OIOS

Office of Internal Oversight Services

INTERNAL AUDIT DIVISION

REPORT 2015/158

Audit of the Integrated Mission Training Centre in the African Union-United Nations Hybrid Operation in Darfur

Overall results relating to the effective management of the Integrated Mission Training Centre in the African Union-United Nations Hybrid Operation in Darfur were initially assessed as partially satisfactory. Implementation of four important recommendations remains in progress

FINAL OVERALL RATING: PARTIALLY SATISFACTORY

2 December 2015
Assignment No. AP2015/634/08

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AUDIT REPORT

Audit of the Integrated Mission Training Centre in the African Union-United Nations Hybrid Operation in Darfur

I.   BACKGROUND

1.   The Office of Internal Oversight Services (OIOS) conducted an audit of the Integrated Mission Training Centre (IMTC) in the African Union-United Nations Hybrid Operation in Darfur (UNAMID).

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.   IMTC is responsible for coordinating, developing, implementing and monitoring training activities of civilian staff, military and police in the Mission. IMTC is also responsible for preparing and monitoring the Mission's training plan and budget. The Departments of Peacekeeping Operations and Field Support (DPKO/DFS) training policy for all United Nations peacekeeping personnel governs IMTC activities.

4.   IMTC is headed by a Chief at the P-5 level who reports to the Director of Mission Support through the Deputy Director of Mission Support. As of June 2015, IMTC had 30 authorized posts. The Mission's training budget and IMTC staff costs for 2014/15 was $5.7 million.

5.   Comments provided by UNAMID are incorporated in italics.

II.   OBJECTIVE AND SCOPE

6.   The audit was conducted to assess the adequacy and effectiveness of UNAMID governance, risk management and control processes in providing reasonable assurance regarding the **effective management of IMTC in UNAMID.**

7.   The audit was included in the 2015 risk-based work plan of OIOS because of the operational risks related to management of training activities by IMTC.

8.   The key control tested for the audit was training and development plans. For the purpose of this audit, OIOS defined this key control as the one that provides reasonable assurance that training and development plans exist to ensure that staff skills and competencies are upgraded in accordance with the demands of their job and their professional development needs.

9.   The key control was assessed for the control objectives shown in Table 1. One control objective shown in Table 1 as "Not assessed" was not relevant to the scope defined for this audit.

10.   OIOS conducted this audit in September and October 2015. The audit covered the period from 1 July 2013 to 30 June 2015.

11.   OIOS conducted an activity-level risk assessment to identify and assess specific risk exposures, and to confirm the relevance of the selected key control in mitigating associated risks. Through

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

III.   AUDIT RESULTS

12.   The UNAMID governance, risk management and control processes examined were initially assessed as **partially satisfactory**[1] in providing reasonable assurance regarding the **effective management of IMTC in UNAMID**. OIOS made four recommendations to address the issues identified. UNAMID needed to: (a) integrate the training activities of all Mission components, including training needs assessment, planning, implementation and oversight of the training programme and budget; (b) monitor staff participation in external training courses; (c) ensure staff compliance with mandatory training requirements; and (d) adequately train the staff member responsible for maintaining the database used to record the Mission's training activities.

13.   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.

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**
Effective management of the Integrated Mission Training Centre in UNAMID	Training and development plans	Partially satisfactory	Partially satisfactory	Not assessed	Partially satisfactory
FINAL OVERALL RATING: PARTIALLY SATISFACTORY					

Training and development plans

Need for integrated training activities for all Mission components

14.   The DPKO/DFS Peacekeeping Training Policy requires IMTC to: (a) conduct annual mission training needs assessment, prepare and implement a comprehensive mission training plan; (b) prepare the Mission's consolidated training budget based on inputs from various sections/units and submit it to the Mission's Training Budget Monitoring Committee for review and approval; (c) provide regular updates to senior management on unspent funds; and (d) take an integrated approach, with military, police and other civilian training cells, to develop and implement training programmes to ensure consistency, maximize delivery capacity and avoid duplication of efforts.

15.   A review of the Mission's planning and budgeting process for training indicated that IMTC did not conduct annual training needs assessments and prepare a comprehensive training plan that included external and in-mission training for all components and sections of the Mission. Individual in-mission

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

plans prepared by training officers were not based on needs assessments and did not include all Mission components and mandatory training requirements. UNAMID had also not established a Training Budget Monitoring Committee to review and approve the Mission's training budget, and IMTC did not regularly update senior management on unspent training funds.

16.   The above resulted because UNAMID had not implemented a mechanism to integrate the training activities of all Mission components and to ensure implementation and oversight of its training programme. For example, UNAMID had not assigned training-related responsibility to IMTC for the military and police components, and the security, child protection, and the HIV/AIDS sections. Therefore, these components and sections continued to prepare their respective training plans.

17.   As a result, there was a risk that training activities were not cost-effective and staff members' skills were not upgraded in accordance with the demands of their job and their professional development needs. There was also a risk that the Mission's budget did not accurately reflect the cost of training staff members and that the training programme was not administered in a transparent manner. For example, UNAMID: (a) did not utilize $1.7 million of its $3.8 million budget for 2014/15; (b) spent $298,647 and $415,386 in 2013/14 and 2014/15, respectively, on non-budgeted training activities; and (c) paid for external training courses that could have been provided in-mission to minimize external travel cost.

> **(1) UNAMID should implement a mechanism to integrate training activities for all Mission components, including training needs assessment, planning, implementation and oversight of its training programme and budget.**
>
> *UNAMID accepted recommendation 1 and stated that (a) it established a Budget Sub-Steering Committee for integrated planning, implementation and oversight of UNAMID's training plan and budget; and (b) IMTC conducted a mission-specific training needs assessment and drafted a preliminary report in June 2015. A number of section chiefs were interviewed and their comments would be incorporated into the final report. IMTC would conduct another training needs assessment in June-July 2016 and submit an annual training plan by the end of December 2016.* Recommendation 1 remains open pending receipt of: evidence that UNAMID has implemented a mechanism to integrate its training activities; and its annual training plan.

Need to monitor staff participation in external training courses

18.   UNAMID procedures for staff participation in external training courses require staff members to complete training agreements on how they would share knowledge gained from the training courses with their colleagues and submit copies of certificates or other evidence of completing the training courses to IMTC.

19.   A review of training records for 189 of 636 staff members that attended external training courses during the audit period indicated that 183 staff members did not complete training agreements and submit evidence of course completion. This was because IMTC did not have follow-up and monitoring procedures to ensure staff members complied with established requirements for staff participation in external training courses. As a result, there was a risk of financial loss to the Organization in the event staff members do not attend external training courses funded by the Mission. Further, the Mission may not be able to fully realize the benefits of the knowledge acquired by these participants.

> **(2) UNAMID should implement monitoring procedures to ensure that staff members participating in external training courses complete training agreements and submit relevant evidence of course completion.**

> *UNAMID accepted recommendation 2 and stated that procedures to complete training agreements and submit evidence of course completion were in place within the IMTC Training Application Form. Applicants were reminded of the requirement upon their submission of requests. To better track compliance, IMTC designed a spreadsheet. Recommendation 2 remains open pending receipt of evidence that staff participation in external training courses are in compliance with training agreement.*

Inadequate procedures to ensure staff compliance with mandatory training requirements

20. UNAMID requires all staff to participate in 12 mandatory training programmes, and all staff at P-4 level and above to participate in additional three mandatory courses to familiarize them with relevant United Nations policies and procedures and their work environment.

21. A review of personnel files for 151 new civilian staff that joined the Mission in 2013/14 indicated that there was no evidence that: (a) all 151 staff attended the 12 mandatory courses; and (b) the 53 staff at P-4 level and above attended the additional three mandatory courses. This was because IMTC had not implemented adequate monitoring procedures to ensure that new staff completed all mandatory training courses. As a result, there was a risk that staff members were not familiar with relevant United Nations policies and procedures and fully prepared to handle mission life and work challenges. This presented a further risk of reduced staff productivity and reputational risk for the Organization in the event staff members were engaged in prohibited conduct.

> **(3) UNAMID should implement monitoring procedures to ensure that all staff complete the mandatory training courses and relevant records of such training are maintained.**
>
> *UNAMID accepted recommendation 3 and stated that IMTC would send a broadcast to all Mission staff by the end of November 2015 listing all mandatory courses to be completed by the end of February 2016. The broadcast would also indicate the name of the IMTC staff who would be responsible for receiving the certificates and maintaining records for compliance.* Recommendation 3 remains open pending receipt of evidence that all staff members have completed the mandatory training courses and relevant records of such training are maintained.

Need to have proper database and trained staff to manage training records

22. The DPKO/DFS Peacekeeping Training Policy requires IMTC to maintain a database to record the Mission's training activities.

23. A review of a report generated from the Mission's training database used to record external training activities for fiscal year 2014/15 indicated duplicate entries for 62 of 348 staff members. IMTC attributed this to inadequate training of the staff member responsible for maintaining the database. As a result, IMTC did not have accurate information to ensure effective management of the Mission's training activities.

> **(4) UNAMID should provide adequate training to the responsible staff member on the maintenance of its training database and ensure that the Mission's training activities are accurately recorded and up-to-date.**
>
> *UNAMID accepted recommendation 4 and stated that the responsible Training Assistant attended a database management training in May 2015 and was in the process of designing a new database to improve the accuracy and completeness of training records and to facilitate data retrieval and reporting.* Recommendation 4 remains open pending receipt of evidence of implementation of the

new database and accurate recording of training activities.

IV. ACKNOWLEDGEMENT

24.   OIOS wishes to express its appreciation to the management and staff of UNAMID for the assistance and cooperation extended to the auditors during this assignment.

(*Signed*) David Kanja
Assistant Secretary-General, Acting Head
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STATUS OF AUDIT RECOMMENDATIONS

Audit of the Integrated Mission Training Centre in the African Union-United Nations Hybrid Operation in Darfur

Recom. no.	Recommendation	Critical[1]/ Important[2]	C/ O[3]	Actions needed to close recommendation	Implementation date[4]
1	UNAMID should implement a mechanism to integrate its training activities for all Mission components, including training needs assessment, planning, implementation and oversight of its training programme and budget.	Important	O	Receipt of: evidence that UNAMID has implemented a mechanism to integrate its training activities; and a copy of its annual training plan.	June-July 2016
2	UNAMID should implement monitoring procedures to ensure that staff members participating in external training courses complete training agreements and submit relevant evidence of course completion.	Important	O	Receipt of evidence that staff participation in external training courses are in compliance with training agreement.	December 2015
3	UNAMID should implement a monitoring and follow-up mechanism to ensure that staff members complete all mandatory trainings courses and relevant records of such training are maintained.	Important	O	Receipt of evidence that all staff members have completed the mandatory training courses and relevant records of such training are maintained	28 February 2016
4	UNAMID should provide adequate training to the responsible staff member on the maintenance of the training database and ensure that the Mission's training activities are recorded and up to date.	Important	O	Receipt of evidence of implementation of the new database and accurate recording of training activities.	February 2016

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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] C = closed, O = open

[4] Date provided by UNAMID in response to recommendations.

APPENDIX I

Management Response

Management Response

Audit of the Integrated Mission Training Center in the African Union-United Nations Hybrid Operation in Darfur

Rec. No.	Recommendation	Critical[1]/ Important[2]	Accepted? (Yes/No)	Title of responsible individual	Implementation Date	Client comments
1	UNAMID should implement a mechanism to integrate its training activities for all Mission components, including training needs assessment, planning, implementation and oversight of its training programme and budget.	Important	Yes	Chief IMTC Training / Budget Assistant	June-July 2016	With regards to the integrated planning, implementation and oversight of UNAMID's training plan and budget, the Mission has established a Budget Sub-Steering Committee (attachment 1) in lieu of the training Budget Monitoring Committee as promulgated in the DPKO/DFS Training Policy. With regards to the training needs assessment, to supplement the Global Training Needs Assessment of 2013 (in effect until 2016), the IMTC conducted a mission-specific TNA and drafted a preliminary report (attachment 2) in June 2015. In addition, a number of Section Chiefs were interviewed and their comments will be incorporated into the final report. As a matter of routing practice all sections and components have expressed their training needs during the FY2016-17 budget exercise. The IMTC will conduct another mission specific TNA in June-July 2016 and submit an Annual Training Plan by end of December 2015.
2	UNAMID should implement monitoring procedures to ensure that staff members participating in external training courses complete training agreements and submit relevant evidence of course completion.	Important	Yes	Training Assistants Training Officers	December 2015	Procedures to complete training agreements and submit evidence of course completion are already in place within IMTC's Training Application Form. Applicants are being reminded of the requirement upon their submission of requests. To better track compliance the IMTC has designed an excel sheet (attachment 3)
3	UNAMID should implement a monitoring and follow-up mechanism to ensure that staff members complete all mandatory trainings courses and relevant records of such trainings are	Important	Yes	Training Assistants	February 28, 2016	IMTC will send a broadcast to Mission staff by the end of November 2015, listing all Mandatory courses to be completed within three months (end of February 2016). The broadcast will also indicate the staff member within IMTC who will be responsible for receiving the certificates and maintaining the records for compliance.

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[1] 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.

[2] 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 Integrated Mission Training Center in the African Union-United Nations Hybrid Operation in Darfur

Rec. No.	Recommendation	Critical[1]/ Important[2]	Accepted? (Yes/No)	Title of responsible individual	Implementation Date	Client comments
	maintained.					IMTC will request CITS assistance to register mission uniformed personnel and UNVs without direct access to course catalogue in INSPIRA for self-enrolment.
4	UNAMID should provide adequate training to the responsible staff member on the maintenance of the Microsoft Access database and ensure that the Mission's training activities are recorded and up to date.	Important	Yes	Training Assistant (National)	February 2016	Training Assistant in charge of the database attended database management training in May 2015 (attachment 4). He is designing a new database to improve the accuracy of completeness of the training records and to facilitate data retrieval and reporting.