



OIOS

Office of Internal Oversight Services

INTERNAL AUDIT DIVISION

AUDIT REPORT

Management of UN Police operations

Development of a comprehensive doctrine will increase the effectiveness of UN Police operations

26 August 2008

Assignment No. AP2007/600/01

United Nations  Nations Unies

INTEROFFICE MEMORANDUM

MEMORANDUM INTERIEUR

OFFICE OF INTERNAL OVERSIGHT SERVICES · BUREAU DES SERVICES DE CONTRÔLE INTERNE
INTERNAL AUDIT DIVISION · DIVISION DE L'AUDIT INTERNE

TO: Mr. Edmond Mulet, Officer-in-Charge and
A: Assistant Secretary-General
Department of Peacekeeping Operations

DATE: 26 August 2008

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



REFERENCE: IAD: 08- 01688

SUBJECT: **Assignment No. AP2007/600/01 - Management of UN Police operations**

OBJET:

1. I am pleased to present the report on the above-mentioned audit.
2. Based on your comments, we are pleased to inform you that we will close recommendations 19 and 21 in the OIOS recommendations database as indicated in Annex 1. In order for us to close the remaining recommendations, we request that you provide us with the additional information as discussed in the text of the report and also summarized in Annex 1.
3. Your response indicated that you did not accept recommendation 12. In OIOS' opinion, however, this recommendation seeks to address significant risk areas. We are therefore reiterating it and requesting that you reconsider your initial response based on the additional information provided in the report.
4. Please note that OIOS will report on the progress made to implement its recommendations, particularly those designated as high risk (i.e., recommendations 1, 5, 6, 10, 12, 15, 16 and 20) in its annual report to the General Assembly and semi-annual report to the Secretary-General.

cc: Mr. Andrew Hughes, UN Police Advisor
Mr. Seth Adza, Administrative Support Division, DFS
Mr. Swatantra Goolsarran, Executive Secretary, UN Board of Auditors
Ms. Maria Gomez Troncoso, Officer-in-Charge, Joint Inspection Unit Secretariat
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Ms. Eleanor Burns, Chief, Peacekeeping Audit Service, OIOS

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

Management of UN Police operations

OIOS conducted an audit of the management of UN Police operations at the Department of Peacekeeping Operations (DPKO) and in selected field missions. The overall objective of the audit was to assess: (i) DPKO's policy direction and monitoring over UN Police operations in peacekeeping missions; (ii) review the efficiency and effectiveness of the Police Division's operations and their compliance with existing policies, rules and regulations; and, (iii) the adequacy of internal controls. The audit was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.

The DPKO Police Division was adequately managing and supporting police operations in the field. Internal controls were in place and functioning properly at Headquarters and in the four missions reviewed.

However, with the increasing number of police being deployed to missions, and the growing number of Police Contributing Countries (PCCs), several areas require further guidance and support. These include:

- Developing a UN Police doctrine to govern all aspects of police operations including the establishment of responsibilities at the Headquarters and mission levels;
- Augmenting the resources available for the UN Police public information system to ensure PCCs are regularly up-dated on their officers' work. Further efforts are also required to enhance communication with PCCs by scheduling frequent meetings with PCCs to ensure a continuous supply of police with specialist skills;
- Monitoring mission Formed Police Units' rotation plans to ensure rotations occur smoothly and do not adversely effect the implementation of the mission mandate;
- Conducting a review of the current base line staffing of the Police Divisions to ensure an optimal core staffing component; and
- Enhancing the availability of data on serving and former police officers to effectively determine the suitability of nominated individuals and to provide a record of police officers' skills and competences.

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I. INTRODUCTION

1. The Office of Internal Oversight Services (OIOS) conducted an audit of the management of UN Police operations at the Department of Peacekeeping Operations (DPKO) and in four peacekeeping missions, namely, the United Nations Stabilization Mission in Haiti (MINUSTAH), the United Nations Organization Mission in the Democratic Republic of the Congo (MONUC), the United Nations Mission in Liberia (UNMIL) and the United Nations Mission in Timor-Leste (UNMIT) from August to November 2007. The audit was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.

2. The UN Police function is a key component of peacekeeping operations. Its deployment symbolizes a return to conventional society after a conflict in a war-torn country. The deployment of UN Police and the local police authority represents a constitutional mechanism to ensure good governance and rule of law in a country previously ravaged by lawlessness, disorder, rebellion, and/or war. Therefore, the professionalism, integrity and image of the UN Police are critical to the success of all peacekeeping operations. Currently, 92 Member States contribute UN Police to peacekeeping and political operations worldwide. As of August 2007, more than 17,000 United Nations police officers were deployed, or planned to be deployed, as part of the police components of 19 peacekeeping operations (15 missions led by DPKO and four by the Department of Political Affairs).

3. Within DPKO, the Police Division of the Office of the Rule of Law and Security Institutions is responsible for policy direction, programme coordination and management guidance and support of the UN Police operations in peacekeeping missions. Proposed staffing of DPKO provides for 138 posts in the Office of the Rule of Law and Security Institutions including 32 posts for the Police Division. The Police Division serves as the primary advisory body to the Under-Secretary-General for Peacekeeping Operations on all policing issues and is responsible for: (i) providing strategic direction and management of policing issues in peace operations; (ii) maintaining an overview of all operations and directing responses to critical incidents and issues that arise in the field; (iii) establishing frameworks for launching new police operations in response to United Nations resolutions; and (iv) liaising with the Department of Political Affairs, the Peacebuilding Commission, the Peacebuilding Support Office, other United Nations departments, agencies, funds and programmes. The Division has overall responsibility for recruiting police personnel and is also responsible for the activities of the Standing Police Capacity (SPC).

4. Comments made by DPKO are shown in *italics*.

II. AUDIT OBJECTIVES

5. The main objectives of the audit were to:

- (a) assess DPKO's policy direction and monitoring over UN Police operations in peacekeeping missions;
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(b) review the efficiency and effectiveness of the Police Division's operations and their compliance with existing policies, rules and regulations; and

(c) assess the adequacy of internal controls.

III. AUDIT SCOPE AND METHODOLOGY

6. The audit included a review of the Police Division's functions at Headquarters concentrating on its support of UN Police operations in the peacekeeping missions. Special consideration was given to reviewing management structure changes being undertaken and overall governance within the newly formed Office of the Rule of Law and Security Institutions, where the Police Division is now located.

7. Police operations in MINUSTAH, MONUC, UNMIL and UNMIT were reviewed by OIOS resident auditors to assess the role of the Police Division in monitoring operations over the last two years. The performance of the four missions in implementing their respective police mandates was also reviewed. OIOS interviewed responsible officials, reviewed related records and assessed activities at Headquarters and in the missions. Also, surveys and site visits were conducted in the field missions.

IV. AUDIT FINDINGS AND RECOMMENDATIONS

A. UN Police strategy and programme formulation

Absence of a comprehensive UN Police doctrine

8. OIOS' review of UN Police policies and procedures found that there was no comprehensive UN Police doctrine developed to form the police operations framework in peacekeeping. The number of Police Contributing Countries (PCCs) expanded and the UN police strength increased from 8,200 in 2006 to the current requirement of over 11,000. As a result, the need for a UN police doctrine has become a pressing issue. In OIOS' opinion, a doctrine specific to United Nations police activities, which incorporates worldwide leading police practices, would address the issue of accountability at all levels and set an example from the top down. The eventual implementation of the UN Police doctrine will also ensure that the highest international standards of practice and processes are codified and promulgated to facilitate the achievement of the eventual goal to develop local police institutions. The Police Division therefore needs to compile comprehensive police practices and processes as a basis for its future work.

9. In three of the four missions surveyed (MINUSTAH, MONUC and UNMIL), overall results indicated that the police strategic role had been clearly articulated. In UNMIT, 66 per cent of the police personnel surveyed felt that more could be done to strengthen communications to clarify its strategic role.

The development of a doctrine will facilitate a better understanding of the strategic role of UN police in missions, as well as provide guidance and direction on practical implementation.

Recommendation 1

(1) The Department of Peacekeeping Operations should develop a United Nations Police doctrine to govern all aspects of police operations at Headquarters and in the field, clearly establishing responsibilities and providing guidance for field operations to ensure the effective transfer of essential skills to local police institutions.

10. *DPKO accepted recommendation 1 and stated that although guidance applicable to the activities of the United Nations Police had been developed, a comprehensive police doctrine was yet to be developed. Towards this end, a joint UN-European Union (EU) Doctrine Development workshop would be held in Washington, DC in October 2008. The outcome of this workshop would be presented in November 2008 to Chiefs of Police of United Nations Member States at the Annual International Association of Chiefs of Police Conference in San Diego and a work plan based on this would be developed. Recommendation 1 remains open pending the issuance of the doctrine.*

Need for changing UN Police Advisor's title

11. A review of the current functions of the UN Police Advisor, who heads the Police Division, showed that the title of 'Police Advisor' may not be commensurate with the actual role, rank, and supervisory nature of the position. For example, one of the functions of the UN Police Advisor includes the supervision of all Police Commissioners and lower ranks of police personnel in the field missions. This may be confusing to those unfamiliar with the chain of command among police personnel serving with the United Nations. The role and functions of the UN Police Advisor should be clearly documented and disseminated to mission personnel. In this regard, it is important that the current title of the head of the Police Division is changed to reflect the level of responsibility and functions assigned to him.

Recommendation 2

(2) The Department of Peacekeeping Operations should change the title of the UN Police Advisor to properly reflect the supervisory nature of this position as the head of UN Police operations at Headquarters and in field missions.

12. *DPKO accepted recommendation 2 and stated that a proposal would be submitted for the endorsement of the Under-Secretary-General for peacekeeping operations and the Secretary-General of the United Nations. Recommendation 2 remains open pending final approval of the change in title of the Police Advisor.*

Lack of a standard template for mission implementation plans

13. Mission implementation plans (MIPs) are essential management tools, which once in place, enable monitoring of the progress in achieving the mission's mandate. The Mission is responsible for developing the MIP, and Headquarters reviews and monitors their implementation to ensure that they are consistent with the UN Police doctrine, have measurable goals, and completed in a timely manner. OIOS found that MIPs had not always been submitted to the Police Division at the beginning of their mandates. This identifies the need for the Police Division to be more proactive in its monitoring and follow-up roles. Also, to facilitate the monitoring of MIPs, in OIOS' view, the Police Division should develop a standard template to ensure completeness and coherence between missions in the information contained and presented in MIPs.

14. The majority of police personnel surveyed in MINUSTAH and UNMIL were satisfied with the guidelines given to assist them in establishing programmes and activities to achieve their mandate and work plan. In UNMIT, however, many felt that no clear formulation of individual responsibilities or annual work plan, objectives, indicators of achievement, or expected outputs was provided. In MONUC, while the police personnel in Kinshasa responded that they were satisfied with the work planning process, those outside Mission headquarters responded negatively. This identified a risk that MIPs formulated by Mission management may not be disseminated to the Sector offices of the Mission. In addition, OIOS found that the programme formulation approach varied from mission to mission.

15. *UNMIT disagreed with this assessment noting that an Annual Action Plan is disseminated to all units for implementation. Achievements of performance indicators are closely monitored by the Operations Department and the Strategic Planning Department which results in the formulation of the UNPOL Annual Report outlining key activities and achievements for each UN Police unit.* Nevertheless, the audit finding was based on a questionnaire wherein about one third of the respondents noted that the process was unsatisfactory and that the issue of better articulation of the plan at the field level was necessary. Also, due to changes in personnel it was likely that new arrivals may not have had the full picture of the Annual Action Plan.

16. In MINUSTAH, OIOS found that Results Based Budgeting (RBB) indicators for the expected accomplishments of "secure and stable environment in Haiti" and "progress towards reform and restructuring of the Haitian National Police" were aligned with priorities established by the Security Council resolutions, and indicators were consistently followed up in the respective performance reports. Similarly, MIPs identified goals, activities and milestones related to UN Police areas, and the quarterly follow-up reports provided adequate assurance on each expected accomplishment.

17. However, MINUSTAH had not adequately assisted the Haitian Government in establishing a fully functioning Coast Guard even though in the latest Results Based-Budget submission, the Mission had requested substantial resources to increase the level and effectiveness of its assistance in this area. The

MIP for September 2006 to June 2008 requires the multi-disciplinary MINUSTAH presence along key land border crossing points and selected port facilities. Both UN Police and MINUSTAH should finalize the UN Border Management Operational Concept and ensure that adequate resources are made available to provide effective assistance to the Government of Haiti, taking into consideration the participation of other donors.

18. In UNMIL, prior to February 2007, there was no strategic deployment plan for UN Police personnel. The then UN Police Chief of Staff attempted to locate planning documents, but it is not known whether they were ever formalized, approved, and/or disseminated. Similarly, there was no UN Police Concept of Operations (CONOPS) for UNMIL covering the period prior to 1 July 2005. Also, no CONOPS covering the period from 1 July 2007 to the present has been finalized or approved at the time of the audit.

19. In MONUC, the Security Council established a broad mandate for conflict resolution. To implement MONUC's mandate, DPKO translated it into strategic objectives and programme components with the Police Division providing policy direction, programme coordination and management support to the mission. MONUC's UN Police developed an action and draw-down plan approved by the Technical Assessment Mission for the implementation of the mandate of the mission. This action plan provided a comprehensive and strategic guide for the implementation of the current mandate and for an additional period up to June 2009.

Recommendation 3

(3) The Department of Peacekeeping Operations should (i) develop a standard format/template for UN Police mission implementation plans to ensure consistency of their use by all missions; and (ii) promulgate and disseminate these final templates to all UN Police mission managers.

20. *DPKO accepted recommendation 3 stating that in MINUSTAH in addition to establishing the Coast Guard comprehensive border activities, the Mission was providing wider assistance to the Government of Haiti with securing its land, sea and air frontier, inhibiting the flow of illegal contraband and fostering efforts to collect customs revenue. MONUC indicated that a Planning Unit to improve planning had been created to devise work plans and processes in coordination with Section Chiefs and that a Planning Officer was under recruitment. UNMIL clarified that its "Strategic Deployment Plan for UN Police Personnel" existed prior to February 2007 and that a number of other planning tools had been developed. The Police Division indicated it would develop a standard template for MIP for the police components in peacekeeping operations. The Police Division and Integrated Operational Teams will also assist field missions to review their CONOPS on a regular basis. Recommendation 3 remains open pending development of the standard template by the UN Police Division.*

Need for improving the UN Police public information system

21. It is absolutely essential to keep PCCs abreast of the work of their national officers serving with the United Nations. The relatively recent development of the UN Police website and issuance of the UN Police magazine is a step in the right direction and will, in part, improve communication and information sharing. It will also provide broader media coverage of successful activities to better promote UN police work. In order to sustain and develop these initiatives, regular funding should be made available. At present the UN Police have to rely on resources provided by the Department of Public Information including printing and distribution for the UN Police magazine. With a more stable and reliable funding source, the Police Division would be able to augment its public information system, as well as allow the police magazine to be produced and disseminated in additional languages such as French and Spanish.

Recommendation 4

(4) The Department of Peacekeeping Operations should augment the resources available for the UN Police public information system to ensure Police Contributing Countries are regularly up-dated on their officers' work and to enhance its public image. Consideration should be also given to issuing the UN Police Magazine in French and Spanish for wider distribution.

22. *DPKO accepted recommendation 4 and stated that the Police Division had sought since January 2006 to publicize the activities of UN Police work. It had become apparent as the number, scale and scope of United Nations Police operations had increased a regular core post should be established for a Communications and Advocacy Officer. Provision of this position was planned for the 2009/2010 budgetary submission of DPKO. Resources for translation work of UN Police documents were not presently available but would be requested during the next support account submission. Recommendation 4 remains open pending inclusion of the position of a Communications and Advocacy Officer in the 2009/10 budget submission of DPKO.*

B. Resource generation and deployment

Need to address vacancy rates and other personnel issues

23. The UN Police Division stated that the vacancy rates among missions with police components averaged about 5 to 6 per cent. OIOS found, at the mission level, that vacancy rates were, in fact, higher. For example, as of July 2007, the MINUSTAH Police component had a vacancy rate of 20 per cent and as of August 2007 the UNMIL Police component had a vacancy rate of 9 per cent. In both MONUC and UNMIT, vacancies of UN Police officers in administrative positions not subject to rotation also existed. Additionally, issues such as individual mission control over nationalities, rotation of Formed Police Units (FPU), intra-mission disparity of skilled staffing resources, and lengthy delays in filling senior international civilian positions within the Office of the

Police Commissioner have an impact on the ability of the UN Police to achieve their mandate.

24. OIOS identified through its audit survey that the rotation and repatriation of UN Police was not adequately planned, adversely effecting operations due to a lack of coordinated handover procedures. Consequently, valuable experience, know-how and lessons learned were not systematically shared and communicated to new arrivals. A strategy outlining police staffing requirements was often not in place, resulting in concerns that contract extensions were done on a rather ad-hoc basis that lacked transparency. It was clear from the survey results that there was a need to develop a staffing plan taking into account a phased approach with regard to rotation, with an overlap for at least a few weeks of key positions. This is essential in maintaining the viability and momentum of UN Police programmes and services.

25. In MINUSTAH, the Police component was comprised of 1,951 officers, of which 951 were individual UN Police officers and the remaining 1,000 were part of the FPU. As of July 2007, the Police Component had a vacancy rate of 20 per cent among individual UN Police while the FPU component was fully staffed. According to police officers of the Pillar II Component, the continuous lack of staffing resources affected staff morale and the capacity to carry out planned activities. In their view, Pillar II Component is penalized because it requires officers with specialized skills, which are more difficult to find. OIOS noted that in MONUC, there were concerns about high vacancy rates and that the numbers of police leaving the mission were not equally replaced, which affects day to day tasks. In UNMIT high vacancy rates affected mandate achievement, especially as key positions were left vacant or filled on a short-term basis by unqualified individuals.

26. While the Police Division at Headquarters has the overall responsibility for recruiting police personnel, MINUSTAH's Police Component is not provided with relevant information to estimate individual police officers turnover times. In many cases, they are given short notice of arrivals. Most contingents do not have regular rotation and therefore, UN Police administration cannot properly plan the required strength. While some contingents synchronize their rotation, most do not, generating shortfalls in personnel. In OIOS' opinion, DPKO should request PCCs to organize a scheduled rotation of contingents to provide missions with the continuity and stable strength they require to facilitate their work.

Recommendation 5

(5) The Department of Peacekeeping Operations should ensure continuity in police operations and a continuous supply of required specialist skills by improving communications with Police Contributing Countries and with the missions to synchronize the rotation of individual UN Police officers.

27. *DPKO accepted recommendation 5 and stated that the emerging expansion of police operations, especially in Africa, has resulted in a substantial*

increase in the number of UN Police in field missions. Difficulties in attracting high quality police experts and French speaking personnel had resulted in vacancy rates up to 20 per cent in prior years. Due to improved communications with missions, vacancy rates in 2008 are dropping for MINUSTAH, UNMIL, MONUC and UNMIT. The Division will continue to engage Member States to ensure a continuous supply of specialist skills. Recommendation 5 remains open pending confirmation from the Police Division that it has implemented the actions it is developing to provide continuity in the service of UN Police officers.

Delays in rotation of Formed Police Units (FPU)

28. In UNMIT, during late 2007, 140 Malaysian FPU officers, 140 Bangladeshi FPU officers, and approximately 680 UN Police officers of different nationalities were rotated. This was a logistical challenge due to delays in concurrently replacing personnel during a time of continuing security instability within the country. This adversely impacted the missions' ability to accomplish its mandate representing a high risk to the Missions' operations. At the time of the rotation, the Mission had been in existence for just over one year and this was the first major rotation to occur. About 680 officers left the Mission in October 2007 and included both FPU and UN Police. This put undue pressure on the Mission, not just on its logistical support, but also on the operational effectiveness of the UN Police, as delays occurred in getting the replacements to the mission area. Had the rotation been staggered, the lack of large numbers of replacements may have been minimized. It was also noted that higher security risks were experienced in areas where officers were being rotated.

Recommendation 6

(6) The Department of Peacekeeping Operations should monitor mission Formed Police Units' rotation plans to ensure that all rotations occur smoothly and effectively.

29. *DPKO accepted recommendation 6 and stated that the Police Division will review the current rotation plans between the Headquarters and the field missions. FPU related matters will also be taken into account during the comprehensive review of the Police Division. Recommendation 6 remains open pending the completion of the comprehensive review scheduled to be conducted in late 2008 by the Police Division.*

30. As of 20 August 2007 in UNMIL, there was a police strength of 1,134 (90 per cent of the budgeted number) made up of 512 UN Police Officers, 605 FPUs and an additional 17 UN Police Officers assigned to the Corrections Advisory Unit. The ten per cent shortfall equated to 60 UN Police Officers. Due to the vacancy level and work demands, officers were sometimes unable to take compensatory time off (CTO). This grievance came across strongly in responses to the OIOS survey. Fifty-eight per cent of the respondents stated that the rotation and repatriation procedures, which often resulted in gaps and shortfalls of police personnel, adversely impacted the quality of their work, and fifty-two per cent felt this needed to be addressed by a change in policy. Forty-two per cent believed that adequate resources were not provided, and 21 per cent of staff

surveyed held the opinion that these vacancy rates impacted on achievement of their established goals. It is well known that officers who are overworked, who are required to perform multiple functions, or who are not able to take time off due to work demands, become tired and sometimes demoralized which affects their level of productivity.

Recommendation 7

(7) The Department of Peacekeeping Operations should take action to address the issue of police vacancies given that the consequences of even low vacancy rates can have a moderate to severe impact on mission mandate achievement.

31. *DPKO accepted recommendation 7 and stated that in addition to the planned comprehensive review of the Division, the Police Division will increase its efforts to reduce the vacancy rates in field missions by: (a) engaging PCCs to provide required expertise and francophone personnel; (b) continuing its delegation of responsibilities for recruitment to field missions through the establishment of specialized units and professional posts in missions; and (c) establishing a recruitment cell in its Mission Management and Support Section. Recommendation 7 remains open pending confirmation from the Police Division that the three proposed actions are completed.*

Unclear responsibility on nationality and gender balance of the UN Police

32. In UNMIL, senior management informed OIOS that the mission did not have any control over the nationalities and gender of UN Police Officers sent to them. On the other hand, UNMIL senior management advised that the mission is expected to ensure that postings are occurring with due regard to gender and national balance and to submit regular reports on nationality and gender composition. There thus appeared to be a contradiction in that the mission is asked to ensure and report on equitable geographic and gender composition although they have no authority to ensure the achievement of the desired nationality and gender balance take place. The delegation of recruitment authority has been extended to some missions and not to others, and therefore confusion exists in respect of which missions should be responsible for gender and national balance and which are not. This needs to be properly clarified, and if responsibility lies with the missions, additional delegation and/or guidance must be extended to enable missions to fulfill this requirement.

Recommendation 8

(8) The Department of Peacekeeping Operations should clarify the responsibility for nationality and gender balance of the UN Police and review the current recruitment procedures to determine precisely which entity, the individual mission or DPKO Headquarters, is responsible for this balance. If the missions are responsible, more delegation and/or guidance must be extended to enable missions to

fulfill these requirements and administrative guidance must be clearly communicated.

33. *DPKO accepted recommendation 8 and stated that UNMIL recognized that it has a core, mandated responsibility to foster both gender awareness and the participation of women within each aspect of daily operations, whether internal or external, and in the contacts with its stakeholders. The Police Division noted that the responsibility for recruiting police personnel rests with Headquarters and field missions. While the authority for balanced recruitment remains in the Police Division, the distribution of assignments in peacekeeping operations is the field mission's Chief of Police Component's responsibility. The missions should ensure balance (nationality and gender) in senior post assignments in the field. and agreed to follow up on this recommendation with its field missions. Recommendation 8 remains open pending confirmation from the Police Division that it has followed up with its field missions to clarify the responsibilities of Headquarters and the missions with respect to achieving nationality and gender balance in the UN Police.*

Unclear responsibility for mission recruitment of UN Police

34. In UNMIT, eight international civilian positions within the Office of the Police Commissioner had either not yet been filled or were still only under the recruitment process, although the mission was already in operation for more than one year. These included senior positions such as the UN Police Adviser and the Senior Restructuring Rebuilding and Reform Coordinator. The functions were being performed by UN Police Officers subject to rotation. This poses the risk of a lack of continuity in the services provided and a loss of important information, which would likely result in inefficiencies. OIOS noted that there were difficulties in filling these posts as a result of misunderstandings in the procedures to be followed. The UNMIT Police Commissioner thought the positions would be filled by the Police Division at Headquarters, whereas under the delegated authority extended to UNMIT, the Mission could have recruited the staff in question.

Recommendation 9

(9) The Department of Peacekeeping Operations should review the delegations of authority for local recruitment of UN Police in missions and clarify its role in monitoring the identification, selection, interview and approval of candidates for UN Police Officer posts. The delegation of authority and respective procedures and guidelines should be clearly communicated to the Police Commissioner of each mission.

35. *DPKO accepted recommendation 9 and stated that in UNMIT, the Civilian Personnel Section would handle recruitment of the eight posts within the office of the Police Commissioner instead of the Police Commissioner. Selections had been made by the end of September 2007 for all vacant posts. The Department of Field Support's Field Personnel Division (FPD) clarified that with respect to filling of posts within the office of the Police Commissioner, FPD*

has developed a standard operating procedure (SOP) on “Staff Selection at UN Peace Operations and Political Missions” which defines roles and responsibilities of key stakeholders at the mission level to be promulgated by September 2008. Furthermore, delegated authority to UNMIT for recruitment up to and including the D-1 level had been granted. Recommendation 9 remains open pending an update from the Police Division that the UNMIT police posts are filled.

Need for review of secondment and recruitment of Headquarters staff

36. About 85 per cent of UN Police personnel serving in New York are on secondment from PCCs. Individuals for the remaining posts are recruited through the Galaxy system. Seconded personnel normally serve for a one-year tour, but are subject to an extension of up to three years. Extensions are determined by performance and by the agreement of the officer and his government. While both pros and cons exist to this arrangement, there is clearly a need to develop a larger core of base line staffing that is not subject to rotation. This would ensure that the continuity of core functions of the Office is maintained. It may also enable, through on-going training, staff to develop the specialized skills required to meet the increasingly complex nature of the work done by UN Police operations, as well as securing police personnel with a longer-term commitment to the Organization.

Recommendation 10

(10) The Department of Peacekeeping Operations should review the current base line staffing of the Police Division to determine an optimal core staffing component.

37. *DPKO accepted recommendation 10 and stated that it will undertake a comprehensive review of the functions, organization and resources of the Police Division taking into account its exponential increase in responsibilities in close consultation with other United Nations stakeholders and Member States. This should ensure that the Police Division is in a position to undertake all its responsibilities. DPKO briefed the Special Committee on Peacekeeping, the Advisory Committee on Administrative and Budgetary Questions (ACABQ) and the Fifth Committee on the intention of this review. Recommendation 10 remains open pending the receipt of documentation regarding the review of the Division’s base line staffing during its comprehensive review in late 2008.*

Lack of an annual plan for training police personnel

38. OIOS noted that a team-building training exercise was carried out for newly recruited Standing Police Capacity (SPC) staff at Headquarters, and a training course held in the United Kingdom. While some training in the Police Division had taken place over the years, there is a need for specialized training programmes in areas such as human trafficking, crowd control techniques, customs, port and airport security as well as information technology related to police work. An annual training plan to organize and coordinate the training in

the Division is needed. The use of on-line training programmes should be taken into consideration.

Recommendation 11

(11) The Department of Peacekeeping Operations should develop an annual training plan and review on-line options for specialized training programmes for UN Police serving at Headquarters and in the peacekeeping missions.

39. *DPKO accepted recommendation 11 and stated that the Police Division and the Integrated Training Service (ITS) are establishing the special requirements for training of Headquarters personnel. The SPC is now staffed with 27 personnel and they have requested development of specialized courses on team building and project management. Emphasis will be placed on United Nations specific needs rather than on generic policing subjects and an "annual training plan" and online options for training are jointly being formulated by the Police Division and the ITS. Recommendation 11 remains open pending development of annual training plans for the Police Division and the SPC.*

Need to improve UN Police orientation upon arrival at Headquarters and in the field

40. About 25 per cent of UN Police officers in the four missions surveyed felt that they did not receive or were not satisfied with their pre-deployment training. They recommended that more customized, mission-specific training should be provided to enable them to carry out their functions more effectively.

41. OIOS assessed the orientation and induction of UN Police in the field noting that an emphasis on making training materials available in advance of deployment of both individual police and FPUs is a good practice. Completion of on-line Sexual Exploitation and Abuse (SEA), Ethics and Security (Intermediate and Advanced) training courses is mandatory for staff at Headquarters, as is the filing of certificates of completion. It is OIOS' opinion that there is inconsistency in the administration of these courses from mission to mission, as some require course completion and some do not. However, the majority of officers surveyed stated that they understood their legal status and police functions, having received explanations of such during induction and that sufficient induction training was provided in respect to the code of conduct.

Recommendation 12

(12) The Department of Peacekeeping Operations should require the completion of on-line Sexual Exploitation and Abuse Prevention, ethics and security courses by all UN Police Officers in the field during their first month of service. Certificates of completion should be collected and filed accordingly.

42. *DPKO did not accept recommendation 12, stating that the emphasis on this training would shift to pre-deployment training which is the responsibility of the Member States. Training courses on the prevention of sexual exploitation and abuse and ethics/code of conduct are generic and not mission specific. The Integrated Training Service (ITS) offers help to Member States and in May 2008 communicated an interim curriculum for pre-deployment training to UN Police. The ITS also conducts training needs assessments and development of specialized training modules for police is nearing completion. While acknowledging DPKO's comments, OIOS believes that the completion of on-line courses by UN Police deployed to missions will increase their awareness of the policies on sexual exploitation and abuse, ethics and security. OIOS reiterates recommendation 12, which remains open pending establishment of training facilities in missions for UN Police to complete on-line training modules during the first month of deployment.*

43. It is clear that uniform standards and procedures are required by UN Police serving in the field missions to ensure high ethical values and practices. Uniform standards are necessary to ensure consistency in practices by UN Police regarding, in particular, special tasks involving activities such as riot/crowd control and use of force, as well as when it is appropriate to use deterrents such as rubber bullets. Once the UN police doctrine is finalized, training requirements to ensure consistency in practices will emerge that require guidelines and training of FPU's both for pre-deployment and after deployment. About 25 per cent of UN Police officers surveyed felt that they did not receive or were not satisfied with their pre-deployment training and that more mission-specific training should be considered.

Recommendation 13

(13) The Department of Peacekeeping Operations should develop training modules for the Formed Police Units and coordinate input from the Police Division and DPKO's Integrated Training Service.

44. *DPKO accepted recommendation 13 and stated that the Police Division was undertaking a thorough assessment of currently applicable best practices and effective methods for FPU's in accordance with internationally recognized norms and standards. Training for the FPU's cannot be developed until the doctrine that stipulates their composition, methodologies and primary responsibilities has been developed. While some already developed training modules will be adapted for FPU training, it is not possible to determine a robust implementation date until FPU doctrine is approved. Recommendation 13 remains open pending development of the FPU doctrine and subsequent FPU training plans.*

C. Governance, organization and coordination

Reorganization of the Police Division

45. It is normal that during a restructuring process when redefinition of roles and responsibilities of a Department or Division takes place, many potential risks emerge that need to be managed. From the outset, it is important that appropriate structures are established to ensure necessary information flow within Headquarters and the missions and that processes and procedures are put in place to direct, manage and monitor the activities of UN Police and FPU.

46. The current restructuring and redefinition of the role of UN Police function creates a governance risk which needs to be mitigated by establishing appropriate processes and structures to inform, direct, manage and monitor the activities of UN Police and FPUs. Discussions with UN Police personnel indicated that the main challenge to the UN Police Division in the newly organized Office of the Rule of Law and Security Institutions will be to develop a comprehensive approach to address this risk by improving coordination, integration and joint action with a wide range of United Nations and other peacekeeping partners. According to the new organizational structure, the UN Police Division includes the following four main units:

- 1) Office of the Police Advisor (Office of the PA)
- 2) Mission Management and Support Section (MMSS)
- 3) Strategic Policy and Development Section (SPDS); and
- 4) Standing Police Capacity Section (SPC)

47. It is essential that a unit-by-unit assessment of the responsibilities and scope of work of each unit be undertaken. OIOS noted, for example, the SPDS currently had some of its staff tasked with duties unrelated to its core work and that staff were assigned to the Darfur planning group and elsewhere. Temporary redeployments of already limited staffing resources from the SPDS to the MMSS were said to have come at the cost of the core work of the SPDS. To ensure that the core function of the UN Police at Headquarters is carried out, DPKO should reassess the organizational structure of the Police Division.

Recommendation 14

(14) The Department of Peacekeeping Operations should reassess the organizational structure of the Police Division and its four main units to ensure that the core work of each unit is being carried out effectively.

48. *DPKO accepted recommendation 14 and reiterated that once a comprehensive review of the functions, organization and resources of the Police Division takes place, it will be able to position itself to undertake all its responsibilities including its global lead for policing matters within the United Nations.* Recommendation 14 remains open pending the receipt of documentation concerning the outcome of the comprehensive review of the Police Division scheduled for late 2008.

49. An identification of the role of UN Police within the newly formed Headquarters Rule of Law and Security Institutions is required. Under current arrangements, work revolves around the administration of and planning for current and proposed missions. A balanced portion of the Office's monitoring work needs to be devoted to assessment of mission mandate implementation. Although previous assessment missions have been undertaken, mission reports should be standardized to allow more comprehensive analysis and evaluation of individual mission mandates and in comparison to others. Use of standardized planning tools and templates should be developed to accomplish this.

Recommendation 15

(15) The Department of Peacekeeping Operations should create draft assessment templates for more comprehensive and comparable mission mandate assessments in regard to the UN Police component.

50. *DPKO accepted recommendation 15 and stated that mission assessment templates for the police component will be developed.* Recommendation 15 remains open pending development of mission assessment templates by the Police Division.

Need to speed up the relocation of the Standing Police Capacity staff to Brindisi

51. The Standing Police Capacity (SPC) Section was established pursuant to the report of the Secretary-General's High-level Panel on Threats, Challenges and Change. The Panel recommended that the United Nations should have a small group of senior police officers who could undertake mission assessments and organize the start-up phase of police components in new missions. The SPC was envisioned to be a separate and strictly field-oriented branch of the Police Division of approximately 50 professional level posts and would provide qualified experts to set up one new mission, deploy a team to an existing mission for critical corrective or enhancement services and provide thematic specialists such as investigators for special assignments, while maintaining a small reserve rapid-reaction team at the duty station to engage in planning and rapid response.

52. OIOS found that recruitment delays had postponed the establishment of the SPC. Although originally planned to be a separate and strictly field-oriented branch of the Police Division, some administrative confusion existed as to reporting lines and the linkage with the Police Division at Headquarters once deployment to Brindisi would take place. The reporting lines and linkage with the UN Police Division should be reassessed once deployment to Brindisi takes place. This should be accomplished at the earliest opportunity since office space at Headquarters is inadequate to support even a partially staffed SPC capacity and there may be some hesitancy to make the move to Brindisi as time elapses. The establishment of SPC in Brindisi should proceed without delay as future staffing will be dependent on an assessment of field operational effectiveness. Encouragement is required to recruit and establish this capacity with new staff fully meeting the requirements of the specialized posts. Transparency in filling

these posts with fully qualified staff on secondment is essential to set the example for PCCs.

Recommendation 16

(16) The Department of Peacekeeping Operations should staff the Standing Police Capacity Section with qualified specialists in a fully transparent manner and deploy them to Brindisi without further delay.

53. *DPKO accepted recommendation 16 and stated that the Standing Police Capacity is fully staffed as of May 2008 with 25 professionals and two support staff (representing 22 nationalities and a quarter of the staff is female). The SPC has been deployed to MINURCAT since November 2007 and several deployments have been to UNMIT and UNMIK. The planning for the relocation to Brindisi is ongoing and will take place starting in February and will be completed by June 2009. Recommendation 16 remains open pending actual deployment of the SPC to Brindisi by June 2009.*

Recruitment of UN Police at Headquarters

54. Headquarters Desk Officers currently perform a variety of tasks to support field missions including liaison with PCCs to identify new UN Police Officers for mission recruitment. However, there was a duplication of effort occurring in the selection of new UN Police recruits when desk officers representing different missions competed for recruitment of the same nominee and contacted the PCCs individually. It would be more efficient to streamline the process of recruitment for all missions by creating a single recruitment unit rather than continue the practice of each mission desk officer performing recruitment duties.

Recommendation 17

(17) The Department of Peacekeeping Operations should streamline the work of Headquarters desk officers by creating a single unit staffed by human resource specialists responsible for selecting candidates for UN police positions.

55. *DPKO accepted recommendation 17 and stated that once a comprehensive review of the functions, organization and resources of the Police Division takes place, it will be in a position to undertake all its responsibilities. Recommendation 17 remains open pending creation of a single unit responsible for selecting candidates.*

Lack of service agreements for individual UN Police officers

56. The service of Formed Police Units is covered by a Memorandum of Understanding (MOU) with contributing countries. However, the service of individual UN Police Officers assigned to peacekeeping missions is not regulated by any policy document. UN Police Officers serving in peacekeeping missions should be covered by a generic MOU detailing their conditions of service and

coverage as "Experts on Mission" within the meaning of Article VI, section 22 of the Convention of Privileges and Immunities of the United Nations (13 February 1946). At the time of the audit, the Police Division was developing a generic MOU that would provide coverage for UN Police Officers serving in peacekeeping missions.

57. The need for an MOU was demonstrated in UNMIL, where the MOUs with PCCs are available for the FPU from India, Jordan, Nepal and Nigeria. However, there were no MOUs covering service of individual UN police Officers. While the DPKO Guidelines for UN Police state "a police officer's tour of duty is one year and total tenure may not exceed two years", OIOS was informed of certain exceptions including six-month tours of duty for Norwegian/Swedish nationals and extensions for USA national police officers who have served two years. OIOS found, however, that there were no documents supporting these exceptions on tours and conditions of duty. Thus, there was no basis for reviewing whether rotations and extensions of tours of duty were occurring in accordance with standard agreements or that postings to the mission area, including policies and procedures, were occurring with due regard to geographic balance.

58. In MINUSTAH, in line with a DPKO code cable, all experts on mission (UN Police Officers/Members of Formed Police Units/Corrections Officers/Military Observers/ Military Liaison officers) are required to sign the "Undertaking and Declaration by Experts on Mission". The declaration is a personal acknowledgement of the regulations governing the status, basic rights and duties of experts on mission and the UN policy on sexual exploitation. OIOS sampled 66 UN Police Officers' personal files for review and found that in 12 out of 66 (or 18 per cent) cases, a copy of the declaration was not on file and the MINUSTAH Personnel Section could not provide the missing documents.

Recommendations 18 and 19

The Department of Peacekeeping Operations should:

(18) cover the services of individual UN Police Officers with Police Contributing Countries in the context of service agreements using a signed Memorandum of Understanding; and

(19) ensure that standardization of tours of duty duration and signing of the "Undertaking and Declaration by Experts on Mission" forms by individual UN Police Officers should be enforced mission-wide, kept on file, and monitored by the Police Division at Headquarters.

59. *DPKO accepted recommendation 18 and stated that UNMIL had clarified that the "Guidelines for United Nations Police Officers on assignment with Peacekeeping Operations" allowed specific exceptions for granting additional extensions may be made on a case-to-case basis based on Mission operational requirements and the performance of the UN Police officer.*

MINUSTAH responded that after the audit, it performed a complete review of UN Police files and notified relevant contingents to complete and deliver missing forms. In cases where their governments had instructed UN Police to not sign the required forms, the issue would be taken up with the Police Division. DPKO indicated that a written request to the Office of Legal Affairs was sent on this issue in October 2007 and it was waiting for OLA response. Recommendation 18 remains open pending a decision on this legal matter.

60. *DPKO accepted recommendation 19 and stated that assignments of UN Police are normally for one year, however, there may be variations when a Member State chooses to confine the length of tours due to national requirements. In such cases, the cost for the inward travel is at the expense of the Member State and the United Nations arranges for repatriation travel. The Police Division will review the current practice of signing and retaining copies of the "Undertaking and Declaration by Experts on Mission" form to ensure a copy is kept on file and monitored by the Police Component leadership. Based on the action taken by DPKO, recommendation 19 has been closed.*

D. Capability

Need for IT staffing database

61. The Police Division has developed a database of staff members who have been the subject of disciplinary proceedings and sanctions. A search through the database is an important internal control to ensure that nominated individuals by PCCs are not re-assigned to the United Nations if they have violated codes of conduct and discipline. At present, the responsibility to maintain the database is that of one individual. Looking ahead and taking into consideration the expansion of UN Police operations, efforts are required to enhance the Police Division's information technology capacity. It is essential that appropriate and up-to-date information is maintained to assure the effectiveness of this critical internal control.

62. The Police Division encountered difficulties in identifying and recruiting senior police officers for peacekeeping mission service. In OIOS' opinion, the development of a database to collect and maintain data such as contact details, service records and special skills on former UN Police Officers with a proven track record of excellent service in the UN would provide a useful tool to enable former staff to be identified and would facilitate the recruitment process. The database could be expanded to accommodate information on all ranks of police officers. Also, to ensure specialist skills are captured, a police staff survey could be conducted in order to gather information on current serving UN Police with experience and technical skills.

Recommendation 20

(20) The Department of Peacekeeping Operations should ensure that the current database on former police personnel is enhanced to assure the effectiveness of a critical internal control with regard to the suitability of individuals

nominated by Police Contributing Countries. Information on currently serving UN Police should be collected and staff should be surveyed to capture experience and technical skills to assist with future recruitment of UN Police.

63. *DPKO accepted recommendation 20 and stated that action to develop and maintain the database and to collect information on currently serving police officers will be linked with the comprehensive review of the functions, organization and resources of the Police Division to take place in late 2008. Recommendation 20 remains open pending the receipt of documentation concerning the outcome of the comprehensive review and confirmation of the enhancement of the Police Division database.*

E. Monitoring

Dissemination of guidance from Headquarters needs improvement

64. OIOS' survey indicated that MINUSTAH and UNMIL UN Police were satisfied with the guidance and assistance provided by the Police Division at Headquarters to their respective peacekeeping missions. In MONUC, most survey respondents from the Sector offices were generally satisfied, although, many indicated that their mission Headquarters was best placed to address the related questions. In UNMIT, although the majority responded positively, it emerged that it was an area that should be improved, as it was stated that insufficient information was disseminated to sector teams in respect of what the Police Division, Headquarters requires. UNMIT was also of the opinion that there was no routine transmission of guidance and/or information from Headquarters to UNMIT headquarters or further transmission to the sectors. The mission audits found that there was a need for greater monitoring to ensure compliance with UN Police personnel entitlements, particularly over leave and attendance and for Compensatory Time Off (CTO). In previous audits, OIOS noticed ambiguities in respect of the application of rules governing the granting of travel time days within the mission and the granting of CTO to Headquarters UN Police staff.

Recommendation 21

(21) The Department of Peacekeeping Operations should ensure that administrative guidance is disseminated to all mission Headquarters (particularly new missions) staff and UN Police serving in locations outside of mission Headquarters.

65. *DPKO partially accepted recommendation 21 and stated that 21 policies, directives, guidelines and standard operating procedures applicable to activities of UN Police have been transmitted to field missions and are available on the DPKO intranet. As the field missions have the primary responsibility of ensuring that such issuances are made available locally, the Police Division will monitor this process to ensure all police personnel have access to these*

documents. Based on the action taken by DPKO, recommendation 21 has been closed.

Non-completion of performance assessments

66. Performance appraisals for UN Police were initiated by the Police Division in late 2006 for UN Police serving at all levels in the peacekeeping missions. Performance evaluation serves as a measurement of the quality of work performed, and a positive evaluation should be the basis for an extension of service and taken into account for future assignments to another mission or Headquarters. OIOS found that performance appraisals were not completed universally in the missions. In OIOS' opinion, performance evaluations should be systematically completed after six-month's service and be a mandatory part of the UN Police check out procedures.

Recommendation 22

(22) The Department of Peacekeeping Operations should ensure that performance appraisals are conducted for mission staff after six-month's service and be incorporated as a mandatory UN Police check out procedure.

67. *DPKO accepted recommendation 22 and stated that it had issued a standard operating procedure on performance appraisals for UN Police officers in December 2006. The Police Division confirmed that it will review the process in order to enforce the implementation of this policy as the implementation is the responsibility of the field missions.* Recommendation 22 remains open pending verification that performance appraisals are being monitored in the field missions by the Police Division.

V. ACKNOWLEDGEMENT

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

STATUS OF AUDIT RECOMMENDATIONS

Recom. no.	Recommendation	Risk category	Risk rating	C/O ¹	Actions needed to close recommendation	Implementation date ²
1.	The Department of Peacekeeping Operations should develop a United Nations Police doctrine to govern all aspects of police operations at Headquarters and in the field, clearly establishing responsibilities and providing guidance for field operations to ensure the effective transfer of essential skills to local police institutions.	Governance	High	O	Development of a UN Police Doctrine Plan.	30 June 2011
2.	The Department of Peacekeeping Operations should change the title of the UN Police Advisor to properly reflect the supervisory nature of this position as the head of UN Police operations at Headquarters and in field missions.	Human Resources	Medium	O	Final approval of the change in title.	1 July 2009
3.	The Department of Peacekeeping Operations should (i) develop a standard format/template for UN Police mission implementation plans to ensure consistency of their use by all missions; and (ii) promulgate and disseminate these final templates to all UN Police mission managers.	Operational	Medium	O	Development of the standard MIP template.	28 Feb. 2009
4.	The Department of Peacekeeping Operations should augment the	Human Resources	Medium	O	Inclusion of the position of a Communications and Advocacy	1 July 2009

Recom. no.	Recommendation	Risk category	Risk rating	C/O ¹	Actions needed to close recommendation	Implementation date ²
5.	<p>resources available for the UN Police public information system to ensure Police Contributing Countries are regularly up-dated on their officers' work and to enhance its public image. Consideration should be also given to issuing the UN Police Magazine in French and Spanish for wider distribution.</p> <p>The Department of Peacekeeping Operations should ensure continuity in police operations and a continuous supply of required specialist skills by improving communications with Police Contributing Countries and with the missions to synchronize the rotation of individual UN Police officers.</p>	Operational	High	O	<p>Officer in the 2009/10 budget submission of DPKO</p> <p>Confirmation from the Police Division of implementation of the actions it is developing to provide continuity and supply of UN Police officers.</p>	31 March 2009
6.	<p>The Department of Peacekeeping Operations should monitor mission Formed Police Units' rotation plans to ensure that all rotations occur smoothly and effectively.</p>	Operational	High	O	<p>Confirmation from the Police Division that the comprehensive review has been conducted.</p>	31 December 2008
7.	<p>The Department of Peacekeeping Operations should take action to address the issue of police vacancies given that the consequences of even low vacancy rates can have a moderate to severe impact on mission mandate achievement.</p>	Operational	Medium	O	<p>Confirmation from the Police Division that the three actions proposed (engagement of PCCs to provide expertise, delegation of recruitment responsibility to field missions and establishment of a recruitment cell) were undertaken.</p>	1 July 2009

Recom. no.	Recommendation	Risk category	Risk rating	C/O ¹	Actions needed to close recommendation	Implementation date ²
8.	The Department of Peacekeeping Operations should clarify the responsibility for nationality and gender balance of the UN Police and review the current recruitment procedures to determine precisely which entity, the individual mission or DPKO Headquarters, is responsible for this balance. If the missions are responsible, more delegation and/or guidance must be extended to enable missions to fulfill these requirements and administrative guidance must be clearly communicated.	Human Resources	Medium	O	Confirmation from the Police Division that it has followed up with its field missions to clarify the responsibilities of both Headquarters and the missions.	31 March 2009
9.	The Department of Peacekeeping Operations should review the delegations of authority for local recruitment of UN Police in missions and clarify its role in monitoring the identification, selection, interview and approval of candidates for UN Police Officer posts. The delegation of authority and respective procedures and guidelines should be clearly communicated to the Police Commissioner of each mission.	Human Resources	Medium	O	Update from the Police Division that the UNMIT police posts are filled.	31 Dec. 2008
10.	The Department of Peacekeeping Operations should review the current base line staffing of the Police Division to determine an optimal core staffing component.	Human Resources	High	O	Confirmation of revision of the Division's base line staffing during its comprehensive review in late 2008.	31 Dec. 2008

Recom. no.	Recommendation	Risk category	Risk rating	C/O	Actions needed to close recommendation	Implementation date ²
11.	The Department of Peacekeeping Operations should develop an annual training plan and review on-line options for specialized training programmes for UN Police serving at Headquarters and in the peacekeeping missions.	Human Resources	Medium	O	Development of annual training programmes for the Police Division and the SPC.	Not provided
12.	The Department of Peacekeeping Operations should require the completion of on-line Sexual Exploitation and Abuse Prevention, ethics and security courses by all UN Police Officers in the field during their first month of service. Certificates of completion should be collected and filed accordingly.	Human Resources	High	O	Establishment of training facilities in missions for UN Police to complete on-line training modules covering sexual exploitation and abuse, ethics and security courses during the first month of deployment.	Not provided
13.	The Department of Peacekeeping Operations should develop training modules for the Formed Police Units and coordinate input from the Police Division and DPKO's Integrated Training Service.	Human Resources	Medium	O	Development of the FPU doctrine and subsequent FPU training plans.	Not provided
14.	The Department of Peacekeeping Operations should reassess the organizational structure of the Police Division and its four main units to ensure that the core work of each unit is being carried out effectively.	Human Resources	Medium	O	Implementation of the outcome of the comprehensive review of the Police Division scheduled for late 2008.	1 July 2009

Recom. no.	Recommendation	Risk category	Risk rating	C/O ¹	Actions needed to close recommendation	Implementation date ²
15.	The Department of Peacekeeping Operations should create draft assessment templates for more comprehensive and comparable mission mandate assessments in regard to the UN Police component.	Operational	High	O	Development of mission assessment templates by the Police Division.	31 March 2009
16.	The Department of Peacekeeping Operations should staff the Standing Police Capacity Section with qualified specialists in a fully transparent manner and deploy them to Brindisi without further delay.	Human Resources	High	O	Actual deployment of the SPC to Brindisi by June 2009.	June 2009
17.	The Department of Peacekeeping Operations should streamline the work of Headquarters desk officers by creating a single unit staffed by human resource specialists responsible for selecting candidates for UN police positions.	Human Resources	Medium	O	Creation of a single unit in the Police Division responsible for selecting candidates.	1 July 2009
18.	The Department of Peacekeeping Operations should cover the services of individual UN Police Officers with Police Contributing Countries in the context of service agreements using a signed Memorandum of Understanding.	Compliance	Medium	O	Implementation will be made based on a feedback from the Office of Legal Affairs when received.	30 June 2009
19.	The Department of Peacekeeping Operations should ensure that standardization of tours of duty duration and signing of the	Compliance	Medium	C		Implemented

Recom. no.	Recommendation	Risk category	Risk rating	C/O ¹	Actions needed to close recommendation	Implementation date ²
	“Undertaking and Declaration by Experts on Mission” forms by individual UN Police Officers should be enforced mission-wide, kept on file, and monitored by the Police Division at Headquarters.					
20.	The Department of Peacekeeping Operations should ensure that the current database on former police personnel is enhanced to assure the effectiveness of a critical internal control with regard to the suitability of individuals nominated by Police Contributing Countries. Information on currently serving UN Police should be collected and staff should be surveyed to capture experience and technical skills to assist with future recruitment of UN Police.	Human Resources	High	O	Confirmation of the enhancement of the Police Division database.	1 July 2009
21.	The Department of Peacekeeping Operations should ensure that administrative guidance is disseminated to all mission Headquarters (particularly new missions) staff and UN Police serving in locations outside of mission Headquarters.	Information resources	Medium	C		Implemented
22.	The Department of Peacekeeping Operations should ensure that performance appraisals are conducted for mission staff after six-month’s	Human resources	Medium	O	Verification that performance appraisals are being monitored in the field missions by the Police Division.	31 Dec. 2008

Recom. no.	Recommendation	Risk category	Risk rating	C/O ¹	Actions needed to close recommendation	Implementation date ²
	service and be incorporated as a mandatory UN Police check out procedure.					

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