
The Office needed to further support and monitor the pre-deployment training delivered by troop and police contributing countries, and develop a comprehensive training plan for staff oriented towards their specific learning and development needs.

30 June 2020
Assignment No. AP2019/638/08

EXECUTIVE SUMMARY

The Office of Internal Oversight Services (OIOS) conducted an audit of the Integrated Mission Training Centre (IMTC) in the United Nations Support Office in Somalia (UNSOS). The objective of the audit was to assess the adequacy and effectiveness of: pre-deployment training and capacity building activities provided to personnel of the African Union Mission in Somalia (AMISOM); and staff development and training activities in UNSOS. The audit covered the period from 1 July 2017 to 30 June 2019 and included a review of UNSOS support of pre-deployment training provided to troop and police units in their country of origin, UNSOS’ capacity building support to AMISOM personnel and its planning and implementation of training activities.

UNSOS needed to improve support to the pre-deployment training delivered by AMISOM troop and police contributing countries and enhance coordination with AMISOM in the delivery of capacity building activities. UNSOS also needed to better plan its learning and training activities to ensure they were more effective.

OIOS made seven recommendations. To address issues identified in the audit, UNSOS needed to:

- Enhance its support and monitoring of the pre-deployment training delivered by AMISOM troop and police contributing countries;
- Implement effective coordination mechanisms for AMISOM capacity building activities to ensure an integrated approach;
- Develop a comprehensive annual training plan based on specific learning and development requirements of staff;
- Implement effective procedures for formulating and monitoring training budgets;
- Establish effective measures to ensure completion of mandatory training by all staff;
- Assign clear responsibilities for maintaining accurate and complete records of training activities; and
- Systematically evaluate its learning activities and assess achievement of stated objectives and expected outcomes.

UNSOS accepted the recommendations and has initiated action to implement them.
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I. BACKGROUND


2. Troop and police contributing countries (T/PCCs) of the African Union Mission in Somalia (AMISOM) are responsible for providing pre-deployment training to their troops prior to deployment. The objective of the pre-deployment training is to provide AMISOM personnel with basic understanding of the United Nations’ logistical support arrangements and sensitize them on important issues in the Secretary-General’s Human Rights Due Diligence Policy (HRDDP), such as prevention of sexual exploitation and abuse, conduct and discipline, human rights, and child protection. UNSOS is responsible for monitoring and subsequently providing additional support to ensure that the AMISOM pre-deployment training is conducted in accordance with the United Nations standards.

3. Additionally, in accordance with the Support Implementation Agreement between AMISOM and UNSOS, IMTC is responsible for coordinating capacity building activities based on training needs and priorities identified by AMISOM. The capacity building activities are aimed at enhancing effectiveness of all AMISOM personnel in delivering logistics support and in its service delivery in areas such as property management, aviation safety, logistics, engineering and preventive maintenance.

4. In line with the Organization’s learning and development policy and acknowledging its diverse human resources as its biggest asset, UNSOS management is responsible for implementing training activities for its staff. Learning and development programmes comprise centrally coordinated mandatory programmes to familiarize staff with key rules and processes and to develop core values and managerial competencies; and decentralized programmes to address specific substantive and technical training needs. IMTC coordinates the development and implementation of the consolidated training plan and organizes and delivers training programmes to address specific requirements and learning needs of UNSOS staff. IMTC also provides training to United Nations agencies in Somalia on a cost recovery basis. For the United Nations Assistance Mission in Somalia (UNSOM), IMTC monitors the mandatory training requirements, coordinates and provides cross-cutting, no-cost training to UNSOM staff.

5. IMTC is in the Operations and Resources Management Pillar of UNSOS and is headed by a Chief at the P-4 level and has three international staff and one United Nations volunteer based in Mogadishu. In addition, the Unit has one international staff and two national staff based in Nairobi. The approved training budget of UNSOS for 2017/18 and 2018/19 was $0.9 and $1 million, respectively. The approved budget of UNSOS on the capacity building activities for about 21,000 AMISOM personnel being rotated every six months for 2017/18 and 2018/19 was $2.8 and $2.5 million, respectively.

6. Comments provided by UNSOS are incorporated in italics.

II. AUDIT OBJECTIVE, SCOPE AND METHODOLOGY

7. The objective of the audit was to assess the adequacy and effectiveness of: pre-deployment training and capacity building activities provided to personnel of the African Union Mission in Somalia (AMISOM); and staff development and training activities in UNSOS.
8. This audit was included in the 2019 risk-based work plan of OIOS due to the risks associated with inadequate pre-deployment training and capacity building of AMISOM personnel, and lack of adequate staff development and training activities. These may impact efficient use of available resources, effective job performance and mandate implementation.

9. OIOS conducted this audit from July to November 2019. The audit covered the period from 1 July 2017 to 30 June 2019. Information from subsequent months was also included for comparison purposes where relevant. Based on an activity-level risk assessment, the audit covered higher and medium risks areas which included: a review of capacity building support to the AMISOM troop and police units, pre-deployment training, and planning and implementation of other training activities by IMTC.

10. The audit methodology included: (a) interviews with key personnel, (b) review of relevant documentation, (c) analytical review of data, and (d) sample testing of staff training records using a staff survey on the effectiveness of training activities in UNSOS but received a low response rate of 19 per cent. Results of the survey were used to support audit conclusions and results where appropriate.

11. The audit was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.

III. AUDIT RESULTS

A. Capacity building support to AMISOM

AMISOM’s capacity to deliver pre-deployment training needed to be strengthened

12. Initially, as agreed in the UNSOS compact for delivery of logistical support to AMISOM, UNSOS IMTC staff provided pre-deployment training to AMISOM commanders and officers who were expected to train their troops prior to deployment. In 2017, to further enhance AMISOM’s capacity to deliver pre-deployment training, UNSOS initiated a train-the-trainers programme whereby it trained national facilitators from respective T/PCCs who were in turn expected to deliver the training to T/PCC commanders and officers. Effective February 2018, AMISOM T/PCCs assumed the overall responsibility for conducting pre-deployment training of their contingents.

13. To support the national facilitators, UNSOS prepared and provided T/PCCs with training materials covering the United Nations core pre-deployment training requirements, including content related to HRDDP. Between August 2017 and September 2019, UNSOS trained 300 national facilitators from six of the eight T/PCCs. However, IMTC did not analyze whether this number was enough based on relevant factors, such as the overall number of troops and the average number of T/PCC persons to be trained, taking into consideration the frequency of rotations. They also did not follow-up with the two T/PCCs that had not nominated national facilitators to be trained by UNSOS. UNSOS reports on pre-deployment training showed that 63 per cent of national facilitators delivering the pre-deployment training had not attended the UNSOS train-the-trainers programme. UNSOS advised that this shortfall resulted as those trained were reassigned to other positions. However, in OIOS view, the lack of analyses of the optimal number of facilitators required to deliver the necessary training resulted in the apparent shortfall.

14. To monitor the effectiveness of pre-deployment training sessions, UNSOS, in April 2018, recruited a consultant, who made seven visits to national capitals between January to July 2019 to observe the training conducted by T/PCCs. The consultant reported to UNSOS that T/PCCs did not: (a) allocate sufficient time to programme areas to ensure the required modules were covered; and (b) provide necessary handouts to participants for future reference and knowledge sharing. While IMTC had communicated the
recommendations to the concerned T/PCCs requesting that the observed weaknesses be addressed, it did not follow up to ensure action was taken to improve future training activities. As a result, the same weaknesses were continually observed and reported, impacting on the overall effectiveness of the training. Additionally, UNSOS’ monitoring of the training could be improved. For instance, the checklist that they used to monitor the quality of the training was not designed to adequately capture all areas completed during the training sessions to assess whether information on the United Nations standards were fully delivered. The checklist also did not include details of those military personnel trained such as their name, rank and area of specialty.

15. Further, although the delivery of induction training is a normal practice in United Nations peacekeeping missions to supplement pre-deployment training, the induction training was not effectively delivered in Somalia. This was because of the complex nature of the operation and insecure environment requiring troop deployment to sectors without passing through Mogadishu. This was therefore a lost opportunity for UNSOS to provide additional training to AMISOM uniform personnel, putting even more importance on the need for high-quality pre-deployment training.

16. UNSOS attributed the challenges in monitoring the effectiveness of pre-deployment training to the absence of their authority over AMISOM. Also, there was no requirement for the Department of Peace Operations to review the African Union’s training manuals and formally approve that the programmes delivered were at an acceptable level, which is a condition for those troops/police from T/PCCs being deployed to United Nations peacekeeping missions.

17. Inadequate pre-deployment training increases the risk that uniformed personnel are not adequately prepared or familiar with their responsibilities for ensuring appropriate standards of conduct of contingents, and carrying out human rights, protection of civilians and child protection tasks, thus posing operational and reputational risks. For example, in 2018 and 2019, there were 25 reported cases of violating HRDDP by AMISOM troops, including killing/injuring protected persons and civilians.

| (1) | UNSOS should enhance its support to and monitoring of the pre-deployment training delivered by troop and police contributing countries of the African Union Mission in Somalia by: (a) ensuring an optimal number of national trainers to deliver the training; (b) developing a comprehensive checklist to better capture relevant information on the training conducted and its effectiveness; and (c) systematically following up on implementation of recommendations made to improve the training. |

UNSOS accepted recommendation 1 and stated that the Office would ensure that T/PCCs have national trainers to deliver training, and management would conduct an analysis to determine the optimal number of national trainers. The Office also stated that the monitoring and evaluation methodology and checklist already developed by UNSOS and AMISOM, to recommend and assist T/PCCs in conducting pre-deployment training, would ensure consistency in monitoring, evaluation and analysis of training delivered to T/PCCs, and also assist in identifying gaps and areas for improvement and ultimately provide indicators for areas of training intervention. The Office would also ensure it would continue to send monitoring and evaluation teams to T/PCCs to ensure that training is conducted in accordance with the Secretary-General’s HRDDP and follow-up with AMISOM on the implementation of issued recommendations. Recommendation 1 remains open pending receipt of evidence of the measures taken to strengthen oversight of the pre-deployment training that includes its analysis of optimal number of T/PCC national trainers, a copy of the revised checklist and evidence of follow up on implementation of recommendations.
Need for coordinated capacity building approach between UNSOS and AMISOM

18. UNSOS provided 151 and 83 training and capacity building sessions to 2,834 and 1,807 AMISOM personnel in 2017/18 and 2018/19, respectively. The areas covered included information and communications technology, gender issues, casualty evacuation, aviation operations, movement control and food hygiene. However, there was no systematic methodology for identifying, prioritizing and budgeting for these training and capacity building activities, or for assessing the adequacy and impact of the training delivered. The coordination between AMISOM and UNSOS was also further impacted as, since November 2018, AMISOM did not have an integrated training unit counterpart to work with IMTC. The AMISOM staff responsible had separated in November 2018 and had not been replaced since, despite follow up and involvement of UNSOS senior management.

19. The above impeded a joint approach to training through close coordination and cooperation between AMISOM and UNSOS. As a result, IMTC did not get timely and complete information from AMISOM for the preparation of training plans and budgets, and had to develop the AMISOM capacity building budget based on unsupported estimates. Although a training plan existed, it only stated the broad learning areas and did not include details on location, cost, timing and delivery method. Lack of joint coordination coupled with the absence of a mechanism to assess the impact of training offered to AMISOM personnel impacted the cost-effectiveness of learning and development activities.

(2) UNSOS should, in collaboration with the African Union Mission in Somalia, establish a mechanism and designate focal points to coordinate capacity building activities to ensure an integrated training approach is implemented.

UNSOS accepted recommendation 2 and stated that it had advised AMISOM leadership of the impact of the absence of a full time Head of Training on coordinating capacity building efforts of AMISOM. Through regular meetings with both AMISOM and African Union Headquarters, UNSOS would continue to emphasize the importance of an integrated approach to the coordination of AMISOM training and capacity building, and designating a training focal point to work closely with UNSOS IMTC to ensure more effective coordination of AMISOM training and capacity building activities. Recommendation 2 remains open pending receipt of evidence that a mechanism for coordinating AMISOM capacity building activities has been established, and focal points have been designated.

B. Planning and implementation of staff training activities

The UNSOS training plan was not oriented toward specific learning and development needs

20. To ensure that training priorities are coherently defined and linked to efficient allocation of limited resources, UNSOS is required to develop a comprehensive training plan oriented at equipping its personnel with requisite knowledge, skills and attitudes to enable effective mandate implementation.

21. UNSOS had not conducted a training needs assessment nor gathered relevant training requirements from concerned managers and therefore, its training plans were generic in nature and not based on the identified training requirements or needs of its personnel. The plans only listed general areas such as budget and finance, transport, and human resources, and did not specify the content of the training, target audience, number of staff to be trained, delivery mode/location, and availability of trainers. Also, training courses offered by UNSOS on job-specific skills were not reflected in the plans.

22. Although all relevant records were not readily available, the audit determined that attendance by staff at internal training courses was low, leading to course cancellations. Staff indicated that this was
because the training provided by IMTC was not always relevant to their needs and did not address their specific training requirements. As a result, staff were not attaining the required minimum of five days of training per year, and 33 per cent of the respondents to the survey confirmed this. Further, UNSOS staff based at the sectors outside Mogadishu in Somalia and Mombasa in Kenya did not get the required training opportunities because of a lack of training officers in those locations. The lack of funds and logistical constraints prevented travel to other locations for training.

23. IMTC expressed that they did not have the resources to conduct a comprehensive training needs assessment. However, OIOS was of the view that IMTC could engage with senior management and seek alternative tools and mechanisms for properly identifying staff training needs. For example, in the performance management system, supervisors are required to discuss and identify training needs and skills gaps with their staff and agree on development plans. Additionally, the Integrated Training Service (ITS) in the Department of Peace Operations advised that UNSOS could use other methodologies, such as desk reviews, interviews and focus group discussions to assess training needs.

(3) UNSOS should develop a comprehensive annual training plan based on specific learning and development requirements of staff identified through needs assessment or other appropriate mechanisms.

UNSOS accepted recommendation 3 and stated that it would carry out a comprehensive learning and development needs assessment. Management had developed a training needs planning template which would complement the generic training plan, and it would provide additional information on training priorities and activities. In addition to the Training Needs Assessment tool, management would conduct group discussions and interviews to identify specific requirements to feed into the annual training plans. Efforts would be made for staff members’ performance management documents to include development goals, indicating staff members’ learning and development needs. Recommendation 3 remains open pending receipt of a copy of the results of the training needs assessment and the related annual training plan of the Office.

Training funds were underutilized due to inadequate budget formulation and monitoring

24. To ensure efficient use of available training funds, UNSOS is required to effectively monitor its training budget and IMTC should provide periodic updates to senior management on the use of funds. UNSOS did not have a mechanism to monitor the utilization of the approved training budget, and there was no evidence that IMTC provided periodic updates to senior management on their use.

25. UNSOS training budgets reflected cross-cutting topics identified by the United Nations Headquarters, such as environment and sustainability, conduct and discipline, gender, delegation of authority, and enterprise risk management, as well as training for senior leadership in the Office. However, the training budgets submitted by Section Chiefs were not linked to the overall UNSOS training plan. Also, UNSOS did not properly monitor actual training costs against the approved budget.

26. The absence of a systematic process for formulating and monitoring the training budget could impact efficient use of available resources. UNSOS and AMISOM had a combined under-expenditure of $1.32 and $1.28 million for 2017/18 and 2018/19. Although UNSOS attributed the under-expenditure to the AMISOM capacity building budget, it could not provide a separate breakdown of training costs related to UNSOS and AMISOM because these expenditures were recorded in Umoja under the same account.

(4) UNSOS should implement effective procedures for formulating and monitoring the training budget, including a requirement for the Integrated Mission Training Centre to submit periodic updates to senior management on the use of training funds.
UNSOS accepted recommendation 4 and stated that the ITS tracker and reporting format would enable management to monitor implementation of the training budget and advise managers on budget status. Monthly reports were provided to ITS and would be shared with Pillar Heads and Section Chiefs on a quarterly basis. The monitoring mechanism would enable management to track budgeted and unplanned requirements as well as the recorded activities in Inspira Learning Management System. The new monitoring and tracking mechanism would provide management with updates during regular UNSOS budget meetings. Recommendation 4 remains open pending receipt of evidence that effective budget formulation and monitoring procedures are established, and that senior management is periodically updated on the use of training funds.

Need for effective measures to improve completion of mandatory training

27. The United Nations Secretariat has established several learning programmes that are mandatory for staff to ensure familiarity with key regulations, rules and processes. Mandatory courses also enable developing awareness and equipping personnel with the skills, behaviours and standards of conduct expected of civil servants and military personnel in the performance of their duties. Inspira records as of 31 January 2020 (see chart 1) showed that not all active UNSOS and UNSOM staff completed the nine programmes that all staff members globally must complete regardless of level or function, and only one member of the UNSOS senior management team had completed all mandatory training courses.

Chart 1
Completion of mandatory training in UNSOS and UNSOM

<table>
<thead>
<tr>
<th>Programme</th>
<th>UNSOM</th>
<th>UNSOS</th>
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</thead>
<tbody>
<tr>
<td>Ethics and Integrity at the United Nations</td>
<td>52%</td>
<td>64%</td>
</tr>
<tr>
<td>HIV/AIDS in the Workplace Orientation Programme</td>
<td>50%</td>
<td>65%</td>
</tr>
<tr>
<td>I Know Gender</td>
<td>60%</td>
<td>66%</td>
</tr>
<tr>
<td>Information Security Awareness- Foundational</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Preventing Fraud and Corruption at the United Nations</td>
<td>42%</td>
<td>63%</td>
</tr>
<tr>
<td>Prevention of Sexual Exploitation and Abuse by United Nations Personnel</td>
<td>49%</td>
<td>69%</td>
</tr>
<tr>
<td>Prevention of Sexual Harassment and Abuse by United Nations Personnel -</td>
<td>51%</td>
<td>61%</td>
</tr>
<tr>
<td>Working Harmoniously</td>
<td></td>
<td></td>
</tr>
<tr>
<td>United Nations Human Rights Responsibilities</td>
<td>52%</td>
<td>54%</td>
</tr>
<tr>
<td>BSAFE (New online training)</td>
<td>81%</td>
<td>90%</td>
</tr>
</tbody>
</table>

Source: Inspira as at 31 January 2020

28. In addition to the above programmes, several level- and role-specific mandatory courses were also not completed by all required staff. For example, a review of training records showed that 21 of 106 staff who participated in interview panels during the audit period had not attended the mandatory competency-based interviewing skills training. Also, only 28 per cent of UNSOS and UNSOM staff at the P-5 level and above had completed the mandatory course on Prevention of Sexual Exploitation and Abuse by United Nations Personnel for Managers and Commanders, and only 18 per cent at the D-1 and D-2 level had completed the United Nations Leaders’ Programme.
29. Although UNSOS and UNSOM management sent out broadcasts and dedicated three days to encourage staff to complete mandatory training courses, completion rates did not improve, and management did not introduce effective measures to ensure full compliance. This increased the risk that staff may not be fully conversant with the behaviour and standards of conduct expected and be properly informed of relevant rules and procedures to better perform their functions and to create a healthy work environment.

(5) **UNSOS and AMISOM should establish effective measures, including accountability through the performance management system, to ensure completion of mandatory training by all staff.**

UNSOS accepted recommendation 5 and stated that it had identified compliance with mandatory training as a strategic mission goal for 2019/20 which would continue into 2020/21. Compliance with mandatory training had been linked to approval of official travel for training. An administrative circular requiring mandatory training compliance to be reflected in staff members’ performance appraisal was being finalized. Recommendation 5 remains open pending receipt of evidence of the measures put in place to increase staff completion rate of mandatory training.

### C. Recordkeeping and evaluation of staff training activities

#### Need for adequate recordkeeping to enable evaluation and decision-making

30. To assess effectiveness of training in improving competency and performance gaps, and to enable better planning and decision-making and sharing of lessons learned, UNSOS is required to maintain complete records of all training activities.

31. IMTC did not keep proper training records. Attendance records were available for only 10 per cent of courses held in Mogadishu in 2018/19, and there were no records for planned and actual trainings in Mogadishu in 2017/18. During the audit period, training calendars for Nairobi were missing for 14 of the 24 months. Only 12 evaluation forms from one training course facilitated by IMTC were available. There were also discrepancies between reports submitted to ITS during the audit period and attendance records as follows: (a) IMTC reported that 208 staff had attended the induction training while attendance records showed 249 staff; (b) at least 10 training sessions conducted by the UNSOS Conduct and Discipline Officer were not recorded; and (c) 102 staff attended external training but IMTC did not have the names of staff trained, the courses undertaken or the period of the training. Additionally, while all 15 Section Chiefs interviewed by OIOS acknowledged improvements in staff performance following trainings, such improvements were not documented in the staff performance evaluations.

32. The above happened because IMTC had not assigned clear responsibilities for maintenance of training records, thus limiting senior management’s planning and decision-making capacity to support the preparation of training strategies, plans and budgets. As a result, UNSOS was not able to systematically evaluate training activities and did not have a baseline for assessing the impact of the trainings. Moreover, management did not have reliable and sufficient information to assess whether resources allocated to external and in-house learning and development activities had achieved their intended objectives and improved mandate implementation.

(6) **UNSOS should assign clear responsibilities for maintaining accurate and complete records of all training activities so that reliable information is available for developing future training activities.**
UNSOS accepted recommendation 6 and stated that it agrees on the need for improvement in record keeping of training activities. The new reporting tool would enhance consolidated training reporting capability and provide further information for future training activities. It would also enhance the reporting capability to support consolidated reporting on training statistics. Recommendation 6 remains open pending receipt of details on the new reporting tool that has been implemented to ensure training records are maintained and kept up to date to support future training activities.

(7) UNSOS should implement procedures to systematically evaluate its learning activities and assess achievement of stated objectives and expected outcomes.

UNSOS accepted recommendation 7 and stated that based on lessons learnt from previous training activities, there was room for improvement in the evaluation of training outcomes, outputs and indicators of progress. The evaluation of training and learning initiatives would therefore be revised when normal training activities resume. Recommendation 7 remains open pending receipt of procedures for evaluating training activities and receipt of a sample of evaluation results.

IV. ACKNOWLEDGEMENT

33. OIOS wishes to express its appreciation to the management and staff of UNSOS 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


<table>
<thead>
<tr>
<th>Rec. no.</th>
<th>Recommendation</th>
<th>Critical¹/ Important²</th>
<th>C/ O³</th>
<th>Actions needed to close recommendation</th>
<th>Implementation date⁴</th>
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<tbody>
<tr>
<td>1</td>
<td>UNSOS should enhance its support to and monitoring of the pre-deployment training delivered by troop and police contributing countries of the African Union Mission in Somalia by: (a) ensuring an optimal number of national trainers to deliver the training; (b) developing a comprehensive checklist to better capture relevant information on the training conducted and its effectiveness; and (c) systematically following up on implementation of recommendations made to improve the training.</td>
<td>Important</td>
<td>O</td>
<td>Receipt of evidence of the measures taken to strengthen oversight of the pre-deployment training that includes its analysis of optimal number of T/PCC national trainers, a copy of the revised checklist and evidence of follow up on implementation of recommendations.</td>
<td>June 2021</td>
</tr>
<tr>
<td>2</td>
<td>UNSOS should, in collaboration with the African Union Mission in Somalia, establish a mechanism and designate focal points to coordinate capacity building activities to ensure an integrated training approach is implemented.</td>
<td>Important</td>
<td>O</td>
<td>Receipt of evidence of implemented mechanism for coordination of AMISOM capacity building support.</td>
<td>June 2021</td>
</tr>
<tr>
<td>3</td>
<td>UNSOS should develop a comprehensive annual training plan based on specific learning and development requirements of staff identified through needs assessment or other appropriate mechanisms.</td>
<td>Important</td>
<td>O</td>
<td>Receipt of a copy of the results of the training needs assessment and the related annual training plan of the Office.</td>
<td>December 2020</td>
</tr>
<tr>
<td>4</td>
<td>UNSOS should implement effective procedures for formulating and monitoring the training budget, including a requirement for the Integrated Mission Training Centre to submit periodic updates to senior management on the use of training funds.</td>
<td>Important</td>
<td>O</td>
<td>Receipt of evidence that effective budget formulation and monitoring procedures are established, and senior management is periodically updated on the use of training funds.</td>
<td>December 2020</td>
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</tbody>
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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.

³ Please note the value C denotes closed recommendations whereas O refers to open recommendations.

⁴ Date provided by UNSOS in response to recommendations.
STATUS OF AUDIT RECOMMENDATIONS

<table>
<thead>
<tr>
<th>Rec. no.</th>
<th>Recommendation</th>
<th>Critical¹/Important²</th>
<th>C/O³</th>
<th>Actions needed to close recommendation</th>
<th>Implementation date⁴</th>
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<tbody>
<tr>
<td>5</td>
<td>UNSOS and UNSOM should establish effective measures, including accountability through the performance management system, to ensure completion of mandatory training by all staff.</td>
<td>Important</td>
<td>O</td>
<td>Receipt of evidence of the measures put in place to increase staff completion rate of mandatory training.</td>
<td>December 2020</td>
</tr>
<tr>
<td>6</td>
<td>UNSOS should assign clear responsibilities for maintaining accurate and complete records of all training activities so that reliable information is available for developing future training activities.</td>
<td>Important</td>
<td>O</td>
<td>Receipt of details on the new reporting tool that has been implemented to ensure training records are maintained and kept up to date to support future training activities.</td>
<td>December 2020</td>
</tr>
<tr>
<td>7</td>
<td>UNSOS should implement procedures to systematically evaluate its learning activities and assess achievement of stated objectives and expected outcomes.</td>
<td>Important</td>
<td>O</td>
<td>Receipt of procedures for evaluating training activities and receipt of a sample of evaluation results.</td>
<td>December 2020</td>
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</table>
APPENDIX I

Management Response
Interoffice Memorandum

To: Ms. Eleanor T Burns, Director
   Internal Audit Division, OIOS

From: Amadu Kamara, Director
       UNSOS

Date: 10 June 2020


1. Further to your memorandum reference OIOS-2020-00794 of 22 May 2020, please find attached UNSOS response to the subject audit.

2. We thank you for your continued support to the work of UNSOS.

cc: Ms. Cynthia Avena-Castillo, Professional Practices Section, Internal Audit Division, OIOS
    Mr. David Nyskohus, Acting Special Assistant to USG, OIOS
    Mr. Daeyoung Park, Chief, Peacekeeping Audit Service, Internal Audit Division, OIOS
    Mr. David Kanja, Assistant Secretary-General, O IOS
    Ms. Akpene Madeleine Gaba, Chief Resident Auditor, UNSOS, Internal Audit Division, OIOS
    Mr. Harji Dhindsa, Chief Operations and Resource Management, UNSOS
    Mr. Dolapo Kuteyi, Senior Administrative Officer, UNSOS
    Mr. Patrick Kwabena Kusi Duah, Chief Training Officer, UNSOS
    Ms. Rosalie Piezas, Risk Management & Compliance Officer, UNSOS

UNSOS – Mogadishu - Somalia
CONFIDENTIAL: DRAFT AUDIT RESULTS FOR COMMENTS

AUDIT RECOMMENDATIONS


<table>
<thead>
<tr>
<th>Rec. no.</th>
<th>Recommendation</th>
<th>Critical1/Important2</th>
<th>Accepted? (Yes/No)</th>
<th>Title of responsible individual</th>
<th>Implementation date</th>
<th>Client comments</th>
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| 1       | UNSOS should enhance its support to and monitoring of the pre-deployment training delivered by troop and police contributing countries of the African Union Mission in Somalia by: (a) ensuring an optimal number of national trainers to deliver the training; (b) developing a comprehensive checklist to better capture relevant information on the training conducted and its effectiveness; and (c) systematically following up on implementation of recommendations made to improve the training. | Important            | Yes                | Chief IMTC                     | June 2021           | Management notes the recommendation and seeks to advise the auditors that to enhance support and monitoring of pre-deployment training, management will ensure:  
(a) The TCC/PCCs have national trainers to deliver training in close collaboration with all TCCs/PCCs. Management will conduct an analysis to determine the optimal number of national trainers.  
(b) UNSOS and AMISOM have developed a monitoring and evaluation methodology and checklist to provide T/PCCs with recommendations to assist in conducting PDT to UN standard. The methodology and associated templates will ensure consistency in monitoring, evaluation and analysis of training delivered to T/PCCs. These templates will assist in identifying gaps and areas for improvement and ultimately provide indicators for areas of training intervention. |

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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.
# Audit Recommendations


<table>
<thead>
<tr>
<th>Rec. no.</th>
<th>Recommendation</th>
<th>Critical¹/ Important²</th>
<th>Accepted? (Yes/No)</th>
<th>Title of responsible individual</th>
<th>Implementation date</th>
<th>Client comments</th>
</tr>
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<tbody>
<tr>
<td>2</td>
<td>UNSOS should, in collaboration with the African Union Mission in Somalia, establish a mechanism and designate focal points to coordinate capacity building activities to ensure an integrated training approach is implemented.</td>
<td>Important</td>
<td>Yes</td>
<td>Chief IMTC</td>
<td>June 2021</td>
<td>UNSOS have communicated to AMISOM leadership, the impact of the absence of a full time Head of Training on coordinating capacity building efforts of AMISOM. UNSOS through regular coordination meetings/communication with both AMISOM and AUHQ will continue to emphasise the importance of an integrated approach to the coordination of AMISOM training and capacity building. Management will also stress the importance of designating a training focal point to work closely with UNSOS IMTC to ensure more effective coordination of AMISOM training and capacity building activities.</td>
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<tr>
<td>3</td>
<td>UNSOS should develop a comprehensive annual training plan based on specific learning and development requirements of staff identified through needs assessment or other appropriate mechanisms.</td>
<td>Important</td>
<td>Yes</td>
<td>Chief IMTC</td>
<td>December 2020</td>
<td>UNSOS Management will emplace mechanisms to scope the development of an annual mission training plan by carrying out a comprehensive learning and development needs assessment. Management has developed a training needs planning template which will complement the generic training plan, by providing additional</td>
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<td>4</td>
<td>UNSOS should implement effective procedures for formulating and monitoring the training budget, including a requirement for the Integrated Mission Training Centre to submit periodic updates to senior management on the use of training funds.</td>
<td>Important</td>
<td>Yes</td>
<td>Chief IMTC</td>
<td>December 2020</td>
<td>The DPO/ITS tracker and reporting will enable management to monitor implementation of training budget and advise managers on budget status. Monthly reports are provided to ITS and will be shared with Pillar heads and Section Chiefs on a quarterly basis. The monitoring mechanism will also enable management to track budgeted and unplanned requirements as well as Inspira Learning Management System recorded activities. The new monitoring and tracking mechanism will provide Management with updates during regular UNSOS budget meetings.</td>
</tr>
<tr>
<td>5</td>
<td>UNSOS and UNSOM should establish effective measures, including accountability through the performance management system, to ensure completion of mandatory training by all staff.</td>
<td>Important</td>
<td>Yes</td>
<td>Chief IMTC</td>
<td>December 2020</td>
<td>Management has identified compliance with mandatory training as a strategic mission goal for 2019/2020 and will continue into 2020/2021. Compliance with mandatory training has been linked to approval of official travel for training.</td>
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</tbody>
</table>
AUDIT RECOMMENDATIONS


<table>
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<td>6</td>
<td>UNSOS should assign clear responsibilities for maintaining accurate and complete records of all training activities so that reliable information is available for developing future training activities.</td>
<td>Important</td>
<td>Yes</td>
<td>Chief IMTC</td>
<td>December 2020</td>
<td>Management agrees on the need for improvement in record keeping of training activities. The new reporting tool will enhance consolidated training reporting capability and provide further information for future training activities. This will also enhance the reporting capability to support consolidated reporting on training statistics.</td>
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<td>7</td>
<td>UNSOS should implement procedures to systematically evaluate its learning activities and assess achievement of stated objectives and expected outcomes.</td>
<td>Important</td>
<td>Yes</td>
<td>Chief IMTC</td>
<td>December 2020</td>
<td>Based on lessons learnt from previous training activities, Management agrees that there is room for improvement in the evaluation of training outcomes, outputs, and indicators of progress. The evaluation of training and learning initiatives will therefore be revised when normal training activities resume.</td>
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</tbody>
</table>