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INTEROFFICE MEMORANDUM



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INTERNAL AUDIT DIVISION I
OFFICE OF INTERNAL OVERSIGHT SERVICES

TO: Mr. Jean-Marie Guéhenno, Under-Secretary-General
A: Department of Peacekeeping Operations

DATE: 18 January 2006

FROM: Dagfinn Knutsen, Chief,
DE: Peacekeeping Audit Service
Internal Audit Division I, OIOS

REFERENCE: AUD-7-1:9
06-00034

A handwritten signature in blue ink, appearing to read 'Dagfinn Knutsen', written over the typed name.

SUBJECT:

OBJET: **OIOS Audit No. AP2005/600/23: Management audit of the Department of Peacekeeping Operations – Best Practices**

1. I am pleased to present herewith our final report on the above subject which was conducted during September to November 2005.
2. We note from the response to the draft report that the Peacekeeping Best Practices Section has generally accepted the recommendations. Based on the response, we are pleased to inform you that we have closed recommendations 10 and 13 in the OIOS recommendation database. In order for us to close out the remaining recommendations nos. 1 to 9 and 11, we request that you provide us with the additional information as indicated in the text of the report and a time schedule for implementing each of the recommendations. Please refer to the recommendation number concerned to facilitate monitoring of their implementation status. For your information, recommendation no. 8 was not commented in the response, and we have withdrawn recommendation no. 12 in the draft report based on the comments received from the Peacekeeping Best Practices Section.
3. IAD1 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.
4. I take this opportunity to thank the management and staff of the Peacekeeping Best Practices Section for the assistance and cooperation provided to the auditors in connection with this assignment.

Copy to: Ms. Hazel Scott, Director of Administration, MONUC
Mr. Ronnie Stokes, Director of Administration, UNMIL
UN Board of Auditors
Programme Officer, OIOS

Office of Internal Oversight Services

Internal Audit Division I



Management audit of the Department of Peacekeeping Operations - Best Practices

Audit No.:	AP2005/600/23
Report Date:	18 January 2006
Audit Team:	James O'Neill, Auditor-in-Charge Sharon Fitzpatrick

EXECUTIVE SUMMARY

Management audit of the Department of Peacekeeping Operations – Best Practices (AP2005/600/23)

During September to November 2005, OIOS conducted an audit of the Peacekeeping Best Practices Section (PBPS) as part of the comprehensive management review of the Department of Peacekeeping Operations (DPKO). The main objectives of the audit were to: (a) identify risks and exposures to duplication, fraud and abuse of authority; (b) assess the appropriateness of the budget allocated; (c) assess the efficiency of information technology and related equipment and (d) assess the overall value for money and effectiveness of the operation. In addition to work performed at Headquarters, OIOS auditors visited MONUC (Democratic Republic of the Congo) and UNMIL (Liberia) to conduct interviews with best practice officers and focal points.

The Peacekeeping Best Practices Section at Headquarters assists in the planning and management support of peacekeeping operations by learning from experience, problem solving and transferring best practices in United Nations peacekeeping. This is done by undertaking a broad range of activities and work including: (i) knowledge management; (ii) policy analysis and development; and, (iii) lessons learned. The stated overall goal of the PBPS is to develop and support a culture of United Nations peacekeeping best practices by helping to advance and establish the mechanisms and working habits to share knowledge.

The Peacekeeping Best Practices Section's management and staff agreed on the mission and recognized that the clients of PBPS were primarily DPKO and its peacekeeping field missions. External clients also included troop-contributing Member States, NGOs, academic institutions and donors of voluntary funding. The Section's strengths include the encouragement of creative thinking and the ability to look at DPKO's operations critically and with innovation. Policy coordination and planning in specific cross-cutting issues such as gender, HIV/Aids and sexual exploitation and abuse/conduct were also strengths of the Section. With the increased dependence of DPKO on PBPS for a variety of tasks, there had been more and more reliance on the Section for work that seemed to be expanding as the reputation of the Section grew.

At the same time, the numerous *ad hoc* tasks required of the Section by DPKO management was also problematic for the PBPS in that these tasks, such as the Section's contribution to the Department's response to sexual exploitation and abuse, had detracted from the Section's focus on core functions. Better planning, a focus on core tasks and use of planning techniques such as process mapping and risk assessment should be considered for the future. The Section's weaknesses included the reliance of activity funding on voluntary contributions from donors and the inability to translate best practices into DPKO guidance in a structured manner. There was also overlap with the work of the Change Management Section requiring greater clarity in the future of the work relationship between the two sections.

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I. INTRODUCTION

1. The General Assembly in its draft resolution A/C.5/59/L.53 (Section IV, paragraph 4) requested the Secretary-General "...as a matter of priority, to entrust the Office of Internal Oversight Services (OIOS) with a comprehensive management audit to review the practices of the Department of Peacekeeping Operations and to identify risks and exposures to duplication, fraud and abuse of authority in the following operational areas: finance, including budget preparation; procurement; human resources, including recruitment and training; and information technology, and to report thereon to the General Assembly at its sixtieth session."

2. In addition, in Section III, paragraph 6 of this resolution, the General Assembly requested the Secretary-General "to entrust the Office of Internal Oversight Services with conducting a business process review of the preparation of peacekeeping budget proposals, including the respective roles of staff in missions and Headquarters and to submit its findings, including recommendations to streamline the process, to the General Assembly in the context of the report requested in section IV of the present resolution."

3. The Peacekeeping Best Practices Section at Headquarters assists in the planning, management and support of peacekeeping operations by learning from experience, problem solving and transferring best practices in United Nations peacekeeping. This is done by undertaking a broad range of activities and work including: (i) knowledge management; (ii) policy analysis and development; and (iii) lessons learned. The stated overall goal of the PBPS is to develop and support a culture of United Nations peacekeeping best practices by helping to develop and establish the mechanisms and working habits to share knowledge.

4. The comments made by the Peacekeeping Best Practices Section on the draft audit report have been included in the report as appropriate and are shown in italics.

II. AUDIT OBJECTIVES

5. The major overall objectives of the audit were to:

- a. Identify risks and exposures to duplication;
- b. Identify risks and exposures to fraud;
- c. Identify risks and exposures to abuse of authority;
- d. Assess the appropriateness of the budget allocated;
- e. Assess the efficiency of the use of information technology (including use of IT equipment); and
- f. Assess the overall value for money and effectiveness of operations.

6. Specific objectives for the Peacekeeping Best Practices Section were to:

- a. Assess whether PBPS activities were planned, managed and carried out in the most effective manner;
- b. Determine if PBPS activities in large special missions, MONUC and UNMIL, were coordinated with those of the PBPS at Headquarters and were meeting intended goals; and
- c. Identify risks and exposures of the PBPS in relation to the overall management of DPKO and to make recommendations to correct any duplication, fraud or abuse of authority in any areas of activity.

III. AUDIT SCOPE AND METHODOLOGY

7. The audit focused on key processes used by PBPS to plan, allocate, manage, maintain and operate activities at (1) Headquarters and (2) in PBPS-related offices in MONUC and UNMIL.

8. At Headquarters, PBPS key processes include the capture and dissemination of knowledge gained by peacekeeping experience at Headquarters and in the field missions and the promotion and adaptation of best practices for the better conduct of peacekeeping. The PBPS also functions as the home for advisory and focal points for the Criminal Law and Judiciary Advisory Unit, the Disarmament Demobilization and Reintegration (DDR) Policy Advisor, the Gender Advisor and the HIV/AIDS Advisor.

9. In MONUC and UNMIL, the work and roles of these offices was reviewed to determine coordination with Headquarters and project effectiveness. The scope of the audit covered activities carried out from 1 July 2004 through 30 June 2005 using the following methodology:

- a. Research and review of documentation available including policies, procedures, organizational charts, staffing tables, budgets and planning strategies;
- b. Interviews with key personnel to gain an understanding of processes and work, risk areas and potential control weaknesses;
- c. Field visits to offices under the direction of the PBPS to assess effectiveness and work progress;
- d. Distribution of a survey to determine services provided and their relevance and importance;
- e. Administrative walkthroughs to chart key processes; and
- f. Testing of transactions or processes to determine internal controls and relevance of work conducted.

IV. OVERALL ASSESSMENT

10. OIOS found that the management and staff agreed on the mission of the Peacekeeping Best Practices Section and recognized that the clients of PBPS were primarily DPKO and peacekeeping missions. External clients also included troop-

contributing Member States, NGOs, academic institutions and donors of voluntary funding. The Section's strengths include the encouragement of creative thinking and the ability to look at DPKO operations critically and with innovation. Policy coordination and planning in specific cross-cutting issues such as gender, HIV/Aids and sexual exploitation and abuse/conduct were also strengths of the Section. With the increased reliance of DPKO on PBPS for a variety of tasks, there had been more and more reliance on the Section for work that seemed to be expanding as the reputation of the Section grew. At the same time, the numerous *ad hoc* tasks required of the Section by DPKO management also was problematic for the Section in that these tasks, such as the Section's contribution to the Department's response to sexual exploitation and abuse, had detracted from the Section's focus on core functions. The Section's weaknesses included the reliance of activity funding on voluntary contributions from donors and the inability to translate best practices into DPKO guidance in a structured manner. There was also overlap with the work of the Change Management Section requiring greater clarity in the future of the work relationship between the two sections.

V. AUDIT FINDINGS AND RECOMMENDATIONS

A. Planning of PBPS activities

11. The origins of the PBPS are in the Brahimi report¹ which specified, "... the Lessons Learned Unit should be substantially enhanced and moved into a revamped DPKO Office of Operations (Summary of recommendations 16e)." A noteworthy task completed by the PBPS was the "Knowledge Management Toolbox Project" conducted by the PBPS knowledge management team with a report issued in December 2004 which was designed to determine if and how lesson learned and best practices were shared with the UN peacekeeping community. This study found that both Headquarters and Field staff strongly supported a perceived usefulness of knowledge management tools and the importance of the proposed tools to share both good and bad practices and the positive lessons learned. Although the PBPS had planned to categorize and disseminate best practices based on lessons learned, this goal had not been fully met. This was an example of the systemic problem faced by PBPS which was the difficulty of engaging DPKO in influencing wider participation to change and improve peacekeeping.

12. While planning for best practice activities had been undertaken during "Phase One" in which basic structures were built in PBPS, other activities were simultaneously taking place such as the coordination of policy development in the various focal point areas and DPKO knowledge and change management work. "Phase Two" would eventually engage the wider peacekeeping populace in a structured way which was partially underway. In the opinion of OIOS, more effort was required to identify actual best practices and practices emerging from both positive and negative lesson learned in order to help field staff who had expressed the desire and need for dissemination of best practices in the field missions. This task required prioritization with a staged plan and categorization of best practices by subject for use by all levels of staff. Although some

¹ A/55/305

lessons learned were available in the library of documentation found on the PBPS' web site, more practical access to these and the new experiences being generated daily were needed. In the view of OIOS, the PBPS needed to close the circle of activities regarding best practices by creating a mechanism to categorize and provide access to them by staff in the Peacekeeping missions and at Headquarters. To ensure best practices are known and followed, it is essential that DPKO top management endorse them, emphasize their importance and ensure that staff at all levels are made aware of their value on a continuing basis.

Recommendation 1

The Peacekeeping Best Practices Section should prioritize the collection, categorization and dissemination of peacekeeping best practices which should be viewed as the Section's main business deliverable. The best practices already collected and found within documents in the Section's electronic library should be included. A mechanism to identify and gather best practices from serving staff in the field should be developed for utilization by both PBPS and DPKO staff (AP2005/600/23/001).

13. *The Department of Peacekeeping Operations accepted the recommendation and indicated that implementation was ongoing.* OIOS considers the recommendation as open and requests DPKO to indicate when the collection, categorization and dissemination of best practices will commence under the guidance of the PBPS.

B. Risks and exposures to duplication

14. In OIOS' earlier evaluation of the impact of the recent restructuring of the Department of Peacekeeping Operations², reform issues, including organizational structure and functions, were the responsibility of the Director of Change Management (DCM) whose role was viewed as pivotal in restructuring the Department. A dedication to managerial planning in the mid and longer terms was envisioned. This individual would act as the information manager of the Department. The Director of Change Management would also be responsible for defining priorities, establishing goals and milestones and since lessons learned and best practices were considered essential to managerial change, would establish close ties with the Peacekeeping Best Practices Section to translate them into policies. These would also be incorporated into the Department's training syllabus once they were institutionalized.

15. The OIOS review noted that the staffing support to the Director of Change Management consisted of only one Programme Officer and one Programme Assistant and that the changes planned did not fully take place. Overlap between the PBPS and the DCM existed particularly in the area of knowledge management and information

² A/58/746

management. Due to limited personnel resources in the DCM office, change management work was performed in the PBPS which had a larger and experienced staff.

16. While the mission of Change Management was to drive the reform process within DPKO, a lack of full acceptance by all levels of DPKO of the need for reform severely hampered efforts of the Office. A focus by management on the operationally immediate requirements of DPKO, a lack of commitment by DPKO to implement and champion change, staffing resources issues within the Office, and the need to adopt an integrated approach with key peacekeeping partners all contributed to undermine the original mission of Change Management.

17. At the time of the audit, this situation was being addressed by DPKO and the Chief of PBPS re-assigned as the Interim Director of Change Management. The linking of the Change Management and the Peacekeeping Best Practices Section was being contemplated which potentially would address the changes needed to fully develop the responsibilities of the Director of Change Management and the CM Section's relationship with PBPS.

Recommendation 2

The Department of Peacekeeping Operations should review the responsibilities of the Director of Change Management to address the overlap that exists with the Peacekeeping Best Practices Section. An updated term of reference (TOR) should be reviewed and agreed upon by DPKO management and the Director of Change Management with an updated work plan to ensure commitment to the cross-cutting issues of the Office (AP2005/600/23/002).

18. *The Department of Peacekeeping Operations accepted the recommendation and indicated that implementation was ongoing. It was currently reviewing the Change Management function. If it is eventually determined that the function remains appropriate, its TORs would be reviewed and revised and an updated work plan developed. OIOS considers this recommendation as open and will close the recommendation after the review of TORs.*

C. Appropriateness of the budget allocated

19. The Peacekeeping Best Practices Section has always relied heavily on external funding through the use of trust funds to finance its activities. At the time of the review, we noted that the Trust Fund in support of the Department of Peacekeeping Operations supported 13 PBPS projects with donations totaling \$1,770,519. These externally funded activities covered diverse subjects such as an awareness campaign in human trafficking, DDR, rule of law, corrections, gender mainstreaming and child protection. However, this method of funding presented a theoretic dilemma to DPKO as noted several years ago

after the external management study of DPKO found, "...reliance on external sources of funding to undertake lesson learned studies meant that the topics chosen were more often donor-driven and general in nature, rather than reflecting the real operational needs of current and future peacekeeping operations".³

20. The Peacekeeping Best Practices staff acknowledged that solicitation of donor funding and donor reporting took time and energy away from the core work of the PBPS. Work was also disrupted by high staff turnover due to the use of short-term consultants hired for specific projects funded from trust fund resources. However, without external funding, PBPS' internal contribution would be modest since funds were used to hire consultants to perform a variety of projects in PBPS' focal point areas. In addition to the trust fund resources, OIOS found that DPKO had requested support account funding under its Executive Office for use by the PBPS for support including General Temporary Assistance for assistance of a P-4 staff for six months (\$95,800), consultants for knowledge management in the PBPS (\$54,000) and official travel in the PBPS for various studies, seminar/workshops, advice to missions and presentations on peacekeeping issues (\$154,700) for the 2005/06 budget period⁴. OIOS agrees with the earlier finding in the external management study of DPKO that reliable funding from DPKO's support account from assessed contributions is required to support the work of the Section. Although donors were more engaged in the work of the PBPS and saw both their own and the needs of DPKO met through their voluntary contributions, the work of the PBPS shouldn't have to rely on voluntary funding to carry out the Section's important work. We perceive that risk exists in this voluntary funding. We agree with the PBPS that as long as the funding intentions of donors and those of DPKO are compatible and voluntarily-funded projects reflect the core business of peacekeeping projects, the current arrangements are workable. However, the funding intentions of donors and those of DPKO may not always be compatible.

Recommendation 3

The Department of Peacekeeping Operations should liaise with Member States to gain support to ensure that the current voluntary funding being used to accomplish the PBPS main work plan is reconsidered, eventually phased out and replaced by support account funding (AP2005/600/23/003).

21. *The Department of Peacekeeping Operations did not accept the recommendation noting that it was not something that DPKO could ensure. The support of Member States was required.* OIOS is of the view that DPKO can liaise with Member States and provide a rationale for the work plan of the PBPS which would gain the support of Member States in the budgetary process. This recommendation is considered to be open and will be closed upon the advice of DPKO on efforts undertaken to liaise with and gain support of Member States in direct funding of PBPS activities.

³ A/55/977

⁴ A/59/730

D. Efficiency of the use of information technology

22. The Peacekeeping Best Practices Section had set up a useful website which explained its roles and functions and was the source of a library of documents related to best practices, knowledge management and policy matters. This site had been developed in coordination with the Department's Communications and Information Technology Service and designed by a graphic designer hired as a consultant. Although modest in scope (costing approximately \$18,000), OIOS is of the view that PBPS should have coordinated this IT project with other offices within DPKO which have responsibilities related to IT development. We were also concerned that coordination of IT-related projects throughout DPKO may not be fully coordinated to ensure efficiency and economy of resources.

Recommendation 4

The Department of Peacekeeping Operations should make sure that better coordination in the future development of IT-related projects within PBPS be vetted by the Department's Project Review Committee and Information Management Review Committee under the leadership of the Office of Change Management (AP2005/600/23/004).

23. *The Department of Peacekeeping Operations accepted the recommendation and indicated that action was ongoing.* This recommendation will be closed once the Change Management function which includes leadership in the Project Review Committee and the Information Management Review Committee is addressed and finalized by DPKO.

E. Risks and exposures to fraud/abuse of authority

24. The OIOS review surveyed staff and inquired about the possible risk and exposure to fraud and abuse of authority and found that these risks were low due to the type of work performed by the PBPS. Some risk and exposure to fraud could exist in the hiring of external consultants but that risk was minimal. With regard to internal administrative processes, a question arose about the need to have more systematic discussions between staff and supervisors on the preparation of the e-PAS since it was prepared under tight deadlines to satisfy e-PAS requirements rather than to serve the staff member. There did not appear to be any current abuse of authority, however, a change in top management in the PBPS section would likely have an impact on operations since the current chief can be credited with creating and being successful in focusing the Section on management business models.

F. Value for money and effectiveness of operations

25. It should be remembered that the PBPS is a relatively new section and that its work is evolving. It has clearly emerged as a policy and knowledge management focus group which operates as a think tank. A significant achievement has been DPKO's policy response to sexual exploitation and abuse (SEA) which has absorbed considerable Section resources over the past 18 months. While this exercise was viewed as a successful response to a crisis, it should also be considered in the context as an example of "firefighting" within DPKO, i.e. it was an emergency response to a crisis requiring diversion of limited staffing resources away from the core work of the PBPS.

26. Criticism of the PBPS noted in the surveys conducted by OIOS indicated that linkages with the operational parts of DPKO needed strengthening as policy development and knowledge management needed to be grounded in operational experience. There was a perceived need to focus on field mission issues rather than support of Headquarters activities and of Senior Management. Too many *ad hoc* tasks absorbed the time and resources of the Section.

27. In our opinion, more structure may be required for the PBPS to plan, and especially, prioritize its assignments in a more structured manner by mapping its core processes and introducing risk assessment to its annual planning exercise. Examples are the cataloguing and dissemination of best practices and the linkage of the Section with DPKO's Office of Operations for policy development where process mapping would likely be beneficial.

Recommendation 5

The Peacekeeping Best Practices Section should organize its future work plans around its core function of best practice compilation and dissemination for use in ongoing mission operations and in future mission planning. This and other core processes such as knowledge management and policy development should be coordinated with field missions to identify needs. These core functions should take precedence over *ad hoc* tasks (AP2005/600/23/005).

28. *The Department of Peacekeeping Operation accepted the recommendation and indicated action was ongoing. The PBPS development of the Guidance and Knowledge Management projects provide the overarching framework for the development of policy and guidance, while thematic areas are producing specific doctrine based on field experience and needs.* This recommendation will be closed when DPKO advises that best practice compilation and dissemination is included as a core task in the next PBPS work plan.

29. Regarding enhanced effectiveness, OIOS is of the view that the PBPS should explore the possibility of establishing a linkage with the United Nations University (UNU) in Tokyo. Such a linkage may be possible since a number of parallels in mission and scope of work exist in UNU work programmes with those of the PBPS. A knowledge network by PBPS with two of UNU's main thematic areas of focus, i.e. peace and governance may be beneficial for both entities. UNU research programmes, which strive to ensure the operational activities of the United Nations, and which are guided by in-depth analytical research may prove to be an untapped knowledge and academic source for PBPS within the United Nations system.

Recommendation 6

The Department of Peacekeeping Operations should establish contact with UNU to initiate a knowledge network and discuss possible work activities that parallel the interest of both (AP2005/600/23/006)

30. *The Department of Peacekeeping Operations accepted this recommendation and indicated that the PBPS would initiate contacts with the UNU in early 2006.* OIOS considers this recommendation as open and will close it once DPKO indicates the results of contacts made with UNU.

G. Appropriateness of coordination of PBPS activities in two large special missions, MONUC and UNMIL with Headquarters

31. During our field visit to MONUC, OIOS conducted meetings with the Best Practices Officer, the HIV/AIDS Advisor, the Gender Advisor, the Office of Sexual Exploitation and Abuse (SEA), the Rule of Law Unit and the DDRRR Division. Findings and recommendations related to these activities follow:

Best Practices

32. The Best Practices Officer in MONUC works under the SRSG. This individual has good communications with the Peacekeeping Best Practices Section at Headquarters, New York and is responsible for a number of functions in MONUC including testing and developing best practices tools, sensitizing the Mission to best practices, development of intranet and internet best practices websites, induction training for new personnel on arrival in MONUC and as a focal point for lessons learned and after action reporting on MONUC. Work is accomplished by a variety of means including handover notes, end of assignment reports and surveys of practice. The Best Practices Officer also performs field visits to heighten awareness of best practices and the collection and dissemination of lessons-learned.

33. OIOS was pleased to find that MONUC takes this activity seriously and has provided good support for the concept of best practices and the importance of this position. We also noted that work was on track, was coordinated with Headquarters and that much initiative has been evident in the work of the Best Practices Officer who was

the first officer of this type in any mission. OIOS endorses the concept of having full-time best practice officers (rather than focal points who were assigned to other functions as well) in the peacekeeping missions to coordinate the work of the PBPS and to be a source of information for the mission on best practice collection, analysis and dissemination. In addition to the Best Practices Officer in MONUC, UNMIS (Sudan) also had a Best Practices Officer and two other missions, ONUB (Burundi) and MINUSTAH (Haiti) were recruiting best practices officers. Both UNAMA (Afghanistan) and UNOCI (Cote d'Ivoire) were interested in establishing focal points on best practices.

34. With respect to the collection and dissemination of best practices, particularly those related to various administration-related best practices, there is a need to capture, organize, screen and make them available for use by staff not only in MONUC, but for all DPKO missions. Although this is in the planning stage, we are of the view that this activity should be prioritized. MONUC should be the mission to pilot this activity. By doing so, the Best Practices Officer can provide practical information to a larger audience than at present.

Recommendation 7

The Department of Peacekeeping Operations should ensure that, in coordination with PBPS, MONUC pilot the collection and cataloguing of best practices (AP2005/600/23/007).

35. *The Department of Peacekeeping Operations accepted this recommendation and noted that action was ongoing. These activities could be stepped up if MONUC were to receive more support for the Best Practices Officer in the mission. However, since other priority areas exist as well, administrative support activities may not be the first priority area addressed.* OIOS views the collection and cataloguing of best practices in the mission as a core function of the best practices officer which could have a direct impact on the mission's operational activities. OIOS considers this recommendation as open and will close it once action is taken to initiate best practices collection and dissemination in MONUC.

36. OIOS also noted that the Best Practice Officer worked alone and had been tasked with a variety of tasks in addition to her work as Best Practices Officer. These included large studies and reports requested by MONUC and by Headquarters in addition to regular duties as Best Practices Officer. In discussion with the Best Practices Officer, OIOS noted that additional support was needed to further analyze, communicate and organize related best practices work. Ideally, this could be accomplished by assigning a United Nations Volunteer (UNV) to work with the Best Practices Officer.

Recommendation 8

The Department of Peacekeeping Operations should review the possibility of assigning a qualified UNV to assist the MONUC Best Practices Officer in all best practices-related work (AP2005/600/ 23/008).

37. The Department of Peacekeeping Operations did not comment on this recommendation and thus it remains open until such time as action is taken to address the issue of support for the best practices officer in MONUC.

HIV/AIDS

38. OIOS reviewed the activities of the HIV/AIDS unit placed under the authority of the DSRSG. The HIV/AIDS advisors provide a variety of training, policy guidance, sensitization to HIV/AIDS and related issues and limited advisory assistance to the host country, the Democratic Republic of the Congo. This is done by a participatory approach to all categories of personnel serving in MONUC through training and awareness campaigns.

39. The office has good communications with counterpart PBPS and UN/AIDS offices at Headquarters and that it submits quarterly reports on its activities detailing accomplishments and statistics on training and activities such as support to NGOs, key meeting and presentations. Many challenges had been faced by MONUC's HIV advisor who had to provide awareness programmes for all troop rotations throughout the DRC for the past two years. OIOS also noted the increase of activities supported by the arrival of additional personnel this year including a physician/health specialist, a media relations officer and an administrative assistant facilitator. These individuals contributed to the expanded work programme that the HIV/AIDS office is accomplishing. Notwithstanding the efforts of MONUC HIV/AIDS personnel, a greater emphasis should be placed on pre-deployment training by troop-contributing countries and the future deployment of peer educators and HIV counselors in the ranks.

40. Collaboration and cooperation with UNAIDS both at Headquarters and in MONUC is crucial to DPKO's HIV/AIDS programmes. Another major issue, highlighted by the PBPS, was the lack of budgetary support for HIV activities in the missions. To finance related HIV/AIDS activities in MONUC, OIOS found that the HIV/AIDS office had conducted a fund-raised campaign by selling MONUC ceramic vases that netted approximately \$8,000. Proceeds were used for external HIV/AIDS-related projects including awareness campaigns and support to victims of HIV/AIDS. OIOS was informed that an informal management of funds without use of vouchers for disbursements was taking place that should be enhanced by strengthening internal controls in the accounting and administration of transactions to protect the holder(s) of the funds.

Recommendation 9

The Department of Peacekeeping Operations should advise MONUC's HIV/AIDS office to obtain assistance from MONUC's finance section in the administration of funds including instruction on funds disbursement, vouchering and establishment of a local bank account as necessary. As PBPS has indicated that this situation applies not only to MONUC, DPKO should ensure that sufficient resources to run projects and financial guidance are strengthened in HIV/AIDS offices in all peacekeeping missions (AP2005/600/23 /009).

41. *The Department of Peacekeeping Operations accepted this recommendation and indicated that action was ongoing and would be fully implemented by mid-2006. Finance guidance for all missions will be drafted by August 2006 while guidance and input on results based budgeting is ongoing. OIOS will close this recommendation once DPKO indicates that the financial guidance to MONUC and all missions is published.*

42. Under MONUC's own Quick Impact "Quips" Programme and Swedish Funds for Local Conflict Resolution, funding had been provided for "Surgical Gloves for Nurses in Medical Facilities in Kinshasa" in 2003/4. In view of the necessity of the HIV/AIDS office to fund external HIV/AIDS-related projects, especially the treatment of victims of sexual violence, further funding under quick impact projects may be available. If so, this would expedite funding for appropriate projects without relying on fund raising activities that may be quite labor-intensive.

Recommendation 10

The Department of Peacekeeping Operations should review the possibility of funding compatible internal projects as was the case for MONUC's HIV/AIDS office in other peacekeeping missions having quick impact project arrangements (AP2005/600/23/010).

43. *The Department of Peacekeeping Operations accepted this recommendation and noted that implementation was ongoing not only in MONUC but also in other missions, e.g. UNMIS, and that there have been three HIV-related quick impact projects supported in MINUSTAH. The PBPS will continue to work on this with immediate effect. Based on the comments provided, OIOS considers this recommendation to be implemented.*

Gender

44. The Office of Gender Affairs in MONUC has, since March 2002, incorporated a gender perspective in the Mission. It works towards gender mainstreaming within MONUC and to increase gender awareness in political life in the host country through training, research, data collection, networking and public outreach. Recent activities included work

with women's agencies involved in the peace process and the upcoming elections by the monitoring of the enrollment process. To date, gender training of 14,730 officers and other ranks (1,056 of them women) of the *Police Nationale Congolese* (PNC) involved in the election process has been carried out. Training workshops with UNDP and UNIFEM gender advisors were coordinated resulting in a National Conference in August 2005 to map out a strategy for women involved in all phases of the election process. Within MONUC, the Office of Gender Affairs continued its regular training sessions to sensitize Military Observers, CIVPOL and civilian staff on gender affairs.

45. The Office was developed and organized with excellent links to the DPKO Gender Advisor at Headquarters. Quarterly reports had been issued, its internal web-site was informative and easy to read and provided a great deal of material on the work of the Office. The Office is staffed with nine persons including a gender advisor outside Kinshasa in Bukavu (on the border of Rwanda). Two meetings/workshops with gender advisors from other missions had taken place to discuss areas of mutual concern, training and for networking purposes on New York in November 2004 and in Brindisi in November 2005.

46. Some problems were noted which should be addressed. One of these was the view expressed that cooperation of Mission management with the Gender Office needed improvement. There was an underestimation of the importance of gender mainstreaming by MONUC's Civpol in its work with local police. Recruitment of female military observers and Civpol needed enhancement and had been hindered by the driving experience of some staff sent earlier to MONUC. Also, there was disappointment that reports sent to management took an inordinate amount of time to be cleared before forwarding to Headquarters and that the work of the Office of Gender Affairs was not adequately highlighted in MONUC's official reports.

Recommendation 11

The Department of Peacekeeping Operations should consider highlighting the work of MONUC's Office of Gender Affairs as a mission success and address the communications issues raised (AP2005/600/23/011).

47. *The Department of Peacekeeping Operations accepted this recommendation and noted that implementation would take place in early 2006.* OIOS will close this open recommendation once the Department indicated that action has been taken to highlight the work of the office and to address the communications issues in MONUC.

Rule of Law

48. MONUC's Rule of Law Unit provides assistance for the reform of security forces and of state authority based on the rule of law. It co-ordinates and sensitizes internal justice components of MONUC and deals with external national partners and NGOs on justice and prison reform and law issues. It is a relatively new activity in MONUC and has increased its profile in light of the national elections to be held in June 2006. In early 2005 it established a work plan for the year and has recently benefited from the assignment of two staff with two other professional staff under recruitment.

49. The ROL Unit could benefit from an internal web site to highlight the activities planned and the work of the unit for the information of MONUC personnel. A website could also serve as a communications link to other MONUC sections having related work areas and would address the “silo” issue raised by ROL personnel that the various MONUC substantive offices work independently on issues of mutual interest without full policy coordination.

50. The OIOS review of the ROL also noted that coordination with the Peacekeeping Best Practices Section at Headquarters existed and that policy coordination was formulated with inputs from this office and other Peacekeeping missions. There was a need to capture the best practices from other missions and from MONUC for future use in peacekeeping. We also are of the view that future annual meetings of Rule of Law personnel from missions having this activity should be held such as the recent meeting in Accra in November 2005, which would allow an exchange of ROL practices and experiences among ROL personnel from missions having a this function.

Recommendation 12

The Department of Peacekeeping Operations should ensure the Rule of Law Unit prioritize development of its website to provide better information on work plans and to act as a conduit for better coordination of its activities with other MONUC substantive offices (AP2005/600/23/012).

51. *The Department of Peacekeeping Operations noted that the recommendation pointed to a broad problem of mission communications while the posting of the Rule of Law’s work plan on a website was quite narrow in scope. It was suggested that the recommendation be deleted.* OIOS agrees and has withdrawn recommendation no. 12 accordingly.

Sexual Exploitation and Abuse

52. The Office for Addressing Sexual Exploitation and Abuse (OASEA) is invested with the responsibility for addressing all matters related to sexual exploitation and abuse in MONUC. It carries out investigations, develops policy and conducts training and advocacy on SEA matters.

53. For the period 25 December 2004 through 1 September 2005, the Office conducted and completed more than 100 investigations which were all submitted to DPKO. At the time of the audit, the OASEA was preparing to transfer activities to the Conduct and Discipline Unit (CDU) that would address not only sexual exploitation and abuse but also other forms of personal misconduct. The terms of reference for this new office were being developed.

DDRRR

54. MONUC’s Disarmament, Demobilization, Repatriation, Resettlement and Reintegration Programme (DDRRR) had developed related strategies and deployed staff to various locations within the DRC where DDRRR activities were conducted. The office had assisted in the repatriation of 8,219 Rwandan and Ugandan ex-combatants and civilians to

date. In addition, 3,729 withdrawals of Burandese ex-combatants and civilians had taken place. The Director of DDRRR in MONUC noted that operations in MONUC were unique and were likely to be so in each mission.

55. With regard to the coordination with the Peacekeeping Best Practices Section in New York, there was little communication because day-to-day matters were coordinated with the Office of Operations in DPKO. The issue of code cables sent to New York from MONUC was discussed noting that information contained therein likely did not filter down to the PBPS Section and there was thus a gap in the understanding of what was happening in MONUC. While best practices related to DDRRR would be of interest to MONUC, they were not yet available on a web-site. As to whether DDR activities in other missions were discussed or policy coordinated through the PBPS, the view expressed was that aside from the guidance provided in the *Principles and Guidelines bluebook on Disarmament, Demobilization and Reintegration of Ex-Combatants in a Peacekeeping Environment (1999)*, little of interest to the DDRRR staff in MONUC was taking place. Nevertheless, the PBPS noted the sentiments expressed by MONUC were not supported by feedback from other field missions. A unified approach to United Nations DDR and the development of inter-agency integrated DDR standards had been formulated at a workshop in Geneva in October 2004 and in a simulation exercise in Brindisi in April 2005 which aimed to change the whole approach to DDR. Representatives from MONUC had attended and participated in the Brindisi conference. The PBPS expected the newly developed interagency DDR standards would have a significant impact on field DDR activities following its launch in early 2006.

DDRR in UNMIL

56. Based on OIOS reviews carried out in UNMIL, more work was required in the area of best practices collection and dissemination to achieve impact regarding existing and future peacekeeping operations. In UNMIL, effort was required to develop a best practices framework that captures and implements operational lesson learned and best practices at the mission level. Due to the rotation of military staff, for example, it was difficult to disseminate lessons learned already experienced in Liberia where DDRR activities were halted and a renewed outbreak of violence resulted which could be attributed to not regarding lessons learned earlier. It was therefore absolutely essential that a best practices officer retain and make available relevant information and policy guidance related to DDRR activities specific to experience gained in the region. Although one DDRR-specific course had been held, better coordination and networking was needed with regional DDRR activities in other missions.

57. OIOS noted the positive experience which has taken place in the focal point areas which have already had annual meetings and supports the future periodic meeting of counterparts of all specialty groupings including officers of best practices, gender, HIV/AIDS, rule of law, conduct and DDR. Shared experiences of staff from different missions should be institutionalized as a best practice itself. These meetings should consider cost-effective options such as holding them in Brindisi, Italy at DPKO's well-established training centre or regionally. Annual meetings present the opportunity for specialized training, networking, policy development and discussion related to common problems and should be planned and coordinated with the PBPS to ensure the best outcome possible.

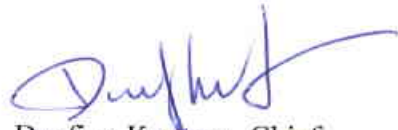
Recommendation 13

The Department of Peacekeeping Operations should endorse the concept of annual meetings to be coordinated by the PBPS with its field best practices officers for focal point offices including Gender, HIV/AIDS, ROL, DDR etc. for the purpose of sharing best practices, training, policy development and discussion on areas of mutual concern. Commitment by Member States to fund these meetings as a regularly occurring activity should be sought by the Department of Peacekeeping Operations (AP2005/600/23/013).

58. *The Department of Peacekeeping Operations accepted this recommendation and indicated that the PBPS had made a request for funds in the 2006/7 budget covering annual workshops for filed mission staff. It was now up to Member States to authorize the funds required.* OIOS encourages DPKO to provide information as required to Member States in support. Based on the comments provided, OIOS considers this recommendation as implemented.

VI. ACKNOWLEDGEMENT

59. We wish to express our appreciation to the management and staff of the Peacekeeping Best Practices Section for the assistance and cooperation extended to the auditors during this assignment.



Dagfinn Knutsen, Chief
Peacekeeping Audit Service, IAD1
Office of Internal Oversight Services

UNITED NATIONS



OIOS Client Satisfaction Survey

Audit of: Management audit of the Department of Peacekeeping Operations - Best Practices
(AP2005/600/23)

	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:
 Ms. Patricia Azarias, Director, Internal Audit Division-1, 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