



INTERNAL AUDIT DIVISION

OFFICE OF INTERNAL OVERSIGHT SERVICES

AUDIT REPORT

Capacity building at UNAMA

6 July 2007

Assignment No. AP2006/630/01

United Nations  Nations Unies

INTEROFFICE MEMORANDUM

MEMORANDUM INTERIEUR

INTERNAL AUDIT DIVISION · DIVISION DE L'AUDIT INTERNE

OIOS · BSCI

TO: Mr. Tom Koenigs
A: Special Representative of Secretary-General
UNAMA

DATE: 6 July 2007

REFERENCE: AUD-7-5:9 (07- 00325)

FROM: Dagfinn Knutsen, Director
DE: Internal Audit Division, OIOS

SUBJECT: **Assignment No. AP2006/630/01: Audit of capacity building at**
OBJET: **UNAMA**

1. I am pleased to present the report on the above-mentioned audit, which was conducted from October to November 2006.

2. Based on your comments, all recommendations will remain open in the OIOS recommendations database. In order for us to close these recommendations, we request that you provide us with the additional information as discussed in the text of the report and summarized in Annex 1.

3. Please note that OIOS will report on the progress made to implement its recommendations, particularly those designated as critical (i.e., recommendations 1, 2, 4, 7 and 11), in its annual report to the General Assembly and semi-annual report to the Secretary-General.

4. IAD is assessing the overall quality of its audit process and kindly requests that you consult with your managers who dealt directly with the auditors and complete the attached client satisfaction survey form.

cc: Mr. Philip Cooper, Director, ASD/DPKO
Mr. Takahisa Kawakami, Chief of Staff, UNAMA
Ms. Cecilia McGill, Officer-in-Charge, Administration UNAMA
Mr. Swatantra Goolsarran, Executive Secretary, UN Board of Auditors
Mr. Jonathan Childerley, Chief, Oversight Support Unit, Department of Management
Mr. Byung-Kun Min, Programme Officer, OIOS
Mr. Iswari Bhattarai, Chief Resident Auditor, UNAMA

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

Capacity building at UNAMA

OIOS conducted an audit of capacity building in the United Nations Assistance Mission in Afghanistan (UNAMA) in October and November 2006. The main objectives of the audit were to ascertain the adequacy and efficiency of capacity building programme/activities and to determine the effectiveness of programme implementation. The audit was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.

OIOS identified several areas that the Mission needs to address to improve its capacity building activities:

- There was no comprehensive capacity development programme even though UNAMA had conducted some capacity building activities from the inception of the Mission. UNAMA focused on capacity building and created a Capacity Development Task Force (CDTF) to develop specific strategy and comprehensive plans only at the beginning of 2006.
- UNAMA did not assign a staff member to develop capacity building strategy and plans.
- The UNAMA Training Section did not have a database to maintain training and development records in accordance with the Civilian Training Section guidelines. There was no system by which the Training Section could send certificates of course completion to the Personnel Section for placement in the staff member's personnel files. After Action Reports (AAR) were also not properly maintained.
- There was no control mechanism for ensuring equitable training opportunities for all staff members. On-the-job training, as a part of capacity building, was not systematic, regularized or tailored based on specific procedures.
- UNAMA had not produced an annual training and development report.
- The electronic performance appraisal system (e-PAS) had never been implemented in UNAMA. Furthermore, UNAMA had not established the Management Review Committee (MRC) and Joint Monitoring Committee (JMC) in line with sections 11 and 12 of ST/AI/2002/3.
- UNAMA had not distributed the annual DPKO civilian Staff Development Catalogue to all staff members to enable them to apply for development activities and to assist them in identifying training and development goals for inclusion in their Performance Appraisal Work Plan.

- The monitoring and evaluation system was not effective in ensuring compliance with the requirements of the project implementation agreement (PIA) with regard to capacity building projects funded by the Afghanistan Emergency Trust Fund .

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I. INTRODUCTION

1. OIOS conducted an audit of capacity building in the United Nations Assistance Mission in Afghanistan (UNAMA) in October and November 2006.

2. The Security Council's Resolution No. 1401 (2002) established UNAMA with the mandate and structure laid out in the report of the Secretary-General (S/2002/278). One of the basic operating principles as specified in the Secretary-General's report is that UNAMA should aim to bolster Afghan capacity (both official and non-governmental), relying on as limited an international presence and on as many Afghan staff as possible, and using common support services where possible, thereby leaving a light expatriate "footprint". It was also expected that all United Nations actors would make a transition to a predominant reliance on qualified national personnel, including women, from all ethnic groups, and initiate internal capacity-development activities to achieve that end. The Security Council's Resolution No. 1662 (2006) recognizes the interconnected nature of the challenges in Afghanistan, and affirmed that sustainable progress on security, governance and development, as well as the cross-cutting issue of narcotics control which necessarily involves capacity building, are mutually reinforcing.

3. The mandate also envisaged that a training element be established to promote and develop skills in areas ranging from English language to vehicle and communications equipment servicing, with a view to enable the mission to make maximum use of local capacities. UNAMA had established a Training Section and regularly appropriated funds towards this end. Table 1 shows UNAMA's training budgets and expenditures from 2004 to 2006, which aimed at building the capacity of staff members.

Table 1: Training Budget and Expenditures

| | 2004 | 2005 | 2006 |
|-----------------|-------------|-------------|-------------|
| Appropriation | 745,000 | 525,000 | 573,055 |
| Allotment | 644,000 | 420,400 | 573,100 |
| Expenditures | 376,829 | 676,934 | 211,975 |
| Surplus/deficit | 267,171 | -256,534 | 361,125 |

Notes: 1) Biennium budget of 2004/2005 has a total surplus of \$10,637 even though there was a deficit of \$256, 534 in 2005.

2) 2006 expenditures are as of the end of October 2006.

4. UNAMA also administered some programmes under the Afghanistan Emergency Trust Fund (AETF-II), which were targeted toward building individual as well as institutional capacity in different sectors of Afghanistan. The Programme Unit, under the supervision of the Director of Institutional Development and Governance, and the broader vision of the DSRSG for Relief, Recovery and Rehabilitation, had programmed \$15.2 million of the AETF-II fund, which represented the remaining multi-donor contributions to OCHA that were later transferred to UNAMA for programming, especially in the areas of capacity building, information management, disaster preparedness and response, and programme support and management.

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5. Comments made by UNAMA are shown in *italics*.

II. AUDIT OBJECTIVES

6. The major objectives of the audit were to assess:
- (a) The adequacy and efficiency of capacity building programme activities; and
 - (b) The effectiveness of programme implementation.

III. AUDIT SCOPE AND METHODOLOGY

7. The audit covered the period from 1 January 2004 to August 2006. The auditors reviewed relevant policies and guidelines; examined documents and records on a sample basis; interviewed programme officials; and analyzed relevant statistics, which were directly linked to capacity building of human resources.

IV. AUDIT FINDINGS AND RECOMMENDATIONS

A. Capacity development strategy and plan

Lack of comprehensive capacity development plan

8. UNAMA did not develop a capacity development strategy in a timely manner nor did it prepare comprehensive plans in consonance with the operational strategy of the given mandate. Although UNAMA had conducted some capacity building activities from the beginning of its establishment, these activities were not properly documented and were not reflected as part of the comprehensive capacity development programme. The Training Section operating from the inception of the Mission concentrated only on conducting and/or coordinating some training held in-house and abroad.

9. Only since the beginning of 2006, did UNAMA focus on capacity building by creating a Capacity Development Task Force (CDTF) to develop a specific strategy and comprehensive plan. The CDTF adopted a resolution on capacity building focusing on capacity development of its national and international staff members. It also decided to support the roll-out of a national UNV programme as one of the means to build national capacity and encourage a fruitful exchange of skills and ideas across functions and initiatives. Accordingly, UNAMA developed a plan for National UN Volunteers (NUNVs) for UNAMA-Afghanistan in 2006 in order to comply with its mandate and to strengthen the Afghan ownership of the peace process. The plan proposed that the Mission would need to provide strong support to the national actors involved and to

increase its efforts to rely on national staff to ensure a long-term approach to the building of Afghan human capital capacity. The proposed on-the-job training programme for National UN Volunteers, who would change the image of the Mission through the “Afghanization” of its several substantive posts, was considered part of this strategy. Under this plan, the NUNVs would gradually assume many of the core activities of the Mission, and their continuous, on-the-job training with UNAMA, was intended to prepare them to provide future leadership in their organizations and communities regarding the pending issues of the peace process, starting with the benchmarks of the Afghanistan Compact. In OIOS’ opinion, this proposal for building capacity of national staff members who would join governmental institutions in the long-run to run their offices is a commendable strategic decision made by UNAMA.

10. The NUNVs proposal was based on previous successful experiences of programmes carried out by the United Nations Verification Mission in Guatemala that ended in November 2004, and the National UN Volunteers scheme, which was set up in 2002 in Afghanistan. The latter scheme had provided 378 Afghan nationals to serve in the development of their country, most of them in projects supporting the elections, including voter registration and support of a project to enhance capacity building of the Central Bank.

11. However, at the time of the audit UNAMA was still searching for a donor/funding agency for the proposed NUNVs programme. The timeline to start the project as outlined by the proposal was the beginning of September 2006. Since no further programmes to support the UNAMA resolution on capacity building had been prepared, OIOS has no assurance that the capacity development programme mandated by the Security Council will be successfully implemented by UNAMA.

Recommendation 1

(1) The UNAMA Administration should develop a comprehensive capacity development programme detailing the targeted number of individuals to be trained in specified areas and relevant timeframes, and establish benchmarks to periodically monitor and evaluate the progress made.

12. *The UNAMA Administration accepted recommendation 1 and stated that its implementation is progress. The Mission added that all UNAMA sections/offices are required to provide their inputs to the capacity development programme. Recommendation 1 remains open pending receipt of a copy of the comprehensive capacity development programme.*

Need to designate an official responsible for the development of the capacity building strategy and implementation of plans

13. UNAMA did not assign a staff member dedicated to developing the capacity building strategy and plans and advising UNAMA management on the issues related to staff capacity development. Such responsibilities would include assessing the needs and requirements of the individuals, units and organizations

concerned, and ensuring the implementation of the programmes and plans set forth by the UNAMA Task Force that was established to develop a strategy and prepare the proposal. In OIOS' opinion, the Task Force cannot be expected to assume these responsibilities and provide for continuity in the follow-up action for successful implementation of the plan. The Chief of the Training Section had been given responsibility primarily for training activities, but not as the focal point for overall capacity building activities. OIOS therefore believes that unless the specific and overall responsibility is assigned to a responsible official, capacity building activities, as an operating principle of the Mission's mandate, cannot be assured.

Recommendation 2

(2) The UNAMA Administration should designate a responsible official to serve as a dedicated capacity development officer, responsible for advising UNAMA management on the refinement of the capacity building strategy as appropriate, developing comprehensive plans and programmes, and implementing them effectively and efficiently.

14. *The UNAMA Administration accepted recommendation 2 and stated that it would designate a responsible official.* Recommendation 2 remains open pending receipt of documentation from UNAMA designating a responsible official to serve as a dedicated capacity development officer.

B. Civilian staff training manual and SOP

15. Capacity building refers to activities that improve an organization's ability to achieve its mandate or a person's ability to define and realize his/her goals or to do his/her job more effectively. For individuals, capacity building may relate to leadership development, advocacy skills, training/speaking abilities, technical skills, organizing skills, and other areas of personal and professional development. Accordingly, UNAMA's staff members may also perceive development opportunities in the broadest sense, including formal UN training courses, external courses, computer-based and interactive learning, self-study, on-the-job learning, coaching and mentoring, and taking on developmental assignments.

16. Staff training is considered as one of the important tools for developing the capacity of an individual. Having an appropriate staff training strategy, manuals and standard operating procedures would have a significant impact on the achievement of the desired capacity building objectives.

Harmonization of the training programme with UNAMA's training strategy and policies

17. Due to the absence of a clearly articulated training strategy, it was not possible to assess training activities and their outcomes against the training goals and objectives. Annual training programmes were formulated based on the

recommendations made by different Section Chiefs. The Training Section did not have a valid basis to evaluate whether the proposed training programmes were in accordance with the training strategies and policies. Further, there were no systems to assess the linkage and evaluate the achievements of specific training with capacity building programme. Moreover, the Training Section and Budget Section had done little to further those recommended programmes, except to hold back some of them on the grounds that there were resource constraints. In OIOS' opinion, every training activity should be linked with the overall training strategy and policy, and each Section/Regional Office should have their own capacity building programme, which should be harmonized with the overall capacity development programme of the Mission.

Recommendation 3

(3) The UNAMA Administration should: develop a comprehensive civilian staff training and development plan consistent with the overall capacity building strategy, based on which the contributions made by individual training sessions of the capacity building programme may be evaluated; and formulate training policies and programmes accordingly.

18. *The UNAMA Administration accepted recommendation 3 but stated that one of the obstacles in implementation of the strategy is the absence of manpower in the training area.* Recommendation 3 remains open pending receipt of a copy of the comprehensive civilian staff training and development plan.

C. Retention of training and development database

Training and development database not kept up-to-date

19. The UNAMA Training Section did not have a database to maintain training and development records in accordance with the Civilian Training Section guidelines. It is essential that records are kept up-to-date for individuals and that copies of Certificates of Completion are placed in each staff member's personnel file. There is currently no system or procedure for the Training Section to send certificates of completion to the Personnel Section for placement in the staff members' personnel files. In the absence of an appropriate database, the Training Section could not use past training-related activities for planning, monitoring and evaluation purposes. Because of these lapses, the Training Section could not monitor whether a staff member had participated in a similar type of training course. As a result, staff members may repeat the same or similar courses.

Recommendation 4

(4) The UNAMA Administration should develop a comprehensive database for the retention of training and development records, and ensure that certificates of

completion for staff members attending the training are placed in the staff members' personnel files.

20. *The UNAMA Administration accepted recommendation 4 and explained that the Mission will decide on the contents of the database in order to produce the required reports and that the Communications and Information Technology Section will be involved in the creation of this database. Recommendation 4 remains open pending receipt of documentation from UNAMA showing the creation of comprehensive database for the retention of training and development records, and filing of staff members' certificates of completion for trainings they attended in their personnel record.*

D. Training activities and annual report

After Action Reports not properly maintained

21. The UNAMA Training Section could not provide OIOS with an overview of the status of After Action Reports (AARs) that are required to be submitted by staff members after attending training sessions outside the Mission area. We were informed that the Training Section had only received five AARs from 2004 to the date of our inquiry. In 2005, the CAO issued an information circular in this respect (IC83/2005) and a reminder on 8 November 2006. However, without the proper monitoring and follow-up by the concerned unit, many of the training participants were reluctant to submit the AARs.

22. The main purpose of the AAR is to provide feedback on a training event that allows the Training and Personnel Sections, and the relevant Chief of Section or Head of Unit to become familiar with the training process, the staff member's participation, and the outcome of the training. It also allows for an evaluation of the level of knowledge gained by the staff member and the benefit to the Mission.

Recommendation 5

(5) The UNAMA Administration should make the submission of an After Action Report by each staff member participating in training outside the mission compulsory, and the Training Section should use these reports for evaluating the effectiveness of the training provided, as feedback for future training plans.

23. *The UNAMA Administration accepted recommendation 5 and stated that an AAR template will be created to show the evaluation of training provided by supervisors, section chiefs, or heads of offices. Recommendation 5 remains open pending receipt of documentation from UNAMA showing the requirement for each staff member participating in training outside the mission to submit an After Action Report and the Training Section's subsequent use of these reports to evaluate the effectiveness of the training provided.*

24. OIOS surveyed UNAMA staff through the use of a questionnaire in order to assess the effectiveness of training activities, including on-the-job training, and also to obtain the staff's overall view on the capacity building programme. Only 10.5 per cent of the staff (8 of 76 staff members surveyed) responded to the survey. Two of the responding staff members had never attended a training event, whereas one staff member had attended five in-house training events and another one 3 times. Sixty-seven per cent of the respondents who attended training stated that the knowledge gained was very relevant and beneficial to the performance of their jobs. Furthermore, 83 per cent of those who attended training responded that they had imparted skills through informal meetings and by providing training materials to their colleagues/assistants.

On-the-job training not systematic or effective

25. On-the-job training as a part of capacity building, was found to be unsystematic, irregular and not tailored to specific procedures. About 75 per cent of the staff members responding to OIOS questionnaire indicated that there was no system for holding periodic meetings with staff members as a part of on-the-job training to help them to discharge their functions effectively. The same percentage of staff members also responded negatively on the question of whether senior managers imparted skills regularly to help them accomplish their jobs in an efficient manner. However, three respondents were of the view that the senior staff were imparting skills as and when required. We were informed in the sections chiefs' meetings that section chiefs had been imparting skills, as a part of on-the-job training, by disseminating information, providing copies of related documents, and giving instructions to their subordinates as required.

Recommendation 6

(6) The UNAMA Administration should develop, as part of the capacity building initiative, procedures to impart skills to subordinate staff members through on-the-job training in a systematic and regular manner to help improve their efficiency to accomplish their jobs effectively.

26. *The UNAMA Administration accepted recommendation 6 and stated that the Administration and the Personnel and Training Sections will properly implement the e-PAS.* In OIOS' opinion, the implementation of e-PAS could not provide the recommended on-the-job training system to impart skills to subordinate staff. Recommendation 6 remains open pending receipt of documentation from UNAMA showing the development and implementation of systematic and regular on-the-job training procedures.

27. Regarding the question of whether the present arrangement of internal and external training was being facilitated by UNAMA as part of capacity building, most of the respondents were of the view that training opportunities should be provided based on a proper assessment of needs, giving higher priority to the staff members who work in Regional Offices, and also to those who had not attended training. Some of the staff members in Regional Offices did not know about the existence of external training facilities. One of the respondent

suggested that the Training Section should have a site on the UNAMA intranet, where budgeted and non-budgeted training plans and links to accredited online and distance learning universities could be posted. Training-related materials should also be posted in that site, since the current arrangement of sharing this information through the UNAMA shared drive is very slow and sometimes not applicable for the staffs in the regions.

Annual training and development report not prepared

28. The annual training and development report is to be produced at the end of each financial year by the Mission in accordance with the instructions issued by the Civilian Training Section, Personnel Management and Support Service. It is essential that UNAMA capture training and development data during the year in order to be ready to produce progress reports whenever required. As of the date of the audit, UNAMA had not produced an annual training and development report. However, the Training Section was updating the CAO on the training activities that have taken place during the past month, and the CAO included training figures and information in his monthly report to DPKO Headquarters.

Recommendation 7

(7) The UNAMA Training Section should ensure that the annual training and development report is produced at the end of each financial year in accordance with the instructions issued by the Civilian Training Section/Personnel Management and Support Service.

29. *The UNAMA Administration accepted recommendation 7 and explained that an annual training and development report will be produced in January 2008.* Recommendation 7 remains open pending receipt of a copy of the annual training and development report.

E. Compliance with DPKO Human Resources Handbook and other instructions

UNAMA failed to implement e-PAS since its inception

30. The electronic performance appraisal system (e-PAS) has never been implemented by UNAMA although the Civilian Training Section, PMSS/ASD/OMS/DPKO has conducted the training in UNAMA on this subject in August 2003.

31. The e-PAS is a key building block in the human resources management framework, as it provides a basis for making decisions on placement and promotion, career development, contractual status, retention of service and for holding staff members accountable for achieving specific goals. The e-PAS also strengthens links to continuous learning and career development.

Recommendation 8

(8) The UNAMA Administration should take immediate steps to implement the e-PAS in the mission and ensure that all staff members receive proper training on how to use the e-PAS.

32. *The UNAMA Administration accepted recommendation 8 and explained that formal training and mini-workshops on e-PAS and competency-based performance management have been completed in March 2007 for over 500 staff members. Recommendation 8 remains open pending receipt of documentation from UNAMA showing that the e-PAS has been implemented at the Mission.*

Management Review Committee and Joint Monitoring Committee not formed

33. UNAMA did not establish a Management Review Committee (MRC) and Joint Monitoring Committee (JMC) in line with sections 11 and 12 of the Administrative Instruction ST/AI/2002/3 and the DPKO Human Resources Handbook. In the absence of an MRC, the head of the Mission is not in a position to ensure that the objectives of the PAS are achieved. The PAS requires providing leadership and guidance on the linkage of work plans with the staff member's section goals, setting performance standards at the beginning of the performance period, promoting on-going dialogue between staff and supervisors, ensuring consistent and fair performance appraisal and providing input into other managerial issues such as training requirements, recruitment, etc. Moreover, the procedures for reviewing statistical information by JMC on PAS implementation which was to be provided by the Chief, Civilian Personnel Officer were not complied with, in the absence of a JMC and the non-implementation of e-PAS within the Mission.

Recommendation 9

(9) The UNAMA Administration should establish the Management Review Committee and Joint Monitoring Committee in the Mission in line with the DPKO Human Resources Handbook and the UN Headquarters Administrative Instruction.

34. *The UNAMA administration explained that the Personnel Section has prepared an information circular to be sent to all heads of departments to constitute the Management Review Committee but did not specifically mention whether or not it has accepted recommendation 9. Recommendation 9 remains open pending receipt of documentation from UNAMA showing that the Management Review Committee and Joint Monitoring Committee have been established in the Mission.*

Civilian Staff Development Catalogue and Training Newsletter were not made available to staff members

35. UNAMA had not distributed the annual DPKO Civilian Staff Development Catalogue to all staff members. The catalogue is intended to inform staff members on how to apply for development activities and to assist them in identifying training and development goals for inclusion in their PAS Work Plans. It should be mentioned that since e-PAS had never been implemented in the Mission, the staff members did not know how to connect their personal goals and objectives with their Unit's and in a broader sense with the Organizations' goals and objectives. They also could not identify those training and development opportunities to be included in their Performance Appraisal Work Plan. OIOS was informed that the Training Section did not receive the Staff Development Catalogue or the quarterly PMSS Training Newsletters, which were to be distributed to the DPKO Missions through the Missions' training focal point.

Recommendation 10

(10) The UNAMA Administration should obtain a copy of the Civilian Staff Development Catalogue and ensure that is disseminated to all staff members to enable them to apply for development activities and to assist them in identifying training and development goals for inclusion in their Performance Appraisal Work Plan.

36. *The UNAMA Administration accepted recommendation 10 and stated that it will request the Integrated Training Service and Career Development Unit at HQ to regularly send UNAMA a copy of the Staff Development Catalogue.* Recommendation 10 remains open pending receipt of documentation from UNAMA showing the dissemination of the Civilian Staff Development Catalogue to all UNAMA staff.

F. AETF capacity building sector

37. UNAMA had launched some programmes under the Afghanistan Emergency Trust Fund (AETF), which were aimed at building individual and institutional capacity in different sectors of Afghanistan. Out of the total funding provided (\$15.2 million), UNAMA had programmed \$6,426,937 to cover capacity development-related costs for 32 projects.

38. OIOS was provided a list showing the overall status as of 31 December 2005 of those capacity building projects funded from AETF. Seven project accounts were cleared and liquidated, and 10 accounts were neither cleared nor liquidated even though the projects were completed. The remaining 15 projects were still ongoing as of the reporting date.

Ineffective monitoring and evaluation system

39. Out of a total of 32 AETF capacity building sector projects, OIOS selected five projects (4008, 4053, 4064, 4005, 4048 and 4018) for review and found the monitoring and evaluation system to be ineffective in ensuring compliance with the requirements of the project implementation agreement (PIA). Table 3 below shows some instances of such lapses.

Table 3: Non-compliance with requirements for monitoring and evaluation of projects

| Project # | Remarks |
|---------------------------|---|
| 4008 and 4064 | Progress report missing |
| 4064, 4053, 4048 and 4018 | UNAMA did not prepare evaluation report. |
| 4064, 4048 and 4018 | Self evaluation by implementation partner not done |
| 4008,40053 and 4048 | Monitoring not done by the Programme Unit while the projects were in progress |

40. The project's periodic reports serve as feedback to the Mission to properly control the projects and provide advice to the implementing partners as required. Monitoring and evaluation need to be carried out for all projects during their life cycles. Both activities are needed to (a) provide adequate feedback to the office on the overall direction and activities, including the immediate outcomes, and (b) subsequently evaluate the impact of the project.

Recommendation 11

(11) The UNAMA Deputy SRSG for Relief, Recovery and Rehabilitation should ensure that the programme unit concerned visits the projects during the implementation phase and after completion, for monitoring and evaluation purposes, and make it compulsory that reports be prepared for such monitoring visits and evaluations.

41. *The UNAMA Administration accepted recommendation 11 and explained that in the past, the monitoring and evaluation of projects were done, but considering the limited number of programme staff, regional projects will be monitored and evaluated mostly by the staff of the Deputy SRSG for Relief, Recovery and Rehabilitation in the relevant field offices while national projects will be monitored and evaluated by the programme unit staff.* OIOS observed that many projects were implemented in previous years, which were monitored and evaluated by the Project Support Unit staff. Considering the limited number of projects during this period, OIOS believes that the Programme Support Unit can conduct site visits of ongoing projects. Recommendation 11 remains open pending receipt of a copy of monitoring and evaluation reports on capacity building projects funded from the Afghanistan Emergency Trust Fund.

V. ACKNOWLEDGEMENT

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

STATUS OF AUDIT RECOMMENDATIONS

| Recom. no. | C/O ¹ | Actions needed to close recommendation | Implementation date ² |
|------------|------------------|--|---|
| 1 | O | Submission to OIOS of a copy of the comprehensive development programme | In progress |
| 2 | O | Submission to OIOS of documentation designating a responsible official to serve as a dedicated capacity development officer | Not provided |
| 3 | O | Submission to OIOS of a copy of the comprehensive civilian staff training and development plan | August-September 2007 |
| 4 | O | Submission to OIOS of documentation showing the creation of comprehensive database for the retention of training and development records and filing of staff members' certificates of completion for trainings they attended in their personnel record | Throughout the year (2007) |
| 5 | O | Submission to OIOS of documentation showing the requirement for each staff member participating in training outside the mission to submit an After Action Report and the Training Section's subsequent use of these reports to evaluate the effectiveness of the training provided | Throughout the year (2007) |
| 6 | O | Submission to OIOS of documentation showing the development and implementation of systematic and regular on-the-job training procedures | Throughout the year (2007) |
| 7 | O | Submission to OIOS of a copy of the annual training and development report | January 2008 |
| 8 | O | Submission to OIOS of documentation showing that the e-PAS has been implemented in the Mission | Throughout the year (2007) |
| 9 | O | Submission to OIOS of documentation showing that the Management Review Committee and Joint Monitoring Committee have been established in the Mission | Not provided |
| 10 | O | Submission to OIOS of documentation showing the dissemination of the Civilian Staff Development Catalogue to all UNAMA staff | Depends on frequency of issuance of catalogue |
| 11 | O | Submission to OIOS of a copy of monitoring and evaluation reports on capacity building projects funded from the Afghanistan Emergency Trust Fund | Done and will be continued upon liquidation of AETF |

¹ C = closed, O = open

² Date provided by UNAMA in response to recommendations

UNITED NATIONS



OIOS Client Satisfaction Survey

Audit of: Capacity building at UNAMA

(AP2006/630/01)

| | 1 | 2 | 3 | 4 | 5 |
|--|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| By checking the appropriate box, please rate: | Very Poor | Poor | Satisfactory | Good | Excellent |
| 1. The extent to which the audit addressed your concerns as a manager. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. The audit staff's understanding of your operations and objectives. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. Professionalism of the audit staff (demeanour, communication and responsiveness). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 4. The quality of the Audit Report in terms of: | | | | | |
| • Accuracy and validity of findings and conclusions; | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • Clarity and conciseness; | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • Balance and objectivity; | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • Timeliness. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 5. The extent to which the audit recommendations were appropriate and helpful. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 6. The extent to which the auditors considered your comments. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Your overall satisfaction with the conduct of the audit and its results. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Please add any further comments you may have on the audit process to let us know what we are doing well and what can be improved.

Name: _____ Title: _____ Date: _____

Thank you for taking the time to fill out this survey. Please send the completed survey as soon as possible to:
 Director, Internal Audit Division, OIOS
 By mail: Room DC2-518, 2 UN Plaza, New York, NY 10017 USA
 By fax: (212) 963-3388
 By E-mail: iad1support@un.org