



## INTERNAL AUDIT DIVISION

# AUDIT REPORT

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Peace Mission Support and Rapid Response Section (PMSRRS) of OHCHR

Though the arrangements for funding and servicing PMSRRS activities were adequate, there were weaknesses in structure, planning and monitoring that need to be addressed to improve PMSRRS' effectiveness

4 May 2010  
Assignment No. AE2009/331/01

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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 Navanethem Pillay, High Commissioner,  
A: Office of the High Commissioner for Human Rights,

DATE: 4 May 2010

REFERENCE: IAD: 10- 00342

FROM: Fatoumata Ndiaye, Director  
DE: Internal Audit Division, OIOS

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SUBJECT: **Assignment No. AE2009/331/01 - Audit of the Peace Mission Support and Rapid Response Section of OHCHR**  
OBJET: **Response Section of OHCHR**

1. I am pleased to present the report on the above-mentioned audit.
2. Based on your response, all recommendations will remain open in the OIOS recommendations database. In order for us to close the recommendations, we request that you provide us with the additional information as discussed in the text of the report and summarized in Annex 1.
3. Please note that OIOS will report on the progress made to implement its recommendations, particularly those designated as high risk (i.e., recommendations 1, 4, 8 and 10), in its annual report to the General Assembly and semi-annual report to the Secretary-General.

cc: Ms. Kyung-wha Kang, Deputy High Commissioner  
Mr. Anders Kompass, Director, Field Operations and Technical Cooperation Division, OHCHR  
Mr. Kyle Ward, Chief, Programme Support and Management Services, OHCHR,  
Mr. Roberto Ricci, Chief, Peace Mission Support and Rapid Response Section, OHCHR  
Mr. Swatantra Goolsarran, Executive Secretary, UN Board of Auditors  
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Mr. Moses Bamuwamye, Chief, Oversight Support Unit, Department of Management  
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Mr. Christopher F. Bagot, Chief, Geneva Audit Service, OIOS

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## INTERNAL AUDIT DIVISION

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### 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

### Audit of the Peace Mission Support and Rapid Response Section of OHCHR

The Office of Internal Oversight Services (OIOS) conducted an audit of the Peace Mission Support and Rapid Response Section (PMSRRS) of the Office of the High Commissioner for Human Rights (OHCHR). The overall objective of the audit was to assess the adequacy of the structure and arrangements for planning, monitoring, implementing, funding and servicing activities of PMSRRS. The audit was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.

The overall conclusion is that though the arrangements for funding and servicing PMSRRS activities were adequate, there were weaknesses in structure, planning and monitoring which need to be addressed by PMSRRS to improve its effectiveness. Some procedures for planning and implementing rapid response missions and providing support to human rights components in peacekeeping missions also need to be strengthened. *OHCHR indicated that it concurs with the assessment of the situation and agrees with the recommendations.* The major findings are summarized below.

- OHCHR needs to clarify the division of roles and responsibilities between PMSRRS and other sections and put in place arrangements to coordinate activities in order to minimize the risks of overlap, inadequate accountability and inefficiencies. Further, the Secretary-General's Bulletin on OHCHR's structure (ST/SGB/1997/10) established in 1997 needs to be amended to ensure that roles and responsibilities of all OHCHR sections are clarified. *OHCHR stated that the organizational structure of the office has continued to evolve since the decision of the 2005 World Summit to double its regular budget resources. As from 2010, that evolution should be complete and thus the office is now in a position to complete a new Secretary-General's Bulletin.*
- The lack of a clear OHCHR office-wide strategy for humanitarian work affected both the planning of the work and PMSRRS' ability to put in place adequate arrangements for OHCHR involvement in this field. OHCHR needs to establish an office-wide strategy that includes specific and achievable goals and priorities for its involvement in humanitarian work and a plan of action to address gaps in current arrangements.
- Written procedures need to be established for key functions such as planning for rapid response missions, maintenance of the rapid response roster and OHCHR involvement in planning for new peacekeeping missions in order to ensure consistency, enhance efficiency and minimize the risk of errors.
- OHCHR's Field Office and Technical Cooperation Division (FOTCD) should establish a plan to monitor PMSRRS' activities that

includes specific goals and performance indicators as well as regular monitoring meetings with the FOTCD Director in order to improve PMSRRS' ability to assess its performance and take corrective action.

- Other findings include the need for PMSRRS to strengthen the rapid deployment roster, evaluate the performance of heads of human rights components in peace missions as required and prepare a work plan in accordance with established guidelines.

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## I. INTRODUCTION

1. The Office of Internal Oversight Services (OIOS) conducted an audit of the Peace Mission Support and Rapid Response Section (PMSRRS) of the Office of the High Commissioner for Human Rights (OHCHR). The audit was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.

2. OHCHR's mandate is set forth in General Assembly Resolution 48/141 of 20 December 1993. Pursuant to this mandate, OHCHR works to promote and protect all human rights for all people to help empower them to realize their rights and to assist those responsible for upholding such rights. OHCHR is divided into four substantive divisions: Research and Right to Development Division; Human Rights Treaty Division; Human Rights Council and Special Procedures Division and Field Operations and Technical Cooperation Division (FOTCD).

3. PMSRRS was established in 2005 as a section within FOTCD. Its main objectives are to ensure a timely and systematic response to unforeseen situations requiring urgent action by OHCHR and to facilitate the systematic and operational integration of human rights in the United Nations peace and security agenda and humanitarian work. PMSRRS is comprised of four units: the Rapid Response Unit (RRU), the Humanitarian Action Unit (HAU), the Peace Mission Support Unit (PMU) and the Roster Management Unit (RMU).

4. RRU provides operational support and leads or participates in rapid response missions. It maintains a roster of OHCHR staff willing to be deployed at short notice for a maximum of two months and ensures, in cooperation with other sections within OHCHR, that the necessary equipment and logistical assistance are in place to support such missions. RRU also manages the OHCHR contingency fund that facilitates financial support to rapid response actions. In the period 1 January 2008 to October 2009, RRU supported 24 rapid response missions. In addition, RRU is responsible for the operational, substantive planning and overall coordination of any mission's start-up process.

5. PMU and RMU work closely with other OHCHR sections to support human rights components in peacekeeping missions. In 2002, OHCHR signed a Memorandum of Understanding (MOU) with the Department of Peacekeeping Operations (DPKO), which outlines OHCHR's responsibilities in providing support to human rights components of peacekeeping missions in five main areas: substantive support; planning, design and establishment of missions; recruitment and performance appraisal; reporting and public statements; and information alert and exchange. At the time of the audit, the Methodology, Education and Training Section (METS) was leading an exercise to review and amend the MOU through the drafting of a new directive on human rights components in peace missions.

6. HAU serves as the focal point for OHCHR's involvement in humanitarian work and inter-agency forums and provides operational and technical support to the geographical desks and field offices. The main area of

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OHCHR's involvement in humanitarian work is its role as a lead actor of the protection cluster at the field level. At the time of the audit, OHCHR was playing a lead role in the protection clusters in 10 countries.

7. PMSRRS is headed by a P-5 (Chief, PMSRRS) who reports directly to the Director, FOTCD. He is supported by nine Professional (P) staff and four General Service (GS) staff distributed among the Section's four units as shown in Table 1.

**Table 1: PMSRRS staffing as at April 2009**

<b>Unit</b>	<b>Staffing</b>
Chief PMSRRS office	1P-5, 1GS
RRU	2P-4, 2P-3 and 1 GS
PMSU	1P-4 and 1P-3
RMU	1P-3 and 1GS
HAU	1P-4, 1P-3 and 1GS

8. The United Nations regular budget finances eight of the PMSRRS posts and the other six posts are financed from extra-budgetary resources. In addition to staffing costs, for the biennium 2008-2009, PMSRRS had an operating budget of approximately \$1.1 million against extra-budgetary funds. Rapid response missions are budgeted and financed separately either through the United Nations budget revision mechanism or the OHCHR contingency fund.

9. OHCHR established the contingency fund in 2006 with the aim of creating a readily available funding pool for rapid response activities. As of 31 October 2009, the fund had received a total of \$1.7 million, out of which \$0.8 million had been spent or allocated to various rapid response activities in 2009.

10. Comments made by OHCHR are shown in *italics*.

## II. AUDIT OBJECTIVES

11. The main objective of the audit was to assess the adequacy of the structure and arrangements for planning, monitoring, funding, implementing and servicing activities of PMSRRS. This included reviewing the following:

- (a) Appropriateness of organizational structure and clarity of roles and responsibilities;
- (b) Adequacy of planning and monitoring practices; and
- (c) Adequacy of arrangements for implementing, funding and servicing PMSRRS units to enable them to effectively fulfill their responsibilities.

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### III. AUDIT SCOPE AND METHODOLOGY

12. The audit focused on activities for the period 1 January 2008 to December 2009. The audit involved a review of reports, records and documentation; an analysis of data; verification of expenditures; and interviews with staff of PMSRRS, other OHCHR sections that work closely with PMSRRS, and staff of human rights components in peace missions.

13. The audit reviewed the division of roles and responsibilities and arrangements for coordination of PMSRRS activities with other OHCHR sections. However, it did not review activities relating to rapid response, peace mission support and humanitarian action work carried out by other OHCHR sections.

### IV. AUDIT FINDINGS AND RECOMMENDATIONS

#### A. Organization structure

##### The division of roles and responsibilities between PMSRRS and other OHCHR sections was not clearly defined

14. PMSRRS' core functions cut across other OHCHR sections, the three main ones being the geographical desks, New York Office (NYO) and the Methodology Education and Training Section (METS). As a result, clarity of its roles and responsibilities and strong coordination were essential to reduce the risk of gaps or duplication, enhance accountability and optimize effectiveness.

15. Interviews and notes of PMSRRS internal discussions showed that the division of roles and responsibilities between PMSRRS and other sections was not clearly defined. Although the OHCHR staff interviewed had an understanding of the broad division of roles and responsibilities, the division of responsibilities at the operational level was not clearly defined and the majority of these staff did not fully understand the role and function of PMSRRS. The lack of clarity is of most concern in the following areas:

- The extent to which geographical desk officers of FOTCD could request support from PMSRRS, particularly with regard to peace mission support functions. This could be attributed to differences in expectations arising from PMSRRS' dual role as a support section to the geographical desks as well as the lead section for its core functions. Further, given the support nature of PMSRRS' functions, the division of responsibilities between PMSRRS and the geographical desks may not always be clear-cut and therefore there is a need for effective coordination.
- The extent of PMRRS' responsibility and authority as the OHCHR focal point and lead section for peace mission support and humanitarian action functions. There is a need to specify office-wide

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leadership roles for peace mission support and humanitarian work functions for effective coordination and decision making in these areas.

- The New York office's role and function needs to be clearly defined with regard to its support for peace missions and humanitarian work. There is also a need to address the concern that under current arrangements, OHCHR's contributions to policy discussions on peacekeeping missions, most of which take place in New York, may not be effective. This is due to the fact that the New York staff have multiple roles and therefore are not expected to have in-depth understanding of peacekeeping mission issues.

- The extent to which PMSRRS should undertake policy work given that METS under the Research and Right to Development Division (RRDD) has this area listed as its core function.

16. The division of roles and responsibilities between PMSRRS and other sections had not been agreed on, documented and communicated to staff. There was also no documentation of all tasks relating to peace missions and humanitarian work to give assurance that responsibility for all recurring tasks had been allocated to sections. In addition, the Secretary-General's Bulletin on OHCHR's organizational structure (ST/SGB/1997/10) has not been amended since 1997 despite significant changes in the structure. Consequently, the need to clarify roles and responsibilities could be a problem in other OHCHR sections as well. For example, the division of roles and responsibilities with respect to policy development appeared not to be clear.

### **Recommendations 1 and 2**

**(1) The OHCHR Field Operations and Technical Cooperation Division should review and clarify the role and responsibilities of the Peace Mission Support and Rapid Response Section and, in consultation with other OHCHR sections, agree on the division of roles and responsibilities.**

**(2) OHCHR should issue a new Secretary-General's Bulletin that reflects its current structure.**

17. *OHCHR accepted recommendation 1.* Recommendation 1 remains open pending receipt of the results of the review of PMSRRS' role and responsibilities and the division of roles and responsibilities between it and other OHCHR sections.

18. *OHCHR accepted recommendation 2 and stated that the organizational structure of the Office has continued to evolve since the decision of the 2005 World Summit to double its regular budget resources. As from 2010, that evolution should be complete, and thus the Office is now in a position to complete a new ST/SGB/Organization.* Recommendation 2 remains open pending receipt of a revised Secretary-General's Bulletin on the organizational structure of OHCHR.

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Inadequate arrangements for coordination between PMSRRS and other sections

19. As noted above, strong coordination between PMSRRS and other sections is necessary to optimize effectiveness. However, OHCHR currently does not have adequate arrangements in place to coordinate PMSRRS' activities with the other sections with which it works closely. There were no formal forums or regular coordination meetings of staff. Consultations between the sections were mainly *ad hoc* depending on operational needs except for two initiatives: the HAU informal network of focal points from sections that dealt with humanitarian action; and lessons learned exercises for major rapid response missions, which brought together all staff who participated in the missions.

20. As a result, though most of the staff described the working relations as good, they were not effective in ensuring that the different sections shared work plans and obtained input from each other on new initiatives. Further, there was a risk that the current good working relationships were dependent on individual staff goodwill and may not be sustainable in case of staff turnover.

**Recommendation 3**

**(3) The OHCHR Field Operations and Technical Cooperation Division should establish a regular programme of coordination meetings for all OHCHR sections that deal with peace mission support and humanitarian work.**

21. *OHCHR accepted recommendation 3.* Recommendation 3 remains open pending receipt of documentation that FOTCD has established a regular programme of coordination meetings for all OHCHR sections that deal with peace mission support and humanitarian work.

B. Rapid response and humanitarian work

Lack of clear office-wide strategic goals and priorities in OHCHR's involvement with humanitarian work

22. According to its strategic framework, OHCHR aims to protect and promote human rights in humanitarian work. One of its expected office-wide accomplishments for 2010-2011 is to increase integration of human rights standards and principles into United Nations policies and programmes with respect to humanitarian work among other areas.

23. OHCHR has increased its involvement in humanitarian work, particularly since 2005 when it committed jointly with UNHCR and UNICEF to be one of the lead actors of the protection cluster at the field level. At the time of the audit, a major element of this humanitarian work was the lead role OHCHR was playing in protection clusters in 10 countries. As a cluster lead agency, OHCHR is expected to coordinate a timely and predictable response in the area of protection, and to fulfill specific roles and responsibilities as specified in a number of the Inter-Agency Standing Committee guidance notes.

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24. However, OHCHR had not set clear strategic goals and priorities for its humanitarian work. As a result, there was no office-wide consensus on the level of OHCHR involvement in this area, which was essential since humanitarian work required capacity, support and expertise of staff from various OHCHR sections. Further, OHCHR had not adequately assessed what the work entails in terms of capacity, structure and procedures and what the gaps were. PMSRRS had made efforts to identify and highlight to senior management the challenges OHCHR faced when it engages in humanitarian work, but the information provided was not sufficient. There was a need to quantify and justify total office-wide requirements and to analyze the gaps and related risks.

25. The absence of clear strategic goals and priorities affected OHCHR's ability to plan its work and made it difficult for those field offices with cluster lead responsibilities to prioritize their work. Notably, PMSRRS had made some efforts to improve OHCHR capacity to carry out humanitarian work. For example, it arranged for training workshops and developed tools to assist field offices. However, without an office-wide consensus and a clear plan of action, OHCHR will not be in a position to put in place the appropriate staffing, structure and arrangements for its involvement in humanitarian work. The following are some of the weaknesses identified by staff from various sections who attended the two humanitarian workshops held in 2009 and that OHCHR needs to address to achieve its humanitarian goals:

- Need for more resources especially for field offices that led protection clusters;
- Need for training, guidance and tools on the nature and role of OHCHR involvement in humanitarian work including planning, programming and funding;
- Need to establish standard operating procedures on OHCHR involvement in Consolidated Appeals Processes, flash appeals and other humanitarian appeals;
- Need to review OHCHR current planning, programming and budgetary processes to fully integrate its role in humanitarian action;
- Need to develop increased expertise within the Rapid Response Roster on humanitarian action; and
- Need to establish a mechanism for quick disbursement of cash, which staff indicated was critical in the case of crises.

26. The need for clear strategic priorities for OHCHR humanitarian work has been brought to the attention of senior management. While the issue was discussed in the Senior Management Team (SMT) meeting in July 2009, no consensus was reached and at the time of the audit, there had been no follow-up discussions among the directors as agreed in the SMT meeting. In October 2009, after the SMT meeting, PMSRRS prepared a humanitarian work strategy that

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identified activities which it planned to undertake for the biennium 2010-2011. However, the strategy had not been discussed among the directors and did not reflect the possible role and involvement of other OHCHR sections. *PMSRRS commented that this was an internal section strategy, which provided a vision for HAU for the budget biennium. It was created for work planning purposes and was not intended for engagement with the other sections.*

27. Since strategic planning should guide operational planning, the first important step is for OHCHR to set office-wide goals and better define its vision and the degree to which it can best engage in humanitarian work given financial constraints and other priorities. The lessons learned by OHCHR's involvement in emergencies such as in Nepal and Haiti would provide useful information on the value that OHCHR adds to humanitarian emergencies.

#### **Recommendation 4**

**(4) OHCHR should establish an office-wide strategy for humanitarian work, which should include: (a) specific and achievable goals and priorities for its involvement in humanitarian work; and (b) a strategy or plan of action to address changes required to strengthen arrangements for OHCHR involvement in humanitarian work.**

28. *OHCHR accepted recommendation 4.* Recommendation 4 remains open pending receipt of the OHCHR office-wide strategy for humanitarian work.

#### OHCHR has improved its capacity and preparedness to undertake rapid response missions since 2005

29. In addition to humanitarian emergencies, OHCHR is involved with other types of rapid response missions such as commissions of inquiries, fact-finding missions and surge capacity support to field offices. The missions are carried out to respond to deteriorating situations such as election monitoring or other types of unrest in countries.

30. RRU had put in place mechanisms and structures that have improved OHCHR's ability to respond to unforeseen situations in a timely and more effective manner. For instance, it established a rapid deployment roster, a contingency fund with adequate terms of reference for its use and an operational equipment reserve. Internal arrangements for processing administrative actions such as travel were also adequate and in more recent missions, arrangements for involving logistics and security in planning for the missions have been adequate. However, opportunities to strengthen the current arrangements exist as discussed below.

#### Need to strengthen current arrangements for selecting and training staff listed in the OHCHR Rapid Deployment Roster

31. In 2009, RRU carried out an internal review of the use of the roster and identified weaknesses. The main ones were the need to establish criteria for

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categorizing applicants on the roster and a mechanism to evaluate staff who participate in missions. OIOS also noted other weaknesses which could affect the effectiveness of the roster, such as:

- The need to put in place a mechanism to identify whether there were any gaps in profiles, qualifications and experience, so that possible ways of addressing them could be explored. For example, the current roster does not have staff at the P-5 level and no action has been taken to address the gap;
- The need to assess the training needs of all staff members on the roster. This assessment would allow OHCHR to include emerging issues, such as election monitoring, in its annual training. Currently, the annual training sessions were on fact-finding and investigative techniques, and as a result, attended primarily by staff who were new to the roster; and
- The need to document the established practices for selecting and training staff on the roster in order to formalize the practices and ensure they are consistently applied.

32. *PMSRRS agreed that there is indeed room for improvement, but noted that the Section has never failed to provide the needed support in selecting staff for the 24 rapid response missions taken into consideration by the audit. While the Section is responsible for contributing to currently available training initiatives and proposing new ones as appropriate, it does not design and conduct training activities, which remain the responsibility of METS and the Staff Development Unit.*

#### **Recommendation 5**

**(5) The OHCHR Peace Mission Support and Rapid Response Section should document the procedures used to select and train staff on the Rapid Deployment Roster and maintain the roster. The documented procedures should include: (a) areas of improvement noted in PMSRRS internal review report on the use of the roster; and (b) a requirement that gaps in profiles and training needs of staff on the roster are regularly assessed and addressed.**

33. *OHCHR accepted recommendation 5. Recommendation 5 remains open pending receipt of written procedures for selecting and training staff on the Rapid Deployment Roster.*

#### Need to finalize the manual used to guide the planning and implementation of rapid response missions

34. The manual OHCHR used to guide the planning and implementation of commissions of inquiries and fact-finding missions has been in draft form since 2007, pending review and approval by METS. The part of the manual dealing

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with operational and procedural issues was largely complete but it still needs to be updated to include those issues raised in lessons learned exercises. Further, the manual was limited to commissions of inquiries and fact-finding missions. OHCHR needs to provide guidance on other types of rapid response missions, either by broadening the existing manual or preparing a separate manual or guidelines.

35. In addition, OHCHR needs to specify which issues or procedures in the manual are mandatory. For example, important steps such as the need to prepare background-briefing documents for mission staff were included in the manual but were not consistently complied with.

### **Recommendation 6**

**(6) The OHCHR Field Operations and Technical Cooperation Division, in consultation with the Methodology Education and Training Section, should set a deadline to finalize the draft manual on commissions of inquiry and fact-finding missions and extend the coverage of the manual to other types of rapid response missions.**

36. *OHCHR accepted recommendation 6.* Recommendation 6 remains open pending receipt of the approved manual for rapid response missions.

#### Need to specify the expected output from rapid response missions upfront

37. In four out of nine missions reviewed, the expected output or type of report was not specified in the planning document. A review of lessons learned exercises shows that this may have affected the quality of output in some cases.

38. The type of output of rapid response missions differs in each case. In some instances, the output could result in an internal or public report and in others no formal report may be required. Further, the use of the reports could differ depending on whom the report is addressed. Specifying the output at the planning phase is essential since the type of output should help to shape and define the work of the mission. It should therefore be a mandatory step before the deployment of any mission.

### **Recommendation 7**

**(7) The OHCHR Peace Mission Support and Rapid Response Section should include the need to specify the type of output during the planning phase of a mission as a mandatory step that must be considered before the deployment of any rapid response mission.**

39. *OHCHR accepted recommendation 7.* Recommendation 7 remains open pending receipt of documentation showing that the need to specify the type of output from a mission has been included in the manual as one of the mandatory steps.

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## C. Peace mission support

### Lack of written procedures to guide the implementation of the MOU

40. OHCHR has not established standard operating procedures or guidelines regarding the implementation of the MOU with DPKO or the related policy directive on public reporting. The lack of such guidance affected the effectiveness of OHCHR's involvement in planning the human rights component in peacekeeping missions. The heads of human rights components in peacekeeping missions and other OHCHR staff expressed these very concerns. Moreover, there were weaknesses in the implementation of the policy directive on public reporting.

41. Consequently, OHCHR needs to draft written procedures to outline its involvement in planning, design and establishment of human rights components in peacekeeping missions in order to help clarify the roles of the different OHCHR sections, ensure consistency and reduce the risk of errors. Written procedures will also be useful in ensuring that established practices are formalized, which is valuable in case of staff turnover, and that lessons learned are captured by amending the procedures when necessary.

42. In addition, as recommended in the PMSRRS internal review on the implementation of the policy directive on public reporting by human rights components in peacekeeping missions, there is a need for standard operating procedures to provide more details and clarifications on the implementation of the policy directive. The need to put in place a plan of action to implement recommendations raised in internal review reports is addressed in recommendation 11 of this report.

### **Recommendation 8**

**(8) The OHCHR Field Operations and Technical Cooperation Division should establish standard operating procedures for OHCHR involvement in planning for peacekeeping missions in order to ensure consistency and reduce the risk of errors.**

43. *OHCHR accepted recommendation 8.* Recommendation 8 remains open pending receipt of standard operating procedures for guiding OHCHR involvement in planning for peacekeeping missions.

OHCHR was not involved in the performance appraisal for heads of human rights components in peacekeeping missions as required.

44. The heads of human rights components in peacekeeping missions have dual reporting lines: one is to the head of the respective peacekeeping mission and the other is to the OHCHR High Commissioner. The MOU between OHCHR and DPKO stipulates that these heads shall have their performance

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evaluated by the head of peace mission or the deputy as the first reporting officer and by OHCHR as the second reporting officer.

45. However, OHCHR had not been involved in these performance appraisals as required by the MOU. Involvement in the performance appraisals is an important tool since it provides OHCHR with the opportunity to define performance goals and monitor performance. This would enhance OHCHR's support to the human rights components in peacekeeping missions. OHCHR informed OIOS that it has taken steps in 2010 to identify the second reporting officers for the various heads of human rights components. Nonetheless, OIOS notes that OHCHR still needs a mechanism to monitor compliance.

### **Recommendation 9**

**(9) The OHCHR Field Operations and Technical Cooperation Division should put in place a monitoring mechanism to ensure that OHCHR fulfills its responsibility for evaluating the performance of heads of human rights components in peacekeeping missions.**

46. *OHCHR accepted recommendation 9.* Recommendation 9 remains open pending receipt of details of the mechanism put in place to monitor OHCHR involvement in the evaluation of the performance of heads of human rights components in peacekeeping missions.

## D. Planning and monitoring

### Inadequate arrangements for monitoring PMSRRS activities

47. Effective monitoring of a section requires a plan that clearly identifies the section's performance goals, how frequently the section will be monitored and by whom. However, there was no such plan put in place for monitoring the performance of PMSRRS. While this section had performance goals, it did not have any specific performance indicators or targets against which to measure the accomplishment or progress of these goals. Furthermore, while the FOTCD Division Management Plan established indicators and goals for management outputs, it did not develop any such goals for the outputs related to substantive activities.

48. In addition, though the Chief PMSRRS monitored the activities and work plan through individual meetings with staff and in weekly staff meetings, there were no established regular meetings with the FOTCD Director to review the work plan. Since PMSRRS activities are largely carried out in conjunction with geographic desk officers of FOTCD, it would be more effective for the monitoring plan to be established at the division level.

49. *OHCHR commented that PMSRRS work plan contains target dates for specific foreseeable tasks, which are monitored on a monthly basis, and adjustments are made as appropriate. Bilateral meetings with the Director, admittedly not conducted regularly during the second half of 2009, as well as*

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*work plan approval, mid-year and year-end reviews ensure regular performance monitoring and provide opportunities for corrective action.*

### **Recommendation 10**

**(10) The OHCHR Field Operations and Technical Cooperation Division should establish a plan for monitoring PMSRRS activities, which should include performance indicators and goals and regular monitoring meetings with the FOTCD Director.**

50. *OHCHR accepted recommendation 10.* Recommendation 10 remains open pending receipt of the plan put in place to monitor PMSRRS activities.

#### Inadequate arrangements for dealing with weaknesses identified in lessons learned exercises and other internal reviews and self-assessments

51. In 2008 and 2009, PMSRRS carried out self-assessment reviews, lessons learned and internal reviews of its activities. These included the lessons learned from rapid response missions, internal review reports on the use of the rapid deployment roster and implementation of the policy directive on public reporting. OIOS, in this present audit, found findings similar to PMSRRS' self-assessment findings.

52. However, there was no mechanism or plan of action in place to address the weaknesses and prioritize their implementation. As a result, implementation was not effective and it was not possible to identify which issues PMSRRS had not addressed, and whether or when it planned to address them.

### **Recommendation 11**

**(11) The OHCHR Peace Mission Support and Rapid Response Section should establish a mechanism to record, prioritize and monitor implementation of actions to address issues identified in self-assessment reviews and lessons learned exercises.**

53. *OHCHR accepted recommendation 11.* Recommendation 11 remains open pending receipt of evidence that PMSRRS has established a mechanism to record, prioritize and monitor implementation of actions to address issues identified in self-assessment reviews and lessons learned exercises carried out in 2009.

#### PMSRRS work plan did not comply with OHCHR's work planning guidelines

54. PMSRRS has not prepared a work plan in the format prescribed by the Programme Planning Monitoring and Evaluation Service (PPMES). The Section also uses a planning cycle from 1 April to 31 March, rather than the January to December cycle used by the rest of the office. As a result, though the current

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PMSRRS work plan included most details required in the PPMES guidelines, it omitted the following important details:

- The linkage to the expected accomplishments and outputs stipulated in the Division Management Plan;
- Details of who would monitor implementation of the activities which was essential as part of the monitoring plan; and
- The link to funding requirements. *PMSRRS commented that the Section's work plan was consistent with the approved cost plan.*

55. The weakness could be partly attributed to the fact that the planning process was new and no briefing sessions had been held to explain the process and the importance of the various requirements. However, the guidelines had been posted in the OHCHR intranet and at the time of the audit PPMES was planning to hold some briefing sessions.

#### **Recommendation 12**

**(12) The OHCHR Peace Mission Support and Rapid Response Section should prepare its 2010 work plan in accordance with the guidelines and format prescribed by the OHCHR Programme Planning Monitoring and Evaluation Service and submit it for approval as required.**

56. *OHCHR accepted recommendation 12.* Recommendation 12 remains open pending receipt of PMSRRS' approved 2010 work plan prepared in the required format.

## V. ACKNOWLEDGEMENT

57. We wish to express our appreciation to the Management and staff of OHCHR 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 <sup>1</sup>	Actions needed to close recommendation	Implementation date <sup>2</sup>
1	The OHCHR Field Operations and Technical Cooperation Division should review and clarify the role and responsibilities of the Peace Mission Support and Rapid Response Section and, in consultation with other OHCHR sections, agree on the division of roles and responsibilities.	Governance	High	O	Submission to OIOS of the results of the review of PMSRRS' role and responsibilities and the division of roles and responsibilities between it and other OHCHR sections	Not provided
2	OHCHR should issue a new Secretary-General's Bulletin that reflects its current structure.	Governance	Moderate	O	Submission to OIOS of the revised Secretary-General Bulletin on the organizational structure of OHCHR	September 2010
3	The OHCHR Field Operations and Technical Cooperation Division should establish a regular programme of coordination meetings for all OHCHR sections that deal with peace mission support and humanitarian work.	Operational	Moderate	O	Submission to OIOS of documentation showing that FOTCD has established a regular programme of coordination meetings for all OHCHR sections that deal with peace mission support and humanitarian work	December 2010
4	OHCHR should establish an office-wide strategy for humanitarian work, which should include: (a) specific and achievable goals and priorities for its involvement in humanitarian action work; and (b) a strategy or plan of action to address changes required to strengthen arrangements for OHCHR engagement in humanitarian work.	Strategy	High	O	Submission to OIOS of the OHCHR office-wide strategy for humanitarian work	December 2010
5	The OHCHR Peace Mission Support and Rapid Response Section should document the procedures used to select and train staff on the Rapid Deployment Roster and maintain the roster. The documented procedures should include: (a) areas of	Operations	Moderate	O	Submission to OIOS of written procedures for selecting and training staff on the Rapid Deployment Roster	April 2011

Recom. no.	Recommendation	Risk category	Risk rating	C/O <sup>1</sup>	Actions needed to close recommendation	Implementation date <sup>2</sup>
	improvement noted in PMSRRS internal review report on the use of the roster, and (b) a requirement that gaps in profiles and training needs of staff on the roster should be regularly assessed and addressed.					
6	The OHCHR Field Operations and Technical Cooperation Division, in consultation with the Methodology Education and Training Section, should set a deadline to finalize the draft manual on commissions of inquiry and fact-finding missions and extend the coverage of the manual to other types of missions of similar nature.	Operations	Moderate	O	Submission to OIOS of the approved manual for rapid response missions	April 2011
7	The OHCHR Peace Mission Support and Rapid Response Section should include the need to specify the type of output during the planning phase of a mission as a mandatory step that must be considered before the deployment of any rapid response mission.	Operations	Moderate	O	Submission to OIOS of documentation showing that the need to specify the type of output from a mission has been included in the manual as one of the mandatory steps	September 2010
8	The OHCHR Field Operations and Technical Cooperation Division should establish standard operating procedures for OHCHR involvement in planning for peacekeeping missions in order to ensure consistency and reduce the risk of errors.	Operations	High	O	Submission to OIOS of standard operating procedures for guiding OHCHR involvement in planning for peacekeeping missions	December 2010
9	The OHCHR Field Operations and Technical Cooperation Division should put in place a monitoring mechanism to ensure that OHCHR fulfills its responsibility for evaluating the performance of heads of human rights components in peacekeeping missions.	Operations	Moderate	O	Submission to OIOS of details of the mechanism put in place to monitor OHCHR involvement in the evaluation of the performance of Heads of human rights components of peacekeeping missions	April 2011
10	The OHCHR Field Operations and Technical Cooperation Division should establish a plan for monitoring PMSRRS	Operations	High	O	Submission to OIOS of the plan put in place to monitor PMSRRS activities	April 2011

Recom. no.	Recommendation	Risk category	Risk rating	C/O <sup>1</sup>	Actions needed to close recommendation	Implementation date <sup>2</sup>
	activities, which should include performance indicators and goals and regular monitoring meetings with the FOTCD Director.					
11	The OHCHR Peace Mission Support and Rapid Response Section should establish a mechanism to record, prioritize and monitor implementation of actions to address issues identified in self-assessment reviews and lessons learned exercises.	Operations	Medium	O	Submission to OIOS of documentation showing that PMSRRS has established a mechanism to record, prioritize and monitor implementation of actions to address issues identified in self- assessment reviews and lessons learned exercises carried out in 2009	Not provided
12	The OHCHR Peace Mission Support and Rapid Response Section should prepare its 2010 work plan in accordance with the guidelines and format prescribed by OHCHR Programme Planning Monitoring and Evaluation Service and submit it for approval as required.	Operations	Medium	O	Submission to OIOS of PMSRRS approved 2010 work plan prepared in the required format	June 2010

<sup>1</sup> C = closed, O = open

<sup>2</sup> Date provided by OHCHR in response to recommendations