



Office of Internal Oversight Services

INTERNAL AUDIT DIVISION

AUDIT REPORT

Integrated Mission Training Centre in UNMIS

UNMIS Integrated Mission Training Centre needs to improve work plan implementation and monitoring staff attendance of induction training

26 February 2010

Assignment No. AP2009/632/07

United Nations  Nations Unies

INTEROFFICE MEMORANDUM

MEMORANDUM INTERIEUR

OFFICE OF INTERNAL OVERSIGHT SERVICES · BUREAU DES SERVICES DE CONTRÔLE INTERNE

INTERNAL AUDIT DIVISION · DIVISION DE L'AUDIT INTERNE

TO: Mr. Jasbir Lidder,
A: Principal Deputy Special Representative of the Secretary-
General
United Nations Mission in Sudan

DATE: 26 February 2010

FROM: Fatoumata Ndiaye, Director
DE: Internal Audit Division, OIOS

REFERENCE: IAD: 10- 00105

Fatoumata

SUBJECT: **Assignment No. AP2009/632/07 - Audit of Integrated Mission Training Centre in UNMIS**
OBJET:

1. I am pleased to present the report on the above-mentioned audit.
2. Based on your comments, we are pleased to inform you that we will close recommendations 2 and 6 in the OIOS recommendations database as indicated in Annex 1. In order for us to close the remaining recommendations, we request that you provide us with the additional information as discussed in the text of the report and also summarized in Annex 1.
3. Please note that OIOS will report on the progress made to implement its recommendations, particularly those designated as high risk (i.e., recommendation 3) in its annual report to the General Assembly and semi-annual report to the Secretary-General.

cc: Mr. Farid Zarif, Chief of Staff, UNMIS
Mr. Nicholas von Ruben, Director of Mission Support, UNMIS
Ms. Heather Landon, Chief Administrative Services, UNMIS
Mr. Samuel Abashe, Chief IMTC, UNMIS
Mr. Swatantra Goolsarran, Executive Secretary, UN Board of Auditors
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INTERNAL AUDIT DIVISION

FUNCTION

“The Office shall, in accordance with the relevant provisions of the Financial Regulations and Rules of the United Nations examine, review and appraise the use of financial resources of the United Nations in order to guarantee the implementation of programmes and legislative mandates, ascertain compliance of programme managers with the financial and administrative regulations and rules, as well as with the approved recommendations of external oversight bodies, undertake management audits, reviews and surveys to improve the structure of the Organization and its responsiveness to the requirements of programmes and legislative mandates, and monitor the effectiveness of the systems of internal control of the Organization” (General Assembly Resolution 48/218 B).

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EXECUTIVE SUMMARY

Audit of Integrated Mission Training Centre in UNMIS

OIOS conducted an audit of the Integrated Mission Training Centre (IMTC) in United Nations Mission in Sudan (UNMIS). The overall objective of the audit was to assess the adequacy and effectiveness of training provided by IMTC. The audit was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.

The UNMIS IMTC has put in place systems and procedures to ensure adequate training is provided to Mission staff. Additionally, efforts have been made to integrate the police and military components in the training provided. The audit found that the following areas need to be strengthened:

- A training need assessment was not systematically carried out to determine the training requirements of Mission staff as per DPKO guidelines, and to ensure staff are given opportunities to attend training that meets their specific needs.
- There was no follow-up mechanism to ensure staff members attended the mandatory induction training and therefore, there was a risk that staff were not adequately prepared to meet the challenges of mission life.
- Training evaluation information provided by course participants was not further processed and analyzed to ensure improvements to future training programmes.

OIOS made recommendations to address the issues identified during the audit and to further improve the services provided by the Integrated Mission Training Centre.

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I. INTRODUCTION

1. The Office of Internal Oversight Services (OIOS) conducted an audit of the Integrated Mission Training Centre (IMTC) in the United Nations Mission in Sudan (UNMIS). The audit was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.
2. IMTC is a Unit in UNMIS comprising civilian, police and military training personnel sharing facilities and resources to meet the training needs of Mission's staff. The IMTC operational structure is based on a decentralized framework, with the central office located in Khartoum and regional offices in Juba for the southern region and Kadugli, Ed Damazin and El Obeid for the northern region.
3. IMTC is responsible for oversight, coordination and delivery of training to Mission staff. This includes identification of training needs and proposed solutions to meet those needs, management of the training budget, coordination of training and delivery of courses.
4. The training programmes are primarily geared to upgrading of substantive and technical skills. The areas of training also encompass peace mediation, security sector reform, disarmament, demobilization and reintegration, public information, UN police and military activities, protection and Mission support functions, among others.
5. For the Fiscal year 2008/2009, \$2.2 million was budgeted for training, out of which, \$1.64 million (75 per cent) was utilized.
6. DPKO has issued guidelines to IMTCs in field missions to assist in the implementation of their training programmes. The Standardized Generic Training modules for peacekeeping are followed during induction training. The UN Integrated Training Service established in DPKO sets standards, develops policies and provides guidance to IMTCs.
7. Comments made by UNMIS are shown in *italics*.

II. AUDIT OBJECTIVES

8. The main objectives of the audit was to assess the adequacy and effectiveness of the services provided by IMTC and more specifically to:
 - (a) Ensure compliance with DPKO policies and procedures; and
 - (b) Assess whether IMTC has developed and implemented its annual work plan to meet the training needs of the Mission.

III. AUDIT SCOPE AND METHODOLOGY

9. The audit examined records, documents and reports pertaining to IMTC for the fiscal year 2008/2009, as well as current practices. Audit activities included
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meetings and interviews with management and key personnel in IMTC and review of relevant documents. Field visits were made to IMTC regional offices in Juba, Kadugli and Ed Damazin.

IV. AUDIT FINDINGS AND RECOMMENDATIONS

A. Training work plan

Training needs assessment and evaluation

10. The DPKO draft Policy on Training for UN Peacekeeping Personnel states that in order to ensure peacekeeping training operations are linked to strategic and operational priorities, all DPKO-led Missions shall identify and approve Mission-specific training needs, which shall supplement the peacekeeping training approved by DPKO. The Policy states that every year, the mission training needs assessment and evaluation of the previous year's training shall be submitted to the Mission's senior management team and shall be used to determine high level training priorities.

11. OIOS found that, although the training plan is compiled from inputs submitted by section heads, IMTC did not keep adequate documentation to show that a Mission-wide training needs assessment was performed to systematically determine the training needs of the Mission. There were also no evaluations done, which is referred to below, in respect of previous year's training programmes to learn lessons and enhance future trainings.

12. The lack of a formal documented training needs assessment and training evaluations may result in insufficient and ineffective training delivery to Mission staff. IMTC informed OIOS that while they have been using an informal process to carry out training requirements, it agreed that the process could be improved.

Recommendation 1

(1) The UNMIS Office of Mission Support should ensure that the Integrated Mission Training Centre conducts and documents a mission-wide training needs assessment, taking into consideration lessons learned from previous years, in compliance with the draft DPKO Policy on Training for United Nations Peacekeeping Personnel.

13. *The UNMIS Office of Mission Support accepted recommendation 1 and stated that in the absence of formal instructions and policy from DPKO on Training Needs Assessment (TNA), UNMIS IMCT has employed three major mechanisms to generate training; namely (i) consultation with Section/Unit Chiefs on their staff's learning and development requirements;(ii) Office of Human Resource Management (OHRM) recommended and mandatory courses for the upgrading of substantive and technical skill; and (iii) development plans extracted from staff development goals in e-PAS submissions. Moreover, the*

evaluation of the previous year work plan has often been an agenda for consideration at the IMTC yearly retreat, and IMTC considers gaps and endeavors to provide solutions accordingly. Recommendation 1 remains open pending the implementation of a mission-wide training needs assessment in compliance with the draft Policy on Training for UN Peacekeeping Personnel.

Implementation and monitoring of training work plan

14. For the fiscal year 2008/2009, an annual training work plan comprising of 173 courses was developed by IMTC after consultation with the various sections and units. The audit noted that out of the 173 budgeted for and approved courses, 133 courses (77 per cent) were carried out.

15. IMTC explained that 40 planned courses were not implemented due to poor planning by the respective sections which forwarded their training requirements based on outdated training calendars of training institutions. As a result 16 planned external courses were not attended. Also, the lack of capacity within IMTC meant that 24 internal courses could not be implemented.

16. Cancellation of planned and budgeted courses may lead to ineffective use of budgeted resources and non-achievement of the Mission objectives towards upgrading the skills of staff to enhance work performance.

Recommendation 2

(2) The UNMIS Office of Mission Support should monitor the Integrated Mission Training Centre's annual work plan in order to ensure resources budgeted for training are used effectively.

17. *The UNMIS Office of Mission Support accepted recommendation 2 and stated that there are mechanisms in place for monitoring the IMTC training work plan through the submission of monthly reports to the Director of Mission Support and posting of a half yearly sections training performance report. Based on the action taken by IMTC, recommendation 2 has been closed.*

Integrated distance learning programme

18. The Learning and Development Policy of the UN indicates online learning as one of the ways in which staff can enhance their skills. For the fiscal year 2008/2009, an amount of \$55,858 was prepaid by IMTC to purchase a license for the integrated distance learning online programme from United Nations Institute for Training and Research (UNITAR)/Peace Operations Training Institute to cater for 2,592 national staff and United Nations Volunteers (UNVs). The package purchased was for 22 courses per person.

19. As at November 2009 only 228 staff (8.7 per cent) registered for the online training programme; 145 national staff enrolled on 250 courses but only 65 courses were completed, and 83 UNVs registered for 186 courses, and only 54 courses were completed. IMTC should have determined the number of staff

interested in the online distance learning programme and enroll them accordingly instead of purchasing a license for over 2,500 staff.

20. OIOS suggested to the Mission that the lack of monitoring of the online distance learning programme has resulted in the Mission not getting value for money. The Mission informed OIOS that the concept of Integrated Distance Learning Programme (IDL P) dictates that missions buy group licenses regardless of actual numbers enrolling and completing the programme. Since most of the IDLP clients are based in the regions and sectors where internet connectivity is a challenge and staff access to computers is limited, the resultant effect is usually one of frustration and reluctance to complete courses. However, for 2009/2010, IMTC was able to renegotiate with UNITAR to purchase a license for 500 mission personnel. A needs assessment and evaluation of the entire online programme is being embarked upon to determine the effectiveness of the programme.

B. Training delivery and attendance

Attendance of induction training

21. Induction training is designed to ensure UN personnel are familiar with the operating and employment environment specific to their assigned post or location. Induction training is mandatory for all staff joining the Mission. IMTC offered a weekly induction programme for all staff, with the police and military having extra sessions for specialized courses relevant to their needs.

22. During the fiscal year 2008/2009, the Mission's Check-in Unit informed OIOS that 2,294 persons checked into the Mission. The IMTC monthly reports on induction training indicated that 1,982 persons including the police and military attended the mandatory induction training, leaving 312 personnel that did not attend. Within the same period, 43 national staff recruited in the southern regional office in Juba did not attend induction training, although IMTC put in place mechanisms to offer the training.

23. IMTC did not have a mechanism to systematically follow up to ensure all staff attended the mandatory induction training. IMTC explained that some of those that attended the induction training may not have signed the attendance records and another reason for non-attendance by national staff could be that they were immediately sent to team sites on completion of the check-in process.

24. Failure to attend induction training may result in the risk that staff members are not adequately prepared for the challenges of mission life.

Recommendation 3

(3) The UNMIS Office of Mission Support should institute a monitoring mechanism to ensure that all new staff members undergo the mandatory induction training programmes so that they are adequately prepared for the challenges of mission life.

25. *The UNMIS Office of Mission Support accepted recommendation 3 and stated that IMTC in consultation with the Human Resources Check-in Unit is developing a strategy to monitor compliance with mandatory induction training. Recommendation 3 remains open pending verification of the system established to monitor compliance with mandatory training.*

Training of trainers

26. Training of trainers (TOT) is essential to improve and update training impartation, communication, presentation and interactive skills of internal trainers in IMTC. Records indicated that a number of TOT courses were undertaken for staff trainers in the Civilian Training Cell. However, in the Police Training Cell, only the Chief undertook a TOT, and in the Military Training Cell, no TOT was undertaken.

27. IMTC has acknowledged this short fall and agreed to undertake more TOT courses internally for police and military fulltime trainers.

Recommendation 4

(4) The UNMIS Office of Mission Support should ensure more police and military training personnel undertake training for trainers courses in order to develop the training capacity in the Mission.

28. *The UNMIS Office of Mission Support accepted recommendation 4 and stated that the IMTC faced the challenge of establishing and maintaining regular TOT for uniform personnel as these categories of personnel have relatively short duration of tour of duty. Nevertheless, the IMTC will take actions to ensure that the military and police participate in the TOT organized on a regular basis. Recommendation 4 remains open pending confirmation that more opportunities are available for police and military to attend TOT programmes.*

C. Training evaluation and feedback

Internal training

29. OIOS noted that there was no formal mechanism of processing evaluation data for courses offered by IMTC. Summarized comments and recommendations for improvement made by the various course participants were not extracted from course evaluation sheets. Moreover, there were no standardized training evaluation forms and evaluation criteria leading to inconsistencies in evaluation criteria. Also, for external consultants engaged by IMTC, information was not made available to OIOS that they were evaluated on training provided.

30. Lack of systematic evaluation of training conducted may mean that lessons have not been learned in order to improve future trainings. Moreover, without formally evaluating external training consultants poor performers may be re-engaged.

Recommendation 5

(5) The UNMIS Office of Mission Support should standardize evaluation forms for the courses internally organized by the Integrated Mission Training Centre, and ensure there is a process to analyze feedback provided to improve future training programmes.

31. *The UNMIS Office of Mission Support accepted recommendation 5 and advised that IMTC is now using a standardized evaluation for all internally organized programmes. These evaluations are periodically reviewed and analyzed. Moreover, evaluations of training activities are shared as and when necessary with the concerned Sections. Furthermore, IMTC sends out monthly reports to the DMS indicating all training activities.* Recommendation 5 remains open pending verification of the procedures implemented by IMTC to ensure feedback is used to improve future training programmes.

External training

32. According to the IMTC guidelines and procedures for approval of training applications, it is required that prior to departure for external training, a Post Training Agreement form be completed and signed by the supervisor and staff member concerned, describing how the learning gained from the training programme will be shared with colleagues in their respective sections. Upon return, a copy of the certificate and a written report is to be submitted to IMTC.

33. A review of files for 30 out of 217 staff that had gone for external training in 2008/2009 showed that Post Training Agreement forms were not signed and that the written reports on training undertaken were not submitted to IMTC. As a result there is no feedback given on skills acquired on external trainings.

Recommendation 6

(6) The UNMIS Office of Mission Support should ensure that staff attending external training sign a Post Training Agreement form and submit written reports about the training undertaken.

34. *The UNMIS Office of Mission Support accepted recommendation 6 and stated that the policy of signing Post Training Agreements has been streamlined and disseminated to staff on 11 February 2010.* Based on the action taken, recommendation 6 has been closed.

D. Integration Mechanism

35. According to the DPKO draft policy on Training for UN Peacekeeping and Personnel, IMTC should take an integrated approach to training. The audit noted that there was no Mission guideline to explain the concept of an integrated approach to training to Police, Military and Civilian components.

36. The lack of integration guidelines may result in uncoordinated training activities and hence inefficiencies.

Recommendation 7

(7) The UNMIS Office of Mission Support should develop guidelines to ensure the concept of integrated training approach in UNMIS is clear and roles and responsibilities of all those involved are clearly defined.

37. *The UNMIS Office of Mission Support accepted recommendation 7 and stated that DPKO is promoting greater linkages between the different Mission components, and has already developed a draft policy directive to guide missions on integration and is presently awaiting approval and circulation. Recommendation 7 remains open pending receipt of a copy of the draft DPKO policy directive on the integrated training approach in missions.*

V. ACKNOWLEDGEMENT

38. We wish to express our appreciation to the Management and staff of UNMIS for the assistance and cooperation extended to the auditors during this assignment.

STATUS OF AUDIT RECOMMENDATIONS

Recom. no.	Recommendation	Risk category	Risk rating	C/O ¹	Actions needed to close recommendation	Implementation date ²
1	The UNMIS Office of Mission Support should ensure that the Integrated Mission Training Centre conducts and documents a mission-wide training needs assessment, taking into consideration lessons learned from previous years, in compliance with the draft DPKO Policy on Training for United Nations Peacekeeping Personnel.	Strategic	Moderate	O	Confirmation of the mission-wide training needs assessment.	June 2010
2	The UNMIS Office of Mission Support should monitor the Integrated Mission Training Centre's annual work plan in order to ensure resources budgeted for training are used effectively.	Operational	Moderate	C	Action taken.	Implemented
3	The UNMIS Office of Mission Support should institute a monitoring mechanism to ensure that all new staff members undergo the mandatory induction training programmes so that they are adequately prepared for the challenges of mission life.	Operational	High	O	Verification of the system established to monitor compliance with mandatory training programmes.	September 2010
4	The UNMIS Office of Mission Support ensure more police and military training personnel undertake training for trainers courses in order to develop the training capacity in the Mission.	Operational	Moderate	O	Confirmation that more opportunities are available for police and military to attend TOT programmes.	Not provided
5	The UNMIS Office of Mission Support should standardize evaluation forms for the courses internally organized by the Integrated Mission Training Centre, and ensure there is a process to analyze feedback provided to improve future training programmes.	Operational	Moderate	O	Verification of the procedures implemented by IMTC to ensure feedback is used to improve future training programmes.	Not provided
6	The UNMIS Office of Mission Support	Operational	Moderate	C	Action taken	Implemented

Recom. no.	Recommendation	Risk category	Risk rating	C/O ¹	Actions needed to close recommendation	Implementation date ²
7	<p>should ensure that staff attending external training sign a Post Training Agreement form and submit written reports about the training undertaken.</p> <p>The UNMIS Office of Mission Support should develop guidelines to ensure the concept of integrated training approach in UNMIS is clear and roles and responsibilities of all those involved are clearly defined.</p>	Operational	Moderate	O	Receipt of guidelines on the integrated training approach in UNMIS.	February 2010

1. C = closed, O = open
2. Date provided by UNMIS in response to recommendations.