoja risks and issues; and ensure that the team meets regularly to manage subsequent deployments of Umoja.**

*UNOCI accepted recommendation 1 and stated that the Chief of Mission Support established the Umoja Deployment Coordination Committee to oversee deployment activities for the implementation of Umoja Extension One. Based on the action taken by UNOCI, recommendation 1 has been closed.*

Umoja project monitoring was not fully effective

20. The Umoja Deployment Guide required entities deploying Umoja to submit various reports to the Headquarter Umoja Project Team to monitor the deployment progress. These reports included weekly Project Management Office updates, a weekly realization scorecard, a monthly scorecard and an operational readiness report.

21. UNOCI did not prepare the weekly Project Management Office updates and the operational readiness report. Additionally, there was no documentation showing the submission of the required weekly realization and monthly scorecards to the Headquarters Umoja Project Team. UNOCI explained that monitoring reports were uploaded to a shared Headquarters database called UniShare. The Mission, however, did not maintain documentation of all monitoring reports uploaded and only provided copies of the uploaded pre-load and post-load validation forms to the Unishare database.

22. The above conditions resulted because of inadequate management oversight to ensure that all required monitoring reports were prepared, submitted to Headquarters and properly filed. The lack of systematic monitoring hindered the timely resolution of issues and completion of Umoja activities. For example, according to the Headquarters Umoja Project Team's scorecards for UNOCI: (a) for the pre-deployment activities that should have been completed as at 31 July 2013, only 27 per cent was completed, 30 per cent was delayed, and 43 per cent was not started; and (b) as at 10 September 2013, UNOCI had not completed data enrichment for accounts receivable and payable transactions for conversion to Umoja due on 16 August 2013.

**(2) UNOCI should establish an oversight mechanism for subsequent deployments to ensure that all required monitoring reports are prepared, submitted to the United Nations Headquarters Umoja Project Team and properly filed.**

*UNOCI accepted recommendation 2 and stated that weekly video teleconferencing had been established between the United Nations Headquarters Umoja Project Office and UNOCI Site Coordinator to coordinate tasks relating to the local deployment plan. Based on the action taken by UNOCI, recommendation 1 has been closed.*

### Participation in Umoja Readiness Workshops was inadequate

23. The Umoja Deployment Guide required the Headquarters Umoja Project Team and the Department of Management to deliver a Readiness Workshop to entities deploying Umoja. The Guide also required all members of the local deployment team to participate in the workshop as pre-training on the deployment, business preparedness, data conversion and cutover processes.

24. Only one Readiness Workshop was held for site coordinators in the Global Service Centre in Brindisi in November 2012, which was attended by the then Site Coordinator who left the Mission in April 2013, six months before Umoja went live in the Mission. The Site Coordinator did not brief or train other team members on the readiness areas covered in the workshop, and no other readiness workshop was held for the other members of the local deployment team during the deployment period. This resulted because the Headquarters Umoja Project Team and Department of Management did not target the readiness workshop for all team members. As a result, required site readiness activities for a successful go-live were not properly conducted, as indicated in this report.

**(3) UNOCI, in coordination with the United Nations Headquarters Umoja Project Team, should implement a plan to ensure that all members of the local deployment team participate in the Umoja Readiness Workshop for subsequent deployments.**

*UNOCI accepted recommendation 3 and stated that the Deployment Coordination Committee would support the Mission Site Coordinator to ensure the participation of relevant stakeholders in the necessary Umoja readiness workshops. Recommendation 3 remains open pending receipt of evidence that for the next roll-out, members of the local deployment team have the opportunity to participate in the Umoja Readiness Workshop.*

### Train-the-trainers programme was effective

25. The Umoja Deployment Guide required entities deploying Umoja to nominate staff members to be trained as trainers who in turn would train end users in their missions. Of the nine staff members who attended the train-the-trainer courses in 2013, four completed the procurement, logistics, and sales and distribution courses, while the remaining five completed the finance and budget courses. As at 31 March 2014, the trainers had delivered Umoja training to 361 Mission personnel on financial management and accounting, supply chain, real estate, budget implementation, and lease administration. OIOS concluded that the train-the-trainers programme was effective in ensuring that end users attended relevant Umoja courses.

### The deployment team did not implement change-impact procedures

26. The Umoja Deployment Guide required local deployment teams to localize change impact documents that described the impact of process changes resulting from the Umoja roll-out. The Guide also required the team to hold change-impact discussion sessions with the relevant functional areas daily or twice a week to discuss change impact documents.

27. The UNOCI deployment team did not hold any sessions with the functional areas to discuss the current process and the future changes expected from the Umoja roll-out. This prevented UNOCI from adapting the documents to the practices of the Mission and from enhancing users' understanding of how the expected changes would affect their transaction processing in Umoja. This resulted because UNOCI did not assign local process experts to discuss and implement the required change-impact procedures. Consequently, issues encountered by users immediately following the implementation of Umoja were

escalated to the Umoja Project Management Office as users did not know how to handle the expected changes.

**(4) UNOCI should assign local process experts to discuss and implement the required change-impact procedures in subsequent deployments of Umoja, and document the impact of the process changes.**

*UNOCI accepted recommendation 4 and stated that two local process experts from the Human Resources Section had already attended the first local process expert training in Entebbe in June 2015, and the second training would take place in August 2015. UNOCI also nominated two local process experts from the Travel Unit to attend local process expert training in July 2015, and these nominations were pending the approval of the Department of Field Support. Recommendation 4 remains open pending receipt of evidence that local process experts have discussed and implemented the required change-impact procedures in subsequent deployments of Umoja.*

#### User access mapping was not properly conducted

28. The Umoja Deployment Guide required entities to correctly map users to their current and expected roles prior to the implementation of Umoja and ensure that access rights were given in accordance with the delegations of authority. The Guide also required that the mapping process be initiated approximately four to five months prior to go-live to enable entities to become acquainted with the process and to identify any concerns to be addressed during the mapping process.

29. UNOCI prepared a draft user access mapping in August 2013, about two months prior to going live. The final user mapping was completed and validated in September and October 2013 respectively, mapping 179 users to 682 roles. However, user access mapping was not properly conducted as some users: were mapped to the wrong roles; did not have access to mapped roles; or were granted inappropriate access. For example: procurement officers were inaccurately mapped to human resources roles; supply and transport officers were not granted access to their respective functional roles; petty cash custodians had incomplete access to their roles; real estate staff had unauthorized access to supplier relationship management and other accounting roles; and three staff members designated in Umoja to certify or approve expenditures did not have the required delegation of authority.

30. The above resulted because: the user access mapping was done late in the implementation process with limited time to identify and effectively address any mapping problems; and there was inadequate training on user access mapping. Staff members, including section chiefs, involved in the mapping process lacked proper understanding of how to correctly map or assign users to Umoja enterprise roles. Consequently, users were not able to effectively perform their assigned tasks in Umoja for an average of about four weeks immediately following the implementation of Umoja, which caused delays in processing various payments relating to procurement/vendor, salaries and entitlements.

**(5) UNOCI, in coordination with the United Nations Headquarters Umoja Project Office, should take steps to ensure that all those involved in user access mapping are adequately trained on user access mapping and that the mapping process is completed with sufficient lead time to ensure that all mapping problems are effectively addressed before the implementation of subsequent deployments of Umoja.**

*UNOCI accepted recommendation 5 and stated that it nominated the user access mapping coordinator and alternate coordinator, and the certified local process experts would provide adequate training on user access mapping. Recommendation 5 remains open pending receipt of*



evidence that all those involved in user access mapping for the next roll-out of Umoja have been adequately trained on user access mapping, and that the mapping process is completed properly and on time.

Preparatory activities were not fully implemented and documented

31. The Umoja Deployment Guide required all entities deploying Umoja to carry out preparatory activities prior to going live, which included business preparedness, data collection/enrichment, data cleansing, dress rehearsal and mock data conversion. The cutover plan for UNOCI required preparatory and post go-live activities related to business preparedness, pre-production cutover, final production cutover, and business ramp-up to be carried out by assigned staff members.

32. UNOCI had inadequate documentation to support the execution of certain preparatory activities in the cutover plan, which was assigned to 42 staff. For instance, only 5 of the 42 resource persons provided supporting documentation for the execution of data collection/enrichment, data cleansing, and balance reconciliation in Sun and Mercury. Supporting documentation from the remaining 37 resource persons was not available. The lack of available documents was mainly because staff assigned preparatory activities had left the mission; did not maintain documentation; or had not been involved in the tasks assigned to them. Nonetheless, UNOCI indicated in its cutover plan that all required preparatory activities had been performed. However, the Mission did not perform some tasks, including: update of relevant mission-specific standard operating procedures to incorporate changes due to Umoja implementation; review and update of the business continuity plan in line with the blackout period during final cutover; and provision of contingency plan or mitigating measures for any identified risks/issues. Additionally, other activities were not documented such as: the establishment of a mitigation plan for mock data conversion to resolve identified issues and risks; and the daily monitoring of the pre-production dress rehearsal for the escalation of any delays.

33. The condition resulted because of the lack of management oversight to ensure that: procedures were in place for a centralized filing of documentation supporting the completion of the preparatory activities; and assigned staff members performed their respective preparatory activities. As a result, reports provided to the Headquarters Umoja Project Team on the progress of the Umoja deployment activities were inaccurate and incomplete.

**(6) UNOCI should implement monitoring mechanisms to ensure that all preparatory activities for subsequent deployments of Umoja are performed and documented.**

*UNOCI accepted recommendation 6 and stated that the Chief of Mission Support established the Umoja Deployment Coordination Committee to oversee deployment activities for the implementation of Umoja Extension One. Based on the action taken by UNOCI, recommendation 6 has been closed.*

Collection of data to quantify benefits derived from Umoja had not been implemented

34. The Umoja Deployment Guide required all entities deploying Umoja to collect data to enable the Headquarters Organization and Change Management Team to develop a comprehensive statement of benefits from implementing Umoja, such as number of staff posts made redundant and the differences in time taken to process transactions before and after Umoja implementation. The quantitative benefits were supposed to determine the savings over time.

35. As at January 2015, 14 months after Umoja went live, UNOCI had not started gathering information to be used to quantify the benefits resulting from the implementation of Umoja in the

Mission. This resulted because UNOCI was occupied with addressing the issues that arose immediately following the implementation of Umoja in November 2013. Additionally, the Field Budget and Finance Division of the Division of Field Support had yet to provide a benefit realization methodology to missions to be used to collect relevant data to quantify and report the benefits expected to be realized from implementing Umoja.

**(7) UNOCI should implement an action plan on receipt of the Umoja benefit realization methodology from the Field Budget and Finance Division to ensure that data needed to quantify the benefits expected to be realized from implementing Umoja is collected and reported.**

*UNOCI accepted recommendation 7 and stated that the Field Budget and Finance Division would issue standard operating procedures that would define key performance indicators to be applied across all peacekeeping missions. Data from these indicators would be used to quantify the benefits from implementing Umoja Foundation. Missions would use the data to quantify benefits when they received the benefits measures. Recommendation 7 remains open pending receipt of evidence of collection and reporting of data needed to quantify the benefits expected to be realized from implementing Umoja.*

#### **IV. ACKNOWLEDGEMENT**

36. 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 the use of the Umoja deployment guidelines by the United Nations Operation in Côte d'Ivoire

Recom. no.	Recommendation	Critical <sup>1</sup> / Important <sup>2</sup>	C/ O <sup>3</sup>	Actions needed to close recommendation	Implementation date <sup>4</sup>
1	UNOCI should: properly reconstitute the Umoja deployment team as required; assign dedicated staff to manage Umoja risks and issues; and ensure that the team meets regularly to manage subsequent deployments of Umoja.	Important	C	Action taken.	Implemented
2	UNOCI should establish an oversight mechanism for subsequent deployments to ensure that all required monitoring reports are prepared, submitted to the United Nations Headquarters Umoja Project Team and properly filed.	Important	C	Action taken.	Implemented
3	UNOCI, in coordination with the United Nations Headquarters Umoja Project Team, should implement a plan to ensure that all members of the local deployment team participate in the Umoja Readiness Workshop for subsequent deployments.	Important	O	Receipt of evidence that for the next roll-out, members of the local deployment team have the opportunity to participate in the Umoja Readiness Workshop.	11 June 2015
4	UNOCI should assign local process experts to discuss and implement the required change-impact procedures in subsequent deployments of Umoja, and document the impact of the process changes.	Important	O	Receipt of evidence that local process experts have discussed and implemented the required change-impact procedures in subsequent deployments of Umoja.	26 May 2015
5	UNOCI, in coordination with the United Nations Headquarters Umoja Project Office, should take steps to ensure that all those involved in user access mapping are adequately trained on user access mapping and that the mapping process is completed with sufficient lead time to ensure that all mapping problems are effectively addressed before the implementation of subsequent deployments of Umoja.	Important	O	Receipt of evidence that all those involved in user access mapping for the next roll-out of Umoja have been adequately trained on user access mapping, and that the process is completed properly and on time.	30 September 2015

<sup>1</sup> 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.

<sup>2</sup> 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.

<sup>3</sup> C = closed, O = open

<sup>4</sup> Date provided by UNOCI in response to recommendations.

## STATUS OF AUDIT RECOMMENDATIONS

## Audit of the use of the Umoja deployment guidelines by the United Nations Operation in Côte d'Ivoire

Recom. no.	Recommendation	Critical <sup>1</sup> / Important <sup>2</sup>	C/ O <sup>3</sup>	Actions needed to close recommendation	Implementation date <sup>4</sup>
6	UNOCI should implement monitoring mechanisms to ensure that all preparatory activities for subsequent deployments of Umoja are performed and documented.	Important	C	Action taken.	Implemented
7	UNOCI should implement an action plan to ensure that data needed to quantify the benefits expected to be realized from implementing Umoja is collected and reported.	Important	O	Receipt of evidence of collection and reporting of data needed to quantify the benefits expected to be realized from implementing Umoja.	31 December 2015

# **APPENDIX I**

## **Management Response**



**FACSIMILE TRANSMISSION**

OUTGOING FAX NO: 043	DATE: 29 June 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, OIOS	
FAX NO: Via Email	FAX NO:
NUMBER OF PAGES: 4	REF:
SUBJECT: <b>Draft report on an audit of the use of the Umoja deployment guidelines by the United Nations Operation in Côte d'Ivoire (Assignment No. AP2014/640/07)</b>	

1. Reference is made to your IAD: 15-640-09 dated 11 June 2015 on the draft audit report for the above-mentioned audit, and to my fax number 036 of 26 June 2015.
2. Attached, please find ONUCI's comments regarding your recommendations in Annex I. Please note that this annex has been updated slightly from the version I sent on 26 June, which should be superseded by this document. The implementation dates have now been included for each recommendation, and the wording of recommendation 7 has been changed by OIOS and agreed to by UNOCI.

Best regards.

<b>Distribution:</b> Carlos Polcaro, CISS - Gabriel Buh Kang, CBFO - Adja Sakho, AO
<b>Drafted by:</b> Andrew Brimelow, CAS

## Management Response

## Audit of the use of the Umoja deployment guide by the United Nations Operation in Cote d'Ivoire

Rec. no.	Recommendation	Critical <sup>1</sup> / Important <sup>2</sup>	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
1	UNOCI should: properly reconstitute the Umoja deployment team as required; assign dedicated staff to manage Umoja risks and issues; and ensure that the team meets regularly to manage subsequent deployments of Umoja.	Important	Yes	CMS	Implemented 11/06/2015	The deployment team was reconstituted and the names/functions were submitted to United Nations Headquarters Umoja Project Office. Excel table attached. The CMS established the Deployment Coordination Committee in order to oversee the deployment activities. (memo attached)
2	UNOCI should establish an oversight mechanism for subsequent deployments to ensure that all required monitoring reports are prepared, submitted to the United Nations Headquarters Umoja Project Team and properly filed.	Important	Yes	CMS	Implemented 11/06/2015 (ongoing throughout preparation for deployment)	Weekly VTC's have been established between the United Nations Headquarters Umoja Project Office and the mission Site Coordinator, a <b>detailed local development plan</b> was made and shared with the missions, indicating important milestones that are followed strictly by the mission. Weekly tasks pertaining to the local development plan are coordinated by HQ and the mission on a weekly basis through VTC's as well as the Cosmos site (interactive website to enhance communication and information sharing between missions and HQ)
3	UNOCI, in coordination with the United Nations Headquarters Umoja Project	Important	Yes	CMS	Implemented 11/06/2015	The Deployment Coordination Committee will support the mission

<sup>1</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>2</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.

## Management Response

## Audit of the use of the Umoja deployment guide by the United Nations Operation in Cote d'Ivoire

Rec. no.	Recommendation	Critical <sup>1</sup> / Important <sup>2</sup>	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
	Team, should implement a plan to ensure that all members of the local deployment team participate in the Umoja Readiness Workshop for subsequent deployments.					Site coordinator to ensure relevant stakeholders from their Sections will participate in the necessary Umoja readiness workshops
4	UNOCI should assign local process experts to discuss and implement the required change-impact procedures in subsequent deployments of Umoja, and document the impact of the process changes.	Important	Yes	CMS	Implemented 26/05/2015	Two Human Resources LPEs already attended the first training in Entebbe between 11 and 19 June, while the second part of training for the same LPE's will be in August 2015. Two of Travel LPE's were nominated and are scheduled to take the LPE training between 21 and 30 July 2015. Nominations are pending endorsement by DFS.
5	UNOCI, in coordination with the United Nations Headquarters Umoja Project Office, should take steps to ensure that all those involved in user access mapping are adequately trained on user access mapping and that the mapping process is completed with sufficient lead time to ensure that all mapping problems are effectively addressed before the implementation of subsequent deployments of Umoja.	Important	Yes	CMS	by 30 September 2015	The user access mapping coordinator & alternative has been nominated; the adequate training will be done by certified LPE's who are also taking the LPE-T (training of Trainers course). See deployment team list.
6	UNOCI should implement monitoring mechanisms to ensure that all preparatory activities for subsequent deployments of Umoja are performed and documented.	Important	Yes	CMS	Implemented 17/06/2015	Mission will follow the <b>local development plan</b>
7	UNOCI should implement an action plan on receipt of the Umoja benefit realization methodology from the Field Budget and Finance Division to ensure that data needed to quantify the benefits expected to	Important	Yes	CMS	Will be implemented on receipt of methodology from FBFD	UNOCI notes that the Field Budget and Finance Division (FBFD) of the Department of Field Support (DFS) recently concluded a workshop on the re-engineering of Finance Business



APPENDIX I

Management Response

Audit of the use of the Umoja deployment guide by the United Nations Operation in Cote d'Ivoire

Rec. no.	Recommendation	Critical <sup>1</sup> / Important <sup>2</sup>	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
	be realized from implementing Umoja is collected and reported.					Processes based on Umoja Foundation Processes. Standard Operating Procedures (SOPs) are currently being drafted for these processes and will be issued by FBFD. The SOPs will form the basis for defining Key Performance Indicators (KPIs) that will be applied across all Peacekeeping Missions (PKMs). Data collected on these KPIs will be used to quantify the benefits from Umoja Foundation deployment. Therefore quantification of benefits is currently a headquarters responsibility, and this recommendation should be aimed at HQ and not individual missions. Once benefits measures have been decided, and communicated to missions, then missions can track this information.