



INTERNAL AUDIT DIVISION

REPORT 2018/011

Audit of planning and oversight of training activities in peacekeeping operations

The Departments of Peacekeeping Operations and Field Support needed to enhance the effectiveness of peacekeeping training activities, especially through improving monitoring and evaluation mechanisms

2 March 2018
Assignment No. AP2017/600/02

Audit of planning and oversight of training activities in peacekeeping operations

EXECUTIVE SUMMARY

The Office of Internal Oversight Services (OIOS) conducted an audit of planning and oversight of training activities in United Nations peacekeeping operations. The objective of the audit was to assess the adequacy and effectiveness of governance, risk management and control processes over the planning and oversight of training activities in peacekeeping operations by the Department of Peacekeeping Operations and Department of Field Support (DPKO/DFS). The audit covered the period from July 2015 to December 2016 and included reviews of: training policies and guidelines; peacekeeping training management; pre-deployment training support for uniformed personnel; and planning and monitoring of civilian personnel training.

DPKO/DFS managed the development and delivery of peacekeeping training programmes in accordance with its mandate. This included: reviews and updates of training standards and materials as required; the identification and focus on strategic training priorities; increasing collaboration with the training arms of the United Nations regarding peacekeeping training activities; supporting Member States' pre-deployment training of uniformed personnel; and participation in the ongoing enhancement of the training reporting systems. However, DPKO/DFS needed to enhance monitoring and evaluation of peacekeeping training activities.

OIOS made four recommendations. To address issues identified in the audit, DPKO/DFS needed to:

- Ensure effective operation of the Training Focal Points Network as a key forum for information sharing;
- Enhance the arrangements and tools for monitoring and reporting peacekeeping training activities;
- Enhance the scope of the coverage of the pre-deployment training recognition programme for Member States; and
- Strengthen application and impact evaluations of key training programmes.

DPKO/DFS accepted the recommendations and initiated actions to implement them.

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Audit of planning and oversight of training activities in peacekeeping operations

I. BACKGROUND

1. The Office of Internal Oversight Services (OIOS) conducted an audit of planning and oversight of training activities in United Nations peacekeeping operations.

2. The United Nations deployed approximately 100,400 uniformed personnel from 125 Member States and 16,900 civilian staff to 16 peacekeeping missions as at 31 December 2016. The Organization acknowledges its globally diverse staff as its biggest asset and continuously implements learning and career development initiatives to enhance staff members' professional, managerial and job performance skills necessary to achieve the Organization's mandates.

3. The United Nations Learning and Development Policy (ST/SGB/2009/9) and the Department of Peacekeeping Operations and Department of Field Support's (DPKO/DFS) Policy on Training for all United Nations Peacekeeping Personnel (DPKO/DFS Training Policy) govern training of military, police and civilian peacekeeping personnel.

4. The Integrated Training Service (ITS) of the Division of Policy Evaluation and Training (DPET) is a shared resource between DPKO and DFS responsible for directing and coordinating peacekeeping training activities, which are broadly composed of pre-deployment, induction and ongoing substantive, technical, leadership/management and organizational development training programmes. Member States are responsible for the pre-deployment training of uniformed peacekeeping personnel. ITS is responsible for: (i) developing peacekeeping training standards, policies and guidance materials; (ii) developing and delivering general and mission-specific cross-cutting peacekeeping training; and (iii) monitoring peacekeeping training activities and providing technical support as required. ITS has an authorized staffing level of 35 headed by a Service Chief at D-1 level.

5. DPKO/DFS and field missions recorded an estimated \$34 million for training and related expenditure (against budgets totaling \$47 million) from 1 July 2015 to 30 June 2017, as shown in Table 1.

Table 1: Training expenditure for DPKO/DFS and field missions from 1 July 2015 to 30 June 2017

Details	2016/17		2015/16		Total	
	Expenditure \$'000	Budget \$'000	Expenditure \$'000	Budget \$'000	Expenditure \$'000	Budget \$'000
Official travel, training	8,638	12,713	10,397	12,374	19,035	25,087
Training fees, supplies and services	7,117	9,048	6,603	8,145	13,720	17,193
Training consultants	830	2,635	471	2,278	1,301	4,913
TOTAL	16,585	24,396	17,471	22,797	34,056	47,193
Net unspent budgetary allocation		7,811		5,326		13,137

*Sources: 2016/17 - Umoja Business Intelligence Funds Management Analysis Reports and ITS funding and budget consumption report
2015/16 - Budget Performance Reports*

6. Comments provided by DPKO/DFS are incorporated in italics.

II. AUDIT OBJECTIVE, SCOPE AND METHODOLOGY

7. The objective of the audit was to assess the adequacy and effectiveness of governance, risk management and control processes over the planning and oversight of training activities in peacekeeping operations by DPKO/DFS.
8. This audit was included in the 2016 risk-based work plan of OIOS due to the importance of staff development and training to job performance and mandate implementation.
9. OIOS conducted this audit from March to September 2017. The audit covered the period from 1 July 2015 to 31 December 2016. Based on an activity-level risk assessment, the audit covered higher and medium risk areas in the planning and oversight of peacekeeping training activities by DPKO/DFS, which included reviews of: (a) training policies and guidelines; (b) peacekeeping training management; (c) support for pre-deployment training of uniformed personnel; and (d) planning and monitoring of training of civilian personnel.
10. The audit methodology included: (a) interviews of key personnel including representatives of 11 DPKO/DFS headquarters operational units and chiefs of Integrated Mission Training Centers (IMTCs) in five field missions; (b) reviews of relevant documentation; (c) analytical reviews of data; and (d) testing compliance with mandatory training requirements for a judgmental sample of 152 civilian staff.
11. The audit was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.

III. AUDIT RESULTS

A. Peacekeeping training policies, guidelines and procedures

ITS developed relevant training guidelines and procedures

12. ITS is responsible for developing standardized peacekeeping training policies, guidelines and operating procedures in collaboration with various stakeholders including Member States, national and associated peacekeeping training institutions of Member States and relevant substantive and technical support offices of the United Nations Secretariat. The DPKO/DFS Training Policy requires ITS to review and regularly update training standards to ensure that they remain current and relevant.
13. ITS developed, among others training materials for: (a) core pre-deployment, as well as for specialized topics such as protection mandates, and peacekeeping functions like formed police units; and (b) the DPKO/DFS Guidelines for the Design, Delivery and Evaluation of Training to supplement the DPKO/DFS Training Policy, and a Practical Guide to Peacekeeping Training Evaluation in November 2015. In addition, based on feedback from troop-and police-contributing countries, international and national training centres and IMTCs, ITS had issued supplementary guidelines to amend aspects of the Training Policy to meet the evolving needs of both Member States and field missions.
14. OIOS concluded that DPKO/DFS reviewed and updated training standards and materials as appropriate.

B. Peacekeeping training management

ITS planned and coordinated peacekeeping training activities

15. The DPKO/DFS Training Policy requires ITS to play a strategic and coordinating role among peacekeeping training actors.

16. ITS worked closely with DPKO/DFS Headquarters training focal points and IMTC officers while conducting its core activities through: disseminating peacekeeping related policy and updated guidelines and training materials; guiding the processes for conducting training needs assessments and preparing training plans and budgets; conducting train-the-trainer workshops to develop IMTC staff capacities; liaising with other peacekeeping training service providers; and providing ad-hoc training support on a needs basis to ensure the identification and delivery of strategic and cross-cutting priority peacekeeping training.

17. ITS largely implemented the recommendations of the global training needs assessment it conducted in 2012/13. ITS took advantage of existing multiple sources to identify training needs such as the DPKO annual notification of peacekeeping priorities, mandate reviews, and training strategies advocated by senior mission management including heads of missions, force commanders and police commissioners. In addition, the Training Policy and Standards Team of ITS commenced a targeted training needs assessment survey on in-mission protection of civilians as a strategic cross-cutting priority in 2017.

18. ITS also coordinated the development and delivery of training through its four functional teams and IMTCs. ITS encouraged the increased use of e-learning and mobile training solutions as part of its review of mission training plans and budgets to maintain training costs at sustainable levels while increasing the numbers of personnel trained. ITS collaborated with the Conduct and Discipline Unit of DFS and other stakeholders to develop online versions of the mandatory course on Prevention of Sexual Exploitation and Abuse by United Nations Personnel. Additionally, ITS used the train-the-trainer approach to build internal capacity and set up a pilot Training-the-Trainers Centre in the United Nations Entebbe Support Base.

19. OIOS concluded that ITS managed the development and delivery of peacekeeping training programmes in accordance with its mandate.

ITS collaborated with other United Nations entities engaged in peacekeeping training activities

20. The DPKO/DFS Training Policy advocates coordination among training partners to ensure consistency and quality of training, while avoiding duplication of effort. The report of the High-Level Independent Panel on Peace Operations (HIPPO report) highlighted the significance of training to peace operations, and recommended that the United Nations Secretariat establish stronger global training partnerships.

21. ITS is a member of the Executive Committee of the Member State-led International Association of Peacekeeping Training Centres (IAPTC), comprising approximately 260 national and regional training institutions from 90 countries. The Chief of ITS participated in the 2015 and 2016 IAPTC annual conferences, which provided peacekeeping training practitioners from Member States' national and associated peacekeeping training institutions with a forum to interact and share knowledge and best practices in peacekeeping and crisis management operations. ITS is also a Board Member of the United Nations Institute for Training and Research (UNITAR), which supports the African Contingency Operations Training and Assistance programme, a Member State-led capacity building programme to enhance the military capabilities of African countries. Additionally, ITS supported four training exercises

during the audit period led by a Member State to develop the security expertise of participating African countries.

22. ITS regularly collaborated on its peacekeeping training activities with UNITAR, particularly for uniformed personnel under the thematic area of promoting sustainable peace. Occasionally, ITS collaborated with the United Nations System Staff College for peace and security courses in coordination with other components of DPKO/DFS, and for leadership and management training in coordination with the Office of Human Resources Management (OHRM).

23. OIOS concluded that ITS suitably collaborated with the training arms of the United Nations System and affiliated bodies to coordinate peacekeeping training activities.

The Training Focal Points Network was not active

24. The DPKO/DFS Training Policy requires ITS to develop and maintain training management structures and systems including the Headquarters Training Focal Points (TFP) Network, and information and knowledge management tools such as communities of practice and a Peacekeeping Resource Hub. The TFP Network is intended to be a forum for sharing information on the implementation of peacekeeping training plans across all offices in DPKO and DFS, and a mechanism for collaborating with ITS in planning and implementing job specific or technical peacekeeping training activities. Additionally, TFPs are required to act as focal points on substantive and technical training for their counterparts in peacekeeping missions and to transmit approved priority training needs directly to them.

25. ITS maintained the training section on the DPKO Peacekeeping Resource Hub and controlled access to registered subscribers, which included Member States, peacekeeping training institutions and members of various communities of practice. ITS reviewed the website traffic data to assess its utility and to identify opportunities to improve its reach and usefulness to registered and potential users. The Peacekeeping Resource Hub contained peacekeeping guidance and training materials including: general pre-deployment training materials; specialized topics/function-specific training materials; and links to a comprehensive range of communities of practice covering United Nations peace operations to facilitate knowledge sharing and collaboration on peacekeeping.

26. Although ITS is the secretariat for the TFP Network, it did not convene quarterly meetings of the Network as stipulated by the DPKO/DFS Training Policy. Also, 2 of the 11 Headquarters TFPs interviewed were not aware of the existence of the Network because they had not been adequately briefed. In addition, most of the TFPs did not respond to ITS requests to submit training proposals and recommend training options for their counterparts in field missions as they focused mainly on Headquarters training activities.

27. The insufficient engagement of TFPs increased the risk of inefficient coordination of training activities included in the annual peacekeeping training budget submissions by DPKO/DFS and field offices.

(1) DPKO/DFS should take steps to strengthen the functioning of the Training Focal Points Network by ensuring that Focal Points clearly understand and execute their responsibilities, and meet regularly to collaborate with Integrated Training Service in the planning and implementation of peacekeeping training activities.

DPKO/DFS accepted recommendation 1 and stated that DPET would organize four Training Focal Point Network meetings annually. Recommendation 1 remains open pending receipt of evidence of steps taken to strengthen the functioning of the TFP Network.

Monitoring of training activities

28. The DPKO/DFS Training Policy requires ITS to monitor peacekeeping training activities. The policy further requires ITS to maintain a learning management system for training activities, and a consistent record of training outcomes across peacekeeping operations.

29. ITS, to prepare reports for DPKO/DFS management, Member States, United Nations legislative bodies and other stakeholders, collated monthly peacekeeping training information from missions using spreadsheets. However, although ITS had issued guidance on reporting mission training activities, the information from IMTCs was not always complete, with gaps and anomalies in the data provided by them. For example, one mission with only 959 peacekeeping personnel accounted for 127,353 (or 45 per cent) of the 282,000 peacekeeping training activities recorded during the audit period, and the three largest missions with 57,869 (or 46 per cent) of the total peacekeeping personnel accounted for 74,000 (or 25 per cent) of the training activities. The monthly reporting only included the number of training activities for the month, and not the specific course descriptions to enable ITS to more effectively monitor training delivered against specific training plans.

30. ITS did not also review utilization rates of training budgets. As indicated in Table 1, there were net unspent budgetary allocations of \$13 million, which ITS attributed to possible inaccuracies in the estimates used to prepare training budgets and unplanned changes in training activity levels due to priority changes, procurement delays, logistical challenges and staff movements. ITS advised that mission management was responsible for monitoring the implementation of their respective mission budgets. However, ITS overview of periodic training expenditures could encourage more effective use of allocated budgets and help mitigate the risk of budget reductions in the future due to underutilization.

31. ITS was working in collaboration with the Office of Information and Communications Technology and OHRM to: (i) enhance the Inspira Learning Management System (LMS) features to allow access by uniformed personnel and United Nations volunteers; (ii) record supplementary training information for training programmes conducted outside Inspira; (iii) expand the catalogue of training courses available; and (iv) implement integrated reporting and analytical capabilities. While these initiatives would result in a better training management system, ITS needed to confirm the completeness and accuracy of training information to enhance the effective management of peacekeeping training and reliability of reported data on training activities.

(2) DPKO/DFS should require the Integrated Training Service to monitor the recording and reporting of peacekeeping training activities for consistency, and review monthly reports of training activities against original training plans.

DPKO/DFS accepted recommendation 2 and stated that DPET would continue to monitor the recording and reporting of peacekeeping training activities and enhance its consistency. Recommendation 2 remains open pending receipt of evidence of actions taken to enhance monitoring the consistency of recording and reporting of peacekeeping training activities and to review monthly reports against original training plans.

C. Support of pre-deployment training for uniformed personnel

ITS supported the pre-deployment training of uniformed personnel

32. The United Nations General Assembly resolution 49/37 assigns Member States primary responsibility for the pre-deployment training of uniformed personnel, and requires the United Nations to support Member States by providing the required peacekeeping training standards and guidelines.

33. The strategic force generation process led by the DPKO Strategic Force Generation and Capabilities Planning Cell involves: assessment and advisory visits (AAVs) to evaluate the operational readiness of contributing countries' personnel and units; and pre-deployment visits (PDVs) to ensure that Member States contributions meet the operational requirements and deployment timings of their proposed missions. AAV and PDV teams include ITS representatives to observe the pre-deployment training of uniformed personnel.

34. During the audit period, the Member States Support Team (MSST) in ITS developed specialized training materials for military units and national planners, conducted approximately 17 train-the-trainer capacity building programmes and 10 mobile training team support activities for 18 Member States.

35. However, MSST participation in AAVs and PDVs was limited due to budget and resource constraints, with MSST only attending 7 out of 27 AAVs and none of the PDVs. MSST did however participate in preparatory video/teleconferences prior to the AAVs. The participation of ITS enabled identification of weaknesses in the delivery of pre-deployment training by Member States' training institutions such as: (a) lack of familiarity with the United Nations core pre-deployment and specialized training materials by trainers; and (b) insufficient time allocated to deliver the pre-deployment training programmes. Due to budget constraints, MSST was prioritizing its Member State support activities based on: countries pledging uniformed personnel or specialized capabilities for the first time; major contributors or countries significantly expanding their troop or police unit contributions; countries with special training requirements; and deployments involving the transition of regional or multinational forces into United Nations peacekeeping forces.

36. OIOS concluded that ITS utilized its limited resources as appropriate to support Member States' pre-deployment training of uniformed personnel.

ITS evaluated a limited number of Member States' pre-deployment training programmes

37. The DPKO/DFS Policy on Pre-Deployment Training Support includes official recognition of pre-deployment training programmes conducted by national training centres of Member States and associated peacekeeping training institutions. Such recognition constitutes confirmation by the United Nations that a Member State's pre-deployment training programme conforms to the relevant United Nations pre-deployment training standards.

38. Considering the budget and resource constraints that limited the capacity of ITS to participate in pre-deployment training recognition assessments, AAVs or PDVs, training recognition programmes remain an important tool to provide additional and efficient assurance of the quality and adequacy of pre-deployment training conducted by troop- and police-contributing countries, and Member States compliance with United Nations peacekeeping pre-deployment training standards.

39. ITS conducted 10 training recognition assessment activities in 6 Member States during the period under review, and had issued 67 training recognition certificates as at 31 December 2016. Fifty of these,

which were held by peacekeeping training institutions in 32 Member States, remained valid for the courses specified in Table 2.

Table 2: Status of training recognition certificates as at 31 December 2016

Pre-deployment course	Valid	Renewal scheduled	Expired
Military Observers	18	3	2
United Nations Police	14	1	3
Staff Officers	10	-	1
Protection of Civilians	4	2	-
Civil-Military Cooperation	2	1	-
Child Protection	1	-	-
Military Experts on Mission	1	-	1
United Nations Military Contingents	-	1	2
TOTAL	50	8	9

Source: MSST training recognition certificate statistics

40. Although military contingent personnel comprised 85 per cent of the uniformed personnel deployed as at 31 December 2016, none of the 107 troop contributing countries held a valid training recognition certificate for their military contingent pre-deployment training programmes as at that date. It was not until June 2017 that MSST issued a training recognition certificate to one long-serving major troop-contributing country following its implementation of corrective actions to address procedural deficiencies identified by ITS during a pre-deployment training recognition assessment in November 2016. Two other Member States were yet to initiate the renewal process for their expired contingent military pre-deployment training recognition certificates. Accordingly, OIOS concluded that the training recognition programmes was limited to address the risk of inadequate quality of pre-deployment training of military personnel.

41. According to ITS, this was because it was resourced to conduct eight training recognition visits annually in 2015/16 and 2016/17. Additionally, the voluntary training recognition programme depended on Member States initiating the process by sending requests, through their Permanent Missions to the United Nations, for ITS to assess their training programmes. ITS explained that it therefore compensated by focusing on developing and updating pre-deployment standards for implementation by Member States and conducting train-the-trainer courses and mobile training team visits. ITS also relied on United Nations evaluation and oversight bodies, including in-mission evaluations such as those conducted by force commanders, to identify indicators of noncompliance with mandatory pre-deployment training requirements. Nevertheless, OIOS considers that evaluation and oversight activities typically identify incidences of noncompliance or other shortcomings after the fact, and do not therefore adequately compensate for the preventive nature of pre-deployment training recognition. Also, recognition of military contingents' training courses was much lower than other courses.

(3) DPKO/DFS should take additional steps to enhance the scope of the coverage of pre-deployment training recognition programmes to ensure that they serve as a key tool to enhance Member States' conformity with United Nations pre-deployment training standards.

DPKO/DFS accepted recommendation 3 and stated that DPET would ensure that 25 per cent of annual training recognition assessments are dedicated to Member States' contingent military and police pre-deployment training programmes. ITS would also explore ways to reinforce military and police pre-deployment training assessment mechanisms during its participation in AAVs and PDVs. Recommendation 3 remains open pending receipt of evidence of implementation of these actions.

D. Planning and monitoring of training for civilian staff

Evaluation of impact of training activities was limited

42. The DPKO/DFS Training Policy requires that training be regularly evaluated to ensure maximum impact. The Guidelines on Design, Delivery and Evaluation of Training include sample evaluation templates to assist training officers to design training evaluation forms. Also, in November 2015, ITS issued the Practical Guide to Peacekeeping Training Evaluation to evaluate the effectiveness of training at four levels: reaction, learning, application and impact.

43. A review of 16 training courses showed that whereas participants completed the end of training reaction and learning evaluations, trainers did not conduct the application and impact level evaluations to assess how participants performed after they left the courses. ITS stated that it had used the results of its 2014 evaluation of the Senior Mission Administration and Resource Training to strengthen management aspects of the training. However, ITS explained that it did not have adequate personnel and resources to evaluate the impact of training on job performance, and considered it the responsibility of first reporting officers in the case of United Nations staff. Moreover, the qualitative rather than quantitative nature of expected enhancements to job performance after training did not provide a practical basis for measuring impact assessment. Additionally, high staff turnover in peacekeeping missions including at supervisor level hindered measurement of performance change, and therefore an assessment of the effectiveness and continued appropriateness of the training programmes.

44. As a result, ITS did not have sufficient data to link the application of specific training programmes to their intended objective of enhanced job performance or mandate implementation, and therefore justify the expenditure incurred, or demonstrate the continued appropriateness and sustainability of existing or recurrent training programmes.

(4) DPKO/DFS should develop a plan for Integrated Training Service to conduct application and impact level evaluations for select priority peacekeeping training programmes to assess and enhance their effectiveness.

DPKO/DFS accepted recommendation 4 and stated that DPET would conduct at least two application and impact level evaluations annually for select priority peacekeeping training programmes to assess and enhance their effectiveness. Recommendation 4 remains open pending receipt of the first application and impact level evaluation report.

The rate of civilian staff compliance with mandatory training was low

45. The United Nations has several learning programmes that are mandatory for all staff to familiarize them with key regulations, rules, processes and core values or to enhance managerial competencies. OHRM issues periodic information circulars to inform staff about current mandatory learning programmes, and staff are individually responsible for ensuring their compliance.

46. OIOS reviews of training records indicated that civilian peacekeeping personnel did not generally comply with mandatory training requirements. The overall compliance rate per Inspira LMS statistics as at 28 February 2017 was below 30 per cent as shown in Table 3.

Table 3: Status of mandatory training completion as at 28 February 2017

Training programme	Completion rate
Information-security awareness - foundational	56%
Prevention of workplace harassment, sexual harassment, and abuse of authority in the workplace	37%
Ethics and integrity at the United Nations	36%
Basic security in the field - staff safety, health and welfare training ¹	28%
United Nations human rights responsibilities ²	25%
HIV/AIDS in the workplace orientation programme	17%
I know gender ³	7%
Average completion rate	29%

Source: Inspira Learning Management System

47. The reported low level of compliance with mandatory training requirements based on Inspira LMS was partly attributed to the non-migration of training information for mandatory programmes previously undertaken on other platforms including the Department of Safety and Security Portal for security training, or for which the certificates were uploaded in the Field Support Suite. However, it also reflected the absence of formal monitoring and follow-up of staff compliance with mandatory training requirements to ensure the accuracy and completeness of training data. This increases the risk that mandatory training programme objectives of familiarizing staff members with United Nations regulations, rules, procedures and organizational culture such as gender and human right awareness were not achieved. DPKO/DFS stated that the management of mandatory training requirements was the responsibility of OHRM and not DPKO/DFS.

48. OIOS acknowledges that mandatory training programmes, which include strategic and cross-cutting priority peacekeeping training programmes such as sexual exploitation and abuse, human rights responsibilities and gender awareness, are centrally coordinated and managed by OHRM. Within the broad context of its delegated authority for ensuring the application of human resources management rules, policies and procedures, DFS is also strategically placed to monitor and encourage peacekeeping staff members' compliance with mandatory training requirements. However, OIOS did not make a recommendation on this issue in light of DFS' comments.

IV. ACKNOWLEDGEMENT

49. OIOS wishes to express its appreciation to the management and staff of DPKO/DFS 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

¹ Hosted on the Department of Safety and Security portal, and on Inspira effective 28 January 2013

² Mandatory effective 15 December 2015

³ Mandatory effective 23 August 2016

STATUS OF AUDIT RECOMMENDATIONS

Audit of planning and oversight of training activities in peacekeeping operations

Rec. no.	Recommendation	Critical ⁴ / Important ⁵	C/ O ⁶	Actions needed to close recommendation	Implementation date ⁷
1	DPKO/DFS should take steps to strengthen the functioning of the Training Focal Points Network by ensuring that Focal Points clearly understand and execute their responsibilities, and meet regularly to collaborate with Integrated Training Service in the planning and implementation of peacekeeping training activities.	Important	O	Submission of evidence of actions taken to strengthen the functioning of the TFP Network.	31 March 2019
2	DPKO/DFS should require the Integrated Training Service to monitor the recording and reporting of peacekeeping training activities for consistency, and review monthly reports of training activities against original training plans.	Important	O	Submission of evidence of actions taken to enhance monitoring the consistency of recording and reporting of peacekeeping training activities, and to review monthly reports against original training plans.	31 March 2019
3	DPKO/DFS should take additional steps to enhance the scope of the coverage of pre-deployment training recognition programmes to ensure that they serve as a key tool to enhance Member States' conformity with United Nations pre-deployment training standards.	Important	O	Submission of evidence of proposed actions to enhance the scope of coverage of pre-deployment training recognition programmes (i.e., dedicate 25 per cent of annual training recognition assessments to Member States' contingent military and police pre-deployment training programmes and explore ways to reinforce military and police pre-deployment training assessment mechanisms during ITS' participation in AAVs and PDVs).	30 June 2019
4	DPKO/DFS should develop a plan for Integrated Training Service to conduct application and impact level evaluations for select priority peacekeeping	Important	O	Submission of the first application and impact level evaluation report on the selected priority peacekeeping training programme.	30 June 2019

⁴ 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.

⁵ 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.

⁶ C = closed, O = open

⁷ Date provided by DPKO/DFS in response to recommendations.

STATUS OF AUDIT RECOMMENDATIONS

Audit of planning and oversight of training activities in peacekeeping operations

Rec. no.	Recommendation	Critical ⁴ / Important ⁵	C/ O ⁶	Actions needed to close recommendation	Implementation date ⁷
	training programmes to assess and enhance their effectiveness.				

APPENDIX I

Management Response



UNCLASSIFIED

Immediate

TO: Muriette Lawrence-Hume, Chief, New York Audit Services,
A: Internal Audit Division
OIOS

DATE:

JAN 31 2018

REFERENCE: 2018.UNHQ.AR-BOI.MEMO.36240.2

THROUGH:
S/C DE:

FROM: Lisa Buttenheim, Assistant Secretary-General
DE: for Field Support

A handwritten signature in blue ink, appearing to be 'LH' or similar initials.

SUBJECT: **Draft report on an audit of planning and oversight of training activities in**
OBJET: **peacekeeping operations (Assignment Number: AP2017/600/02)**

1. I refer to your memorandum dated 2 January 2018 regarding the above-mentioned audit. We note that OIOS has taken comments provided earlier into account. We have, however, updated Appendix I to reflect additional comments and the individual responsible for the implementation of the recommendations with the deadline.
2. Thank you for the opportunity to comment on the draft report. We stand ready to provide any further information that may be required.

cc: Cynthia Avena-Castillo

Management Response

Audit of planning and oversight of training activities in peacekeeping operations

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
1	DPKO/DFS should take steps to strengthen the functioning of the Training Focal Points Network by ensuring that Focal Points clearly understand and execute their responsibilities, and meet regularly to collaborate with Integrated Training Service in the planning and implementation of peacekeeping training activities.	Important	Yes	Director, DPET	First quarter of 2019	DPKO and DFS will organize four (4) Training Focal Points Network meetings annually.
2	DPKO/DFS should require the Integrated Training Service to monitor the recording and reporting of peacekeeping training activities for consistency, and review monthly reports of training activities against original training plans.	Important	Yes	Director, DPET	First quarter of 2019	DPKO and DFS will continue monitoring the recording and reporting of peacekeeping training activities and enhance its consistency.
3	DPKO/DFS should take additional steps to enhance the scope of the coverage of pre-deployment training recognition programmes to ensure that they serve as a key tool to enhance Member States' conformity with United Nations pre-deployment training standards.	Important	Yes	Director, DPET	Second quarter of 2019	DPKO and DFS will ensure that 25 per cent of annual training recognitions are dedicated to the Member States' contingent military and police pre-deployment training programmes. DPKO and DFS will explore ways to reinforce military and police pre-deployment training assessment mechanisms during the

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.

Management Response

Audit of planning and oversight of training activities in peacekeeping operations

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
						two Departments' participation in Assessment and Advisory Visits, and Pre-deployment Visits.
4	DPKO/DFS should develop a plan for Integrated Training Service to conduct application and impact level evaluations for select priority peacekeeping training programmes to assess and enhance their effectiveness.	Important	Yes	Director, DPET	Second quarter of 2019	DPKO and DFS will conduct at least two (2) application and impact level evaluations annually for select priority peacekeeping training programmes to assess and enhance their effectiveness.
5	DPKO/DFS should liaise with OHRM to clarify responsibility for monitoring compliance of civilian staff with mandatory training requirements.	Important	N/A	N/A		We trust that the Department of Management will provide its comments on the recommendation.