

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: Ms. Ellen Margrethe Løj
A: Special Representative of the Secretary-General
United Nations Mission in Liberia

DATE: 12 January 2009

REFERENCE: IAD: 09- 02105

FROM: Fatoumata Ndiaye, Officer-in-Charge,
DE: Internal Audit Division, OIOS

SUBJECT: **Assignment No. AP2007/626/17 - Audit of United Nations Police in UNMIL**

OBJET:

Police components did not always fully comply with post-arrival requirements and tests.

1. I am pleased to present the report on the above-mentioned audit which was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.
2. In order for us to close the recommendations in the OIOS recommendations database, we request that you provide us with the additional information as discussed in the text of the report and also summarized in Annex 1.
3. Please note that OIOS will report on the progress made to implement its recommendations in its annual report to the General Assembly and semi-annual report to the Secretary-General.

I. INTRODUCTION

4. The Office of Internal Oversight Services (OIOS) conducted an audit of United Nations police (UNPol) in the United Nations Mission in Liberia (UNMIL).
5. UNPol constitute a key component of peacekeeping operations. They symbolize a return to normality after conflict in a war-torn country. Often, the root cause of conflicts around the globe emanates from abuse of wealth and power, and the local police authority represents a constitutional mechanism to ensure good governance and rule of law. Therefore, the professionalism, integrity and image of the UNPol are critical to the success of peacekeeping operations.
6. Since the enactment of resolution S/RES/1509 dated 19 September 2003, the Security Council continues to attach great importance to the need for assisting the Government of Liberia in monitoring and restructuring the police force of Liberia, consistent with democratic policing, to develop a civilian police training programme and to otherwise assist in the training of civilian police. The Security Council also decided in the same resolution that UNMIL will include up to 1,115 police officers, including formed police units (FPUs) to assist in the maintenance of law and order throughout Liberia. S/RES/1694 dated 13 July 2006 increased the authorized number of UNMIL's police component by 125 (with a corresponding decrease in the authorized strength of its military component by 125).

S/RES/1777 dated 20 September 2007 endorsed the Secretary-General's recommendation for a reduction of 498 officers deployed as part of UNMIL's police component during the period from April 2008 to December 2010.

7. The authorized strength of the police component in UNMIL as of 30 June 2008 was 1,240, with a 2007-2008 budget of \$45.2 million for police operations. Of this amount, \$30.7 million or 68 per cent was allocated for police officers and \$14.5 million or 32 per cent for FPUs.

8. Comments made by UNMIL are shown in *italics*.

II. AUDIT OBJECTIVES

9. The main objectives of the audit were to:

(a) Examine the coordination and monitoring mechanisms exercised with the Police Division at Headquarters and within the Mission;

(b) Assess the efficiency and effectiveness of police operations in UNMIL and mandate fulfillment; and

(c) Identify lessons learned to recommend preventive measures and leading practices

III. AUDIT SCOPE AND METHODOLOGY

10. The audit focused on the years 2006-2008 and covered the following areas of United Nations police operations: (a) programme formulation/strategy; (b) resource generation and deployment; (c) organization and coordination; (d) capability; and (e) monitoring.

11. The audit methodology included the issuance and subsequent analysis of a survey to all police officers in UNMIL, review of pertinent documents and interviews with key personnel.

IV. OVERALL ASSESSMENT

12. The audit concluded that police operations within UNMIL were assessed as generally satisfactory. Police officers surveyed responded that the police component have clearly articulated their overall strategic role, the reporting structure to UNMIL senior management was effective, and there was good communication, interaction and integration among the various pillars dealing with activities involving the UNPol. However, the results of the survey showed that policies and procedures on rotation and repatriation of UNPol needed to be reviewed, as there were often delays in arrival of replacements hindering the smooth hand-over of responsibilities. Moreover, additional training was required, and there was not always evidence on file that police officers and FPUs had successfully passed both the pre-deployment and post-arrival tests and requirements.

V. AUDIT FINDINGS AND RECOMMENDATIONS

A. Survey results

13. A survey questionnaire was sent to all 513 UNMIL police officers in the Mission at the time of the audit. From this, 93 responses were received. The following summarizes some of the major results:

- The strategic role of the UNPol has been clearly articulated, and police officers had been adequately briefed on and understood their legal status as UNPol. Similarly, other Mission-mandated activities were clearly defined and understood.
- The Department of Peacekeeping Operations' (DPKO) Police Division provides adequate assistance to the Mission.
- The reporting structure in place, with respect to reporting to senior management at the Mission level and to Headquarters, was effective.
- Communications, interaction and integration between and among various pillars or mandated activities involving UNPol are working effectively.
- Individual responsibilities related to the current mandate of the police contingent, team, or work unit had been properly communicated.

14. OIOS also interviewed four substantive unit heads who work closely with UNPol. They stated that: (a) the overall strategic role of the UNPol in UNMIL was clear to them and their work unit; and (b) they have good interaction with the UNPol.

15. The survey results pointed out that respondents were of the opinion that the rotation and repatriation policies and procedures of UNPol in UNMIL impacted their work. For instance, the lead time between repatriating and arriving UNPol did not allow for a smooth handing over of job responsibilities, and prevented police officers from taking compensatory time off. There was a need therefore to develop a staffing plan that takes into account a phased approach of rotating UNPol to ensure there is an overlap of at least a few weeks for key positions. OIOS in its report (AP2007/600/01) on the Management of UN Police operations recommended that DPKO monitor Mission's FPU's rotation plans to ensure that all rotations occur smoothly and effectively. DPKO accepted OIOS' recommendation and stated this would be taken into account during the comprehensive review of the Police Division.

16. The survey identified other areas that warranted some attention, including the need for: (a) improvements in annual work plans and objectives and the way they are communicated, such as preparing work plans with inputs from stakeholders and team members, improving benchmarks and indicators of achievement, training of incoming team leaders or unit heads and continuous and frequent communications; (b) provision of additional equipment such as vehicles, generators, computer and mobile communications equipment, sanitary facilities, equipment for the National Police Training Academy and

human resources; and (c) compilation and dissemination of lessons learned through Chief of Staff bulletins, magazines, flyers, UNMIL broadcasts and the intranet.

Recommendation 1

(1) The UNMIL Police Commissioner should analyze the perceived shortfalls identified by the survey in the areas of: (a) communication of annual work plans; (b) provision of equipment, vehicles and human resources; and (c) compilation and dissemination of lessons learned, and if found necessary take remedial measures.

17. *The UNMIL Police Commissioner accepted recommendation 1 and stated that perceived shortfalls would be analyzed for validity, and if founded in substance, remedial action would be taken.* Recommendation 1 remains open pending the results of the Police Commissioners analysis of the perceived shortfalls outlined in the survey.

B. Memoranda of understanding

18. Of the 42 contingents that operated in UNMIL, drawn from 38 police-contributing countries (PCCs), there were no Memoranda of Understanding (MOUs) available in the Mission for 37 contingents. The MOU establishes the administrative, logistics and financial terms and conditions to govern the contribution of personnel, equipment and services provided by the PCC. Thus, in order for the Mission to administer its police personnel and staffing issues, its Police Personnel Unit needs to obtain and retain copies of current MOUs and/or other agreements between DPKO and the PCCs.

Recommendation 2

(2) The UNMIL Police Commissioner should, when available, obtain from the Department of Peacekeeping Operations Police Division and maintain on file Memoranda of Understanding for all police contingents in UNMIL and refer to these documents when administering the Mission's police personnel and staffing issues.

19. *The UNMIL Police Commissioner accepted recommendation 2 and stated that Memoranda of Understanding, when available, would be provided and maintained on file to assist in the administration of the United Nations police component.* Recommendation 2 remains open pending OIOS confirmation that the Mission has obtained Memoranda of Understanding or appropriate alternative agreements for in-mission police contingents.

C. Police officers' training and assessment

Pre-deployment training and assessments

20. Twenty-five per cent of those who responded to OIOS' survey mentioned that they were not adequately trained prior to deployment to UNMIL and hence not adequately prepared for the duties and responsibilities assigned to them. The Police Training

Coordinator confirmed this situation and added that not all countries can provide the required level and quality of training.

21. From an audit sample of 68 police officers and 40 FPU members, there were records for only 12 police officers showing that they had successfully passed the required assessments for police officers and for FPU members, in accordance with the relevant guidelines. No assurance could be provided therefore that all the UNPol had been adequately trained and/or met the minimum criteria prior to deployment. This is concerning and highlights a risk of non-achievement of UNMIL's mandate due to inadequately trained UNPol.

Recommendation 3

(3) The UNMIL Police Commissioner should impress upon the Department of Peacekeeping Operations Police Division the Mission's need to obtain assurance that police officers assigned to it have fully complied with pre-departure requirements.

22. *The UNMIL Police Commissioner accepted recommendation 3 and stated that the Mission would continue to impress upon the Department of Peacekeeping Operations to ensure assigned police officers' full compliance with pre-departure requirements.* Recommendation 3 remains open pending a review of records confirming that incoming police officers have successfully passed the required pre-deployment assessments.

Post-arrival test requirements

23. Almost 50 per cent of the survey respondents were of the opinion that training was required, particularly for the development of language skills and driving competency. The substantive unit heads interviewed also mentioned that police officers will benefit from further Mission-specific training in areas such as human rights, penal code and criminal procedure code, conduct and discipline, sexual exploitation and abuse, and integrity.

24. There were incomplete testing and training records of the Mission's post-arrival tests and training requirements. For example, in the sample selected, there were no records that 45 police officers (67 per cent of those tested) and all 17 FPU command staff, who hold positions that require English proficiency, have passed the English proficiency examination. Also, there was no evidence found on file that ten persons had signed the letter of undertaking regarding sexual exploitation and abuse. Therefore, no assurance could be provided that all UNPol had successfully passed the Mission's post-arrival tests and requirements.

Recommendation 4

(4) The UNMIL Police Commissioner should ensure that all United Nations Police comply with the post-arrival requirements of police officers and formed police unit members, and this is adequately documented and filed.

25. *The UNMIL Police Commissioner accepted recommendation 4 and stated that the UNMIL Police Administration will ensure that adequate records are maintained. Recommendation 4 remains open pending confirmation that a procedure has been established to track, document and file all post arrival testing and training records.*

Driving permits

26. UNPol must be proficient in driving to be able to perform their duties. Recognizing the difficult driving condition in Liberia, the UNMIL Transport Section offers an optional all-terrain driving course to enhance the skills of UNMIL driving permit holders in operating four-wheel drive vehicles.

27. As of 20 August 2007, 50 police officers (non-FPU members), or 10 per cent of the 513 officers then in the Mission, did not have UNMIL driving permits. In addition, 4 of the 17 police officers attached to the Corrections Advisory Unit, did not have UNMIL driving permits. Of these police officers who did not have UNMIL driving permits:

- Ten have failed the required test three times or more;
- One has failed the re-test after an accident for which he was liable and was no longer re-issued a permit; and
- One had not attempted taking the driving test since arriving in the Mission four months earlier, but had not been repatriated early.

28. Of the 40 selected FPU members holding positions such as liaison officers, communications officers and administrative officers disclosed that eight (20 per cent) did not have driving permits. This is concerning as FPU officers in such positions should be able to operate four-wheel-drive vehicles in order to perform their functions.

29. Seventy-two police officers (non-FPU members), on average obtained UNMIL driving permits on average 96 days after their arrival at the Mission, and took between 33 and 341 days to pass the driving test. The Mission's SOP for UNPol requires that police officers: (a) undergo road-driving tests upon their arrival in the Mission; (b) those failing the driving test can be provided the opportunity to take a second test within a month of arrival; and (c) those failing the third test should be repatriated early after approval by DPKO.

30. UNPol senior management and the Police Personnel Unit confirmed that none of the police officers who have failed to obtain the UNMIL driving permit within the required period had been repatriated. All of them served their full term in the Mission.

Recommendation 5

(5) The UNMIL Police Commissioner should seek assurances from the Department of Peacekeeping Operations that all United Nations Police officers in UNMIL meet the driving qualification requirements prior to departure from their respective home countries; and more vigorously monitor compliance with the requirement for police officers to pass the

UNMIL driving test. Officers who continually fail the required tests should be considered for early repatriation.

31. *The UNMIL Police Commissioner accepted recommendation 5 and stated that he would continue to apply the policy of recommending repatriation in cases whereby police officers continually fail required tests. Recommendation 5 remains open pending OIOS verification that the Mission is monitoring compliance with the requirement for police officers to pass the UNMIL driving test.*

VI. ACKNOWLEDGEMENT

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

cc: Mr. Henrik Stiernblad, Police Commissioner, UNMIL
Mr. Stephen Lieberman, Director of Mission Support, UNMIL
Mr. Swatantra Goolsarran, Executive Secretary, UN Board of Auditors
Ms. Maria Gomez Troncoso, Officer-in-Charge, Joint Inspection Unit Secretariat
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STATUS OF AUDIT RECOMMENDATIONS

Recom. no.	Recommendation	Risk category	Risk rating	C/O ¹	Actions needed to close recommendation	Implementation date ²
1	The UNMIL Police Commissioner should analyze the perceived shortfalls identified by the survey in the areas of: (a) communication of annual work plans, (b) provision of equipment, vehicles and human resources, and (c) compilation and dissemination of lessons learned, and if found necessary take remedial measures.	Operations	Medium	0	Results of the Police Commissioners analysis of the perceived shortfalls outlined in the survey.	Not provided
2	The UNMIL Police Commissioner should, when available, obtain from the Department of Peacekeeping Operations Police Division and maintain on file Memoranda of Understanding for all police contingents in UNMIL and refer to these documents when administering the Mission's police personnel and staffing issues.	Governance	Medium	0	Confirmation that the Mission has obtained Memoranda of Understanding or appropriate alternative agreements for in-mission police contingents.	Not provided
3	The UNMIL Police Commissioner should impress upon the Department of Peacekeeping Operations (DPKO) Police Division the Mission's need to obtain assurance that police officers assigned to it have fully complied with pre-departure requirements.	Human Resources	Medium	0	Review of documented proof that incoming police officers have successfully passed the required pre-deployment assessments.	Not provided
4	The UNMIL Police Commissioner should ensure that all United Nations Police comply with the post-arrival requirements of police officers and formed police unit members, and this is adequately documented and filed.	Human Resources	Medium	0	Confirmation that a procedure has been established to track, document and file all post arrival testing and training records.	Not provided
5	The UNMIL Police Commissioner should seek assurances from the Department of	Operations	Medium	0	Verification of the Mission's application of the early repatriation policy where incoming	Not provided

Recom. no.	Recommendation	Risk category	Risk rating	C/O ¹	Actions needed to close recommendation	Implementation date ²
	<p>Peacekeeping Operations that all United Nations Police officers in UNMIL meet the driving qualification requirements prior to departure from their respective home countries; and more vigorously monitor compliance with the requirement for police officers to pass the UNMIL driving test. Officers who continually fail the required tests should be considered for early repatriation.</p>				<p>police officers fail the required tests.</p>	

1. C = closed, O = open

2. Date provided by [client] in response to recommendations. [Insert "Not provided" where date is not provided; "Implemented" where recommendation is closed; (date) given by the client.]