
Preparation and Approval of Peacekeeping Mission Training Budget Proposals: Quick Reference Guide

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Division of Policy, Evaluation and Training - DPKO & DFS

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1. Purpose

This Quick Reference Guide (QRG) provides guidance on the preparation, coordination and submission of the annual peacekeeping training budget by missions. Its aim is to ensure that there is a common understanding of the budgetary process at UNHQ as well as in missions and prevent errors usually made by training budget focal points in the preparation and submission of the budgets.

2. Scope

This Guide is prepared for Chiefs of Integrated Mission Training Centres (IMTCs) and Mission Training Focal Points as well as Chiefs of Military Training Cells and Police Training Coordinators of field missions of the Department of Peacekeeping Operations (DPKO) and Department of Field Support (DFS). It is also useful for other mission trainers and training focal points of other units that submit budgets for training of staff and personnel. In missions where there is no IMTC or Training Unit, the designated Training Focal Point (TFP) shall use this Guide as baseline for the preparation of training budget submissions.

3. Background

Since training is a strategic tool to enable United Nations peacekeepers to successfully implement mandates and ensure the safety and security of personnel in the volatile environments in which they operate, it is imperative that the Chiefs of IMTCs understand the comprehensive training budget process for achievement of mandate implementation. This is in line with the result of the mission training needs assessment, Mission Training Plans (MTPs), DPKO/DFS priorities and other initiatives included in the report of the High-level Independent Panel on Peace Operations, the related Secretary-General's implementation report and the report on the external review of the UN Police Division. This practical guide will equip IMTCs and Training Focal Points (TFPs) with a tool for understanding training budget submission process and can be used to support and coordinate the preparation of training budget by other relevant components.

4. Roles and Responsibilities

Field Training Support Team (FTST), Integrated Training Service (ITS): Outlines the process by which UN peacekeeping training is identified, prioritised and is to lead to the planning, development, budgeting, delivery and evaluation of training to meet strategic and mission level needs. Also indicates the Strategic Priorities on the guidance on the annual training budget proposals to be submitted.

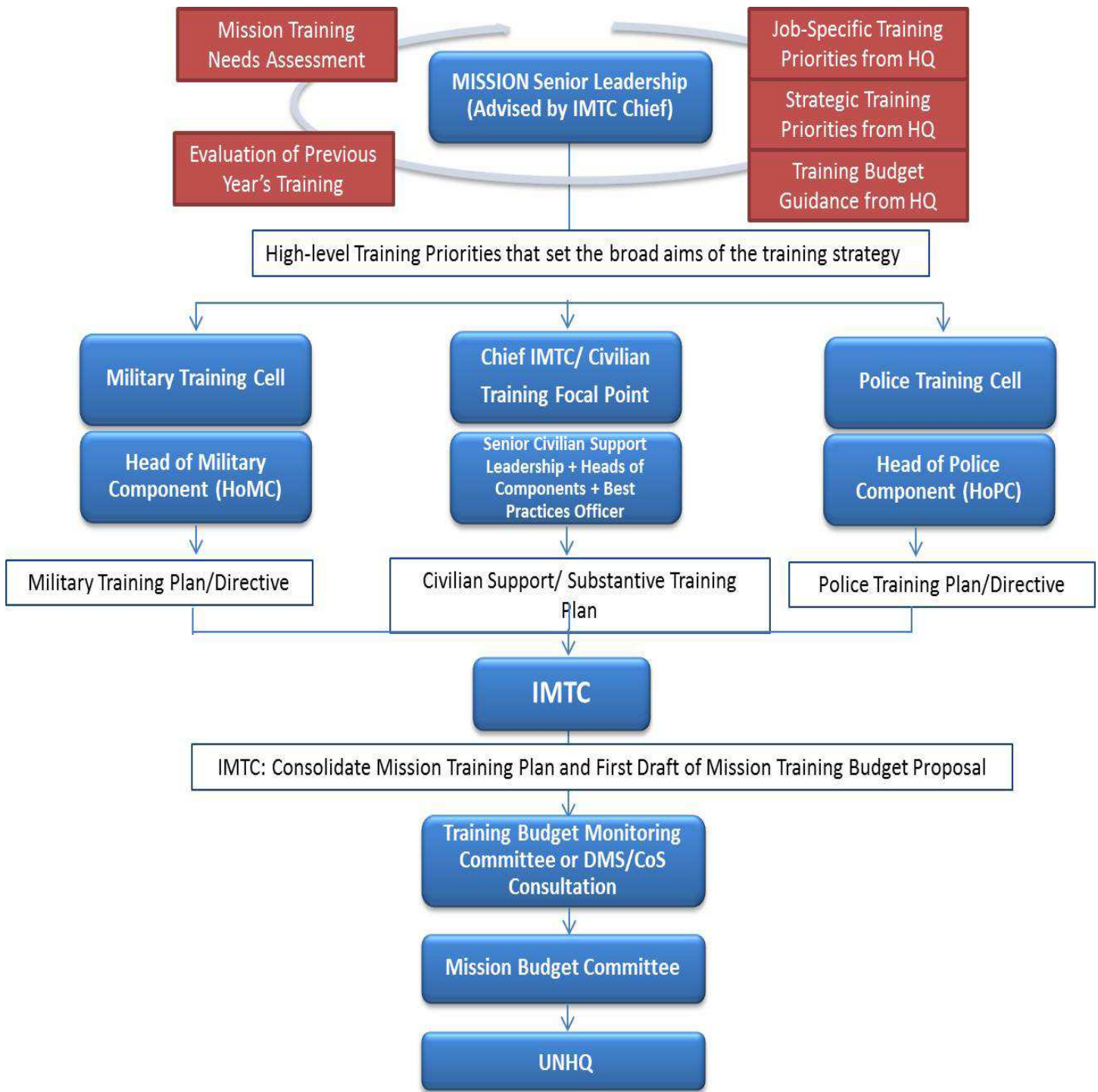
Chief, Integrated Mission Training Centre (IMTC): The IMTC Chief is responsible for advising the DMS/CMS on whether the training budget proposals conform to the training priorities set out in the Mission Training Plan, and coordinates the preparation and implementation of the mission training budget in accordance with the Mission Training Plan. In that connection, resources should be allocated appropriately to ensure that training is cost effective and has the maximum operational impact.

Chief, Military Training Cell: Ensures that all training activities to be delivered by and for military personnel are included in the training budget proposals in each fiscal year, in line with mission training plan and priorities and the Force Commander's directives.

Police Training Coordinator: Ensures that all training activities to be delivered by and for police personnel are included in the training budget proposals in each fiscal year, in line with mission training plan and priorities and the Police Commissioner’s directives.

5. Procedures for budget preparation and submission

Outline of the Process for the development of MTP and Training Budget Proposal in Missions



Budget Review and Approval Process at HQ

Step by Step instruction

Step 1 (April 2017 – July 2017): The Head of Mission (HoM) in conjunction with the DMS/CMS and mission principal officers shall determine high level training priorities for the following budget year based on the mandate and as advised by the Chief of the IMTC or Mission Training Focal Point. They should take into account four inputs when determining these priorities: results of mission training needs assessment (including inputs on technical needs as provided by section chiefs) and training evaluation conducted in the mission during the past year; most recent crosscutting training priorities identified by ITS, DPKO-DFS; training budget guidance received from DPKO-DFS USGs; and job specific training activities advised by various DPKO-DFS HQ ³ Divisions and Services.

Step 2 (July 2017 – September 2017): Using the high level direction from the HoM, and under the guidance of Mission principal officers, the IMTC develops the annual Training Plans for the civilian, military and police components. These are prepared by the respective civilian, military and police trainers in collaboration with mission Section Chiefs, offices of the Head of Military (HoMC) and Head of Police Component (HoPC), including the designated TCC and FPU Coordinators. IMTC personnel should provide advice and support on the formulation of training interventions that will meet the needs of managers and leaders as well as those targeting organisational development. The IMTC Chief then compiles inputs into a draft consolidated Mission Training Plan. S/he then identifies which parts of the Mission Training Plan will have a budgetary impact, and accordingly prepares the mission Training Budget which is forwarded to the appropriate mission Budget Committee for review. The comprehensive Mission Training Plan shall later be finalised upon receipt of the approved budgets. Field Training Support Team in ITS and the Field Budget and Finance Division in DFS will support the mission.

Step 3 (October 2017): Once the Mission Training Budget Proposal is complete, it is submitted to the Mission Budget Committee which reviews the Training Budget along with other mission budget proposals. The approved submissions are then sent to Budget Controller in OPPBA/DM/UNHQ.

Step 4 (November 2017 – July 2018): If financial constraints indicated by New York (Field Budget and Finance Division, Financial Controller, ACABQ, 5th Committee and General Assembly) require that the proposed training activities be reduced, the IMTC Chief working with the principal officers responsible for reviewing the budget will take action and get it endorsed by the Mission Budget Committee before re-submission. The mission budget is then approved by the General Assembly over the period April to July 2018.

Step 5 (July 2018 – June 2019): Once the budget is approved by UNHQ, the IMTC includes it in the comprehensive Mission Training Plan and finalises the document. The IMTC then begins to manage the implementation of the Training Plan and Budget, including its periodic monitoring and provision of information on expenditures and unspent funds to Senior Management, with a view to ensuring that all funds received are utilised for the purpose given, by the end of the financial period. Copies of the comprehensive Mission Training Plan are required to be shared with ITS/DPET by 31 October and IMTCs shall report periodically to ITS on the status of implementation.

Step 6 (by the end of March 2020): After the completion of the fiscal year, the mission is to submit the performance report to the UNHQ for submission to General Assembly for review and approval. It includes the total expenditure which has been linked to the mission's objective through a number of RBB frameworks, grouped by components, and training expenditure shall be a part of it.

6. Content of the Budget Proposal

The budget proposal sheets represent proposed specific training activities to be delivered for staff in the mission during the fiscal year to facilitate mandate implementation. The content covers all training and learning initiatives to be conducted in the mission including internal courses as well as external courses to be held outside the mission area.

Data is required under the columns on “SupInfo Training Sheets” as below:

Detailed training requirements										
1. Internal courses										
A. Training courses by type:				B. Planned number of staff:			C. Training costs:			
				Planned number of personnel to be trained			Training related costs, in thousands of \$US			
Component		Fund Center		National		Training fees,				
#	(Select one)	(Select one)	Requesting office(s)	Inter-national	National	Military/Police	institutions	Official travel	supplies and services	Total

A. Training Courses, by type

- 1) Components: Indicate relevant components that fit into the purpose of the training, as noted on the “Intro Sheet” of the file.

1.	Administration/Budget and Finance	14.	Information technology
2.	Air transportation	15.	Law and order
3.	Communications	16.	Leadership, Management/Organizational Development
4.	DDRRR	17.	Medical
5.	Development	18.	Peace process
6.	Electoral support	19.	Political and civil affairs
7.	Engineering	20.	Procurement/contract management
8.	Gender	21.	Protection of civilians
9.	Governance	22.	Rule of law
10.	Ground transportation	23.	Security
11.	Human resources management/development	24.	Supply/property management
12.	Human rights	25.	Other
13	Humanitarian issues		

- 2) Fund Center: Indicate specific titles of the course or training activity to be undertaken. There should be no reference to “Annual” courses in light of the USGs’ instructions on biennial delivery of conferences, workshops, etc, for various areas of specialisation.

- 3) Requesting Offices(s) : Indicate the section or office requesting for the service.

B. Planned number of Staff: Indicate the number of staff to participate, by staff category (Civ/Mil/Pol) and by mission.

- 1) International: United Nations Internationally-recruited staff and United Nations Volunteers (UNVs)
- 2) National: United Nations Locally-recruited staff including NPOs and National Staff and National United Nations Volunteers (UNVs)

- 3) Military/Police: Staff Officers, Experts on Mission (UNMOs, MLO, MILADs), Troops, Formed Police Units (FPUs) and Individual Police Officers (IPOs)
- 4) National Institutions, Civ. Society (Note that provision for this group is to be made under the operational budget and not mission staff training budget)

C. Training Costs

- 1) Consultants
- 2) Official Travel
- 3) Training fees, supplies and services
- 4) Total

The internal courses sheet is for training to be organised within the mission area and could be with or without travel within the mission and also include other delivery costs. From the delivery point of view, internal training is further divided into two sub-categories, that is, 'Non-Online' (or Face-to-Face) and 'Online' training. The major distinction in respect of internal and external training is the location of the course venue, that is, within or outside the mission area. However, a Global or Regional Service Centre, as in the case of Entebbe, could be designated as part of the mission area for a particular mission. In that case, training delivered within the designated area will be recorded as internal training and funding indicated for travel to the location. External training represents courses delivered outside the mission area for which travel costs and other requirements such as course fees are to be indicated.

11. Consultants														
Training consultants														
Component (Select)	Fund center (Select)	Requesting office	Area of expertise	Unit of measure Number of Consultants (Select) (1) (2)	Number of units (3)	Unit cost US\$ (4)	Cost structure			Total DSA (7)	Total US\$ (8)=(5)+(6)+(7)	Purpose of consultancy ¹		
							Total fees US\$ (5)=(1)*(3)*(4)	Total travel costs US\$ (6)	Brief justification on travel and output			GA mandate by which consultant is being requested	New Cont- inuing	

The consultants costing sheet represents the training activities to be delivered by individual consultants. In light of the ACABQ/5th Committee's concerns and guidance on the need to reduce the use of consultants, missions should consider increasing the delivery of training interventions by its staff or by other missions or UNHQ officials. Other cost-effective and sustainable means of delivery (including Training of Trainers - ToTs) by those who could then continue to deliver within mission should be considered. Where only an individual consultant can deliver a specific course due to certain reasons, the justification for such a case should be clearly specified on the consultant costing sheet.

Data is required under the columns of the Consultants Costing Sheets below:

- a) Components: select one of the component which is created in the "Contents" sheet in the file;
- b) Fund Center;
- c) Requesting Office(s);
- d) Area of Expertise;
- e) Unit of Number of Consultants/measure/number of units/units cost US\$;
- f) Cost Structure:
 - Total Fees US\$;
 - Total Travel Cost US\$;

- Total DSA US\$;
 - Total US\$: Do not touch the column since excel formula automatically calculates the amount and shows total consultants costs including consultants' fees (where applicable), DSA and terminal costs; all added together as one cost;
- g) Purpose of Consultancy:
- Brief justification on travel and output;
 - GA mandate by which consultant is being requested;
 - New/Continuing: "N" for new and "C" for continuing.

All budget forms are standardized and cells containing formulas or links are locked, this allows budget data to be entered with significantly less worry about mathematics, calculations, formulas and dataflow. Studies show that well over 80% of all workplace spreadsheets have errors. In consideration of the volume of budget forms and the number of hands involved over the course of the budget process, preventing errors is a critical issue. In light of a high risk of errors and to ensure transparency and accuracy, it is necessary to utilise standardised protected forms.

7. Frequent Mistakes made in preparing the Training Budget Proposal

A. Costing Consultant Sheet

- 1) Different information between the Consultant sheet and SupInfo training sheet: The information on the Consultant sheets should be the same as the one reflected on the SupInfo Training Sheet. For example, the title of the Public Information course for Radio Producers indicated on the sample Consultants sheet below and the one on the adjacent SupInfo Training Sheet do not match. There is the need to edit the Consultants' sheet to reflect the same title of "Radio Producers Research & Creative Writing Training."

<Example>

Consultant sheets			SupInfo Training Sheet
Purpose of consultancy¹			A. Training courses by type:
	GA mandate by	<u>New/</u>	<u>Component</u> (Select one)
Brief justification	which consultant is being	<u>Cont-</u>	Communications
on travel and output	requested	<u>inuing</u>	Radio Producers Research & Creative Writing Training
Training of Radio producers		C	

- 2) Inclusion of a high number of consultants: In light of concerns expressed by the ACABQ/5th Committee with the increasing use of consultants, efforts should be made to reduce the number and use other cost-effective methods advised.
- 3) Outsourcing of courses on UN specialised subjects: Courses on UN specialised subjects should be delivered by experienced UN staff from the mission, other missions, UNHQ or other UN bodies. Outsourcing of such courses to consultants not familiar with the work of the UN will only make them to

deliver general topics that do not meet the needs of staff or of the mission. For example, the following courses can be undertaken as internal activities without the use of consultants:

- Human Resources Management Training - specialized modules;
- JOC/RJOC Staff workshops;
- Writing Reports & Correspondence;
- Protection of Civilians;
- LSA training;
- Induction Training topics

B. SupInfo Training Sheets – Internal & External

- 1) Non-compliance with inclusion of inputs on RBB in training sheets: Major training issues highlighted in Mission Results Based Budget documents (RBB) should also be reflected on the training sheets except for those targeting capacity building for national counterparts or beneficiaries of assistance.
- 2) Training courses are not indicated under correct Course Category: Courses should be listed under the right category out of the twenty-five indicated below. For example, Umoja courses should be listed under “Administration/Budget and Finance,” SMART and Management Development Programme should be listed under “Management/Organisational Development.” Where a decision in respect of a course cannot be made, ITS should be consulted or the course recorded under “No. 25 – Other.”

1.	Administration/Budget and Finance	14.	Information technology
2.	Air transportation	15.	Law and order
3.	Communications	16.	Leadership, Management/Organisational Development
4.	DDRRR	17.	Medical
5.	Development	18.	Peace process
6.	Electoral support	19.	Political and civil affairs
7.	Engineering	20.	Procurement/contract management
8.	Gender	21.	Protection of civilians
9.	Governance	22.	Rule of law
10.	Ground transportation	23.	Security
11.	Human resources management/development	24.	Supply/property management
12.	Human rights	25.	Other
13.	Humanitarian issues		

- 3) Inclusion of Non-Training Activities: If an activity is not related to training, it should be moved from the training budget to the applicable cost centre. For example, activities indicated below, are not related to training and should not be included on the training budget:
 - “Retreat”;
 - “Technical Inspection” or “Technical Site Inspection and Support to Warehouse Supervisors”;
 - “FC SNR Conference”;
 - “Thematic Force Conferences for U2, U3, U5, U9”;
 - “Thematic Force Conferences for U4, U6”;
 - “Meetings”;

- “East African Corridor Meetings”;

Functional conferences and workshops that are of a training nature should be regarded as “Official Travel (Training)” and missions are requested to ensure compliance with the provisions of ST/AI/2013/3 in respect of the subject. In other words, functional conferences such as those called CPO Conference, DDR Chiefs Conference, Best Practices Officers workshop, etc, are to be indicated under Official Travel (Training) and are to be held on a biennial basis.

ST/AI/2013/3 4.3. (e) The provisions of section 4.3 (d) shall not apply to travel for the purpose of learning and development (training).⁴ The standard of accommodation for such travel shall be economy class. This provision shall not apply to staff members travelling as instructors, whose travel accommodation shall be determined in accordance with section 4.3 (d);

- 4) Lack of relevance of a course to the work of a section or staff member proposing it: IMTC Chiefs working with Budget Chiefs need to review whether participation in certain courses proposed by sections/units constitute an effective use of training resources. They also need to check the relevance of courses proposed to the defined technical needs of the concerned units and achievement of mission needs. A major question that needs to be answered is whether the section’s staff will be able to apply lessons learnt from the course to their work.
- 5) Lack of indication of the full titles of courses: Indicate the full titles of courses. The writing of only position titles such as “Force Commander”, “Sector Commander” and “Police Commissioner” cannot be accepted as training course titles.
- 6) Lack of inclusion of the number of participants: Indicate the number of participants in column G (International,) H (National), I (Military/Police) and J (Institutions civil society).
- 7) Inclusion of service provider or training firms’ names in course titles: There is no need to indicate the names of training firms in the titles of courses. For example, “Rosetta Stone” should be removed and replaced with “Online Language Learning.” Focus should be on the area of training intervention not on the service provider.

C. SupInfo Training Sheets – Internal

- 1) Confusion between consultants’ column, official travel and training fees:
 - If the courses are to be delivered by Individual Consultants, all related costs indicated under ‘official travel’ and ‘training fees, etc’ should be rolled up into the ‘Consultant’ column unless the travel cost is for movement of some staff within mission to a central location for the training. The amount rolled up and recorded should also be equal to the cost indicated on the Consultants costing sheet;
 - If the courses are to be delivered by a consulting firm and not individual consultants, the budget proposed should be recorded under “Training fees, supplies and services” and not under “Consultants” considering that the procurement process is to be utilised. For example, the entire budget for an IATA course needs to be indicated under ‘Training fees, supplies and services’ since the course is to be delivered by an IATA-certified consulting firm.

- 2) Unrealistic travel cost: If the courses are to be held in a central location within mission for which travel is required, the travel cost should not be too high and inconsistent. It should be based on the cost established for moving between two areas within mission. If a course is to be delivered outside the mission area such as in Nairobi, Kenya, it should be moved to the external training sheet, unless the location has been formally designated as part of the mission area. In addition, online courses are to be recorded as internal courses.
- 3) Use of titles of Secretariat courses for new mission courses: The titles of standard courses offered across the Secretariat should not be used for new courses being solely developed and offered within missions, e.g. Supervisory Skills Training, Competency Based Interviewing, etc. Where listed, they must be delivered in accordance with UNHQ guidance on such courses.

D. SupInfo Training Sheets – External

- 1) Fielding staff for participation in courses outside, though available in the UN: Efforts should be made to avail of recommended courses available in the UN for certain areas rather than fielding staff for general courses outside the organisation on the same subject. Courses such as Records Management, Protection of Civilians (POC), Conflict Related Sexual Violence (CRSV) and Child Protection should be undertaken within the UN and not listed as external training. ITS is available to provide guidance in this respect. External training should only be for courses that cannot be covered by missions' existing resources and expertise or through inter-office collaboration and courses that are centrally organised for all missions.
- 2) Inclusion of "Annual" Workshops or Conferences: Reference to "Annual" conferences and workshops should stop, in light of Senior Management guidance on participation in conferences and workshops covering various areas of specialisation designed to enhance professional expertise. These are to be held on a biennial basis. Where a particular Conference or Workshop was delivered during the previous fiscal year, it should not be indicated again for the next fiscal year. Before submission, please confirm whether the activities have been held in the previous year and whether they are training conferences or mere working meetings. If working meetings, they should be budgeted under Official Travel (non-training).
- 3) Inclusion of a high number of participants for external training:
 - The number of staff members from the same team participating in the same external course should be reduced to maximum of 2, in accordance with ACABQ guidance on staff participation in external training and the costs should also be reviewed accordingly. Missions should consider holding some training such as LCC/HCC courses on site, in order to field more participants;
 - If the same training activities are located under different categories and exceed the recommended limit for staff participation, IMTC Chiefs need to check whether the proposed activities listed under different components are the same or not. If the same, consider merging and also reducing total number to maximum of 2, as advised.
- 4) Lack of use of standard pro forma costs for travel to the same location: Standard pro forma costs for travel to some locations should be established in collaboration with the Travel Unit and applied for staff travel for all courses to be held there, except where the number of training days is different. For example, the travel of all staff from Juba to Brindisi for a five-day course should be based on a standard pro forma cost using the same estimated air fare, DSA and terminals.

- 5) Inclusion of Business Class ticket costs for Training travel: The rates quoted for travel for courses should always be checked to ensure that only economy (not business) class rates are indicated, in accordance with the rules on travel for training.
- 6) Lack of inclusion of information on proposed training location: The proposed location at which the training is to be delivered should always be located. Where unknown, Brindisi, Entebbe or New York could be used as an estimate based on the closest place to which such courses are normally held.

Annex I: Checklist for the Training Budget Proposal

Serial	Checklist
	Check:
1	Whether the link between training and mandate implementation is prioritized and maintained; Senior Management would want to see more focus of training on substantive issues that impact on mandate implementation rather than basic administrative matters.
2	Whether MTPs and related budget submissions reflect the results of mission-specific training needs assessments and address training needs of all categories of mission personnel.
3	Whether Budget submission has incorporates training needed to address initiatives included in the report of the High-level Independent Panel on Peace Operations, the related Secretary-General's implementation report and the report on the external review of the UN Police Division.
4	Whether mission has focused on training to enhance interoperability between civilian and uniformed components, with all in-mission training requirements (including those for military and police) included in the MTP.
5	Whether mission has made provisions to cover the costs associated with the Senior Mission Administration and Resource Training (SMART) and its delivery in the mission, and the new Mission Advanced Staff Training.
6	Whether the proposals reflect all training, including initiatives that do not have budgetary implications as well as those covered by extra-budgetary resources.
7	Whether the proposals include required priorities in training such as on Protection of Civilians (POC), Conflict-related Sexual Violence (CRSV), Child Protection and Gender considerations.
8	Whether missions with POC/CRSV mandates have included scenario-based training on mandate implementation, use of rules of engagement and directives on the use of force, integrated contingency plans, the division of responsibilities between the Force and United Nations Police and United Nations Security on security of POC sites in the budget proposals.
9	Whether training on SEA issues, based on "New Strategy to Fight Sexual Exploitation and Abuse" are properly covered or not.
10	Whether enhancing planning skills courses, such as Conflict Analysis and Strategic Assessment have been incorporated into the proposals or not.
11	Whether efforts continue to be made to identify and prioritise national staff training needs or not.
12	Whether functional conferences and workshops for various areas of specialisation that are of a training nature or are training-related are indicated as "Official Travel (Training)" and are to be held on a biennial basis or not.
13	Whether the standard of accommodation for all travel for training, including functional conferences and workshops, has been reflected as economy class or not.
14	Whether the mission included consultants for training courses that in-house expertise can be used for or not.

15	Whether all information in the training consultants sheet and major staff training issues highlighted on the RBB are properly reflected on the SupInfo Training Sheet.
16	Whether correct training courses by type and number of participants are indicated properly or not.
17	Whether the full titles of courses are indicated and non-training activities are excluded in the SupInfo Training Sheet or not.
18	Whether consultants' travel costs and fees are rolled up into the consultant column when the courses are to be delivered by individual consultant or not.
19	Whether travel costs are realistic, in line with the missions' standard pro forma cost established in collaboration with the Travel Unit.
20	Whether total number of team members participating in the same external training exceeds two (2) per course or not.