



INTERNAL AUDIT DIVISION

AUDIT REPORT

Office of Military Affairs

Frequent rotation of military staff resulted in the loss of institutional knowledge and the lack of management continuity, adversely impacting the effectiveness of the Office

28 May 2010

Assignment No. AP2009/600/02

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. Alain Le Roy, Under-Secretary-General
A: Department of Peacekeeping Operations

DATE: 28 May 2010

REFERENCE: IAD: 10-00432

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



SUBJECT: **Assignment No. AP2009/600/02 - Audit of the Office of Military Affairs**
OBJET:

1. I am pleased to present the report on the above-mentioned audit.
2. 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 also summarized in Annex 1.
3. Your response indicated that you did not accept recommendation 8. In OIOS' opinion however, this recommendation seeks to address a significant risk area. 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, 3, 6, 7 and 14), in its annual report to the General Assembly and semi-annual report to the Secretary-General.

cc: Lt. Gen. Chikadibia Isaac Obiakor, Military Advisor, Office of Military Affairs, DPKO
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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

Audit of the Office of Military Affairs

The Office of Internal Oversight Services (OIOS) conducted an audit of the Office of Military Affairs (OMA). The overall objective of the audit was to assess OMA's governance and operations in deploying, supporting and monitoring military components in peacekeeping missions. The audit was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.

The audit found that internal controls were generally in place and the field missions and representatives of the permanent missions to the United Nations were satisfied with their working relationship with and the support provided by OMA. However, due to the frequent rotation of military staff, there was a lack of institutional knowledge and management continuity, which adversely impacted OMA's operations. As a result, OMA may not be able to proactively engage internal and external partners in all matters pertaining to peacekeeping military operations. While it is still too early to assess the benefits of OMA's strengthening under the Department of Peacekeeping Operations (DPKO) restructuring, OIOS is of the opinion that more focus should be directed towards maintaining OMA's institutional knowledge and establishing management continuity. OIOS further found that:

- The lack of a comprehensive database and information sharing with internal partners on repatriations of military personnel for technical reasons (e.g., failing the driving and language examinations), misconduct and medical conditions that render them unfit to serve in peacekeeping missions precludes OMA from identifying trends and underlying causes, and developing approaches to address systemic problems in deploying military personnel to field missions;
- The low participation of Member States in the United Nations Standby Arrangement System for the rapid deployment of troops and equipment curtails the capability of the United Nations to rapidly deploy missions within the mandated timeframe of 30 to 90 days from the date of a Security Council resolution creating a peacekeeping mission;
- The information technology system, police-military staff travel and rotation system, used to facilitate the deployment of uniformed personnel lacks critical reporting capabilities to support management analysis and decision-making; and
- There is currently no methodology or standards for the evaluation of the performance of military contingent units in peacekeeping missions.

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I. INTRODUCTION

1. The Office of Internal Oversight Services (OIOS) conducted an audit of the Office of Military Affairs (OMA) in the Department of Peacekeeping Operations (DPKO). The audit was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.

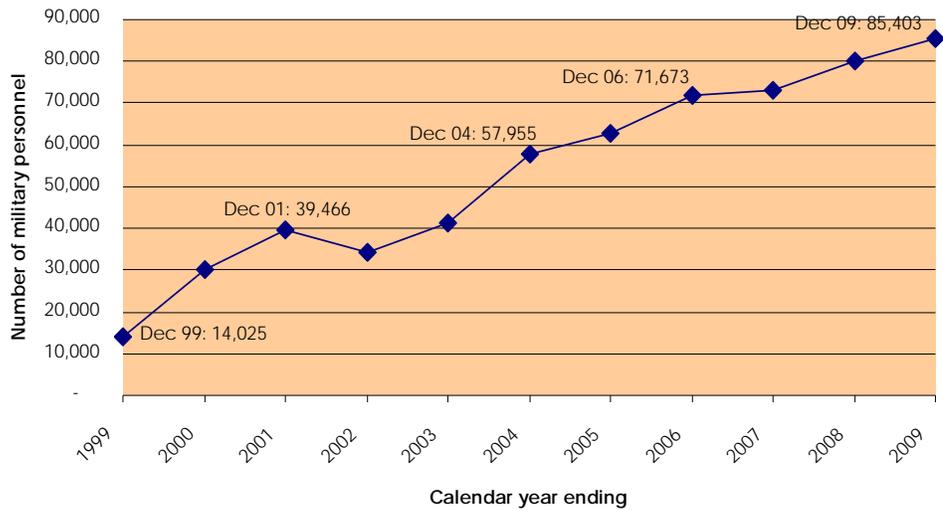
2. The authority for the administration of and provision of executive direction for all United Nations peacekeeping missions was delegated by the Secretary-General to the Under-Secretary-General for Peacekeeping Operations (USG, DPKO). OMA is responsible for providing military advice through the USG, DPKO to assist the Security Council, the General Assembly, other intergovernmental bodies, troop-contributing countries (TCCs), and the senior United Nations leadership at Headquarters and in the field on military issues in peacekeeping operations. OMA is headed by the Military Adviser, an Assistant Secretary-General in the rank of a Lieutenant General who reports to the USG, DPKO.

3. OMA is also responsible for: (a) the development of operational plans for military components of potential, ongoing or closing peacekeeping operations; (b) the generation of military forces, observers and United Nations Headquarters' staff for deployment, including pre-deployment assessments, coordination of deployments and rotations of the military components of missions; (c) daily monitoring of and support for the military components of peacekeeping operations; and (d) contributing to training activities of DPKO and Member States deploying uniformed personnel including the institutionalization of high standards of conduct and discipline.

4. Following the restructuring of DPKO, effective 1 July 2007, the Military Division was reorganized into OMA with 52 additional military posts approved by the General Assembly to strengthen the military function. OMA's organizational structure includes the Office of the Military Adviser with substantive teams and three services, namely: the Current Military Operations Service (CMOS); the Military Planning Service (MPS); and the Force Generation Service (FGS).

5. OMA's mission is to deploy the most appropriate military capability in support of United Nations peacekeeping operations. As of 31 December 2009, more than 85,000 military personnel from 103 TCCs were deployed in 15 peacekeeping missions and 4 special political missions. OMA has a total of 116 authorized posts, comprising 92 seconded military officers and 24 civilian staff. In addition, 13 military liaison officers and six military officers are embedded in the Integrated Operational Teams (IOTs) in DPKO and the Department of Field Support (DFS) respectively. OMA's proposed budget in the last three fiscal years increased from \$12 million in 2007/2008 to \$25 million in 2009/2010. Table 1 below shows statistics on peacekeeping military personnel deployed from January 2000 to December 2009.

Table 1: Peacekeeping military personnel from 2000 to 2009



Source: United Nations peacekeeping website

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

II. AUDIT OBJECTIVES

7. The main objective of the audit was to assess OMA's governance and operations in deploying, supporting and monitoring military components in peacekeeping missions focusing on:

- (a) OMA's governance structure and roles and responsibilities in the deployment of military capability to peacekeeping missions;
- (b) Military advice, planning, force generation and coordination with stakeholders; and
- (c) Internal controls in high-risk areas of OMA's operations identified in the DPKO risk assessment.

III. AUDIT SCOPE AND METHODOLOGY

8. The audit covered the period from 1 January 2007 to 31 December 2009 and included a review of OMA's functions and activities in guiding and supporting United Nations military operations.

9. The audit methodology comprised: (a) review of policies, procedures and guidelines for planning and implementing the military programme; (b) analysis of data; (c) interviews with responsible personnel; and (d) testing and assessment of internal controls. OIOS conducted a survey in field missions supported by OMA and interviewed representatives of three permanent missions to the United Nations.

10. The audit did not review the transportation of military contingent units on deployment and rotation as this is the responsibility of the Movement Control Section of DFS. Also, the audit did not include the review of OMA's involvement in the work of IOTs in DPKO as this area is being covered in a separate OIOS audit.

IV. AUDIT FINDINGS AND RECOMMENDATIONS

A. Governance and organization structure

Rotation of military officers resulted in the loss of institutional knowledge and continuity of OMA's operations

11. In its resolution A/RES/61/279 dated 1 August 2007, the General Assembly authorized the strengthening of OMA's leadership and management capacities to deal with the growing volume and complexity of peacekeeping operations. Further, various Secretary-General reports concluded that the Office lacked the rank, capacity and specialist capabilities needed to fulfill successfully the functions of a strategic military headquarters within DPKO for peacekeeping in both routine and crisis situations. As a result of the strengthening, the post of the Military Advisor was upgraded to the Assistant Secretary-General, and 52 new posts were established in OMA. The General Assembly also authorized new posts for 13 military liaison officers and six military officers embedded in the IOTs and DFS respectively.

12. Although the recent efforts were a step in the right direction, OMA continued to suffer from the loss of institutional knowledge and the lack of management continuity, mainly caused by the rotation of seconded military officers. As a result, there were delays in developing and completing work plans and most of the military policies and guidelines were either obsolete or incomplete. Moreover, while the recruitment of the authorized additional posts was completed in December 2009, OIOS found that OMA was not always consulted on some military issues affecting peacekeeping operations. For example, as noted in paragraph 45 of the present report, OMA did not participate in the Office of Operations-led assistance to the African Union for setting up peacekeeping standby forces as required in its mandate.

13. DPKO informed OIOS that the upgrading of the post of Military Advisor to the Assistant Secretary-General ensures that OMA is represented in senior management meetings, thereby participating in the Department's decision-making process. While acknowledging this, OIOS is of the opinion that DPKO's management needs to further facilitate the sustainment and development of OMA's institutional knowledge for continuity in its operations. DPKO may consider options such as establishing institutional knowledge database, extension of formal term of duty, and staggering the rotation of OMA's seconded military officers.

Recommendation 1

(1) DPKO should establish a mechanism to develop and sustain the institutional knowledge and management continuity of the Office of Military Affairs to strengthen its advisory role in supporting decision-makers and improve the management of the military support function.

14. *DPKO accepted recommendation 1, stating that the options of establishing knowledge databases, extension of formal terms of duty and staggering rotation of seconded officers were not sufficient to address the loss of institutional knowledge within OMA. Currently, the deficiencies were being addressed through the use of templates and standard operating procedures. DPKO further stated that a proposal had been made in the 2010/2011 budget proposal for the peacekeeping support account to convert three existing military posts at the P-4 level to civilian posts for OMA's service and teams that are currently lacking professional civilian staff such as the MPS, Assessment Team, and Policy and Doctrine Team. OMA had also identified the requirement to upgrade its civilian liaison officer function at the P-4 level to the P-5 level to reflect the complexity of the tasks and responsibilities and to be at par with similar functions already established in other partner offices and organizations. Recommendation 1 remains open pending confirmation that OMA has strengthened its capacity to sustain its institutional knowledge and to have improved management continuity.*

Military policies and guidelines are outdated and no longer reflect the current peacekeeping practices in military operations

15. Some military policies and guidelines no longer reflected the current practice in peacekeeping military operations such as: (a) the 2001 publication on the planning process for military operations; (b) the 2001 United Nations Military Observers guidelines; (c) the 2003 United Nations Standby Arrangement System Handbook; and (d) other guidelines.

16. OMA's performance reports over the years indicated that most of the outputs related to development of military guidance were not accomplished or subsequently finalized due to the lack of continuity in its operations and staffing resources. As a result, the military policies and guidelines have not kept pace with changes in peacekeeping practices. For example, the 2001 United Nations Military Observers (UNMOs) guidelines require military experts deployed in the field to be within the age bracket of 25 to 50 years, while requests to TCCs for nomination of officers stipulate age limits of between 25 and 55 years. Based on existing guidelines, OIOS found that over 379 military officers deployed from January 2008 to December 2009 were outside the established age limits.

17. OMA identified the need for a dedicated capacity to develop military policies and guidelines and requested resources in the 2007/2008 budget to establish the Policy and Doctrine Team. As of December 2009, the team was fully staffed and revision of the old guidance was in progress. In order to mitigate the risks of inconsistent practices and provide guidance on military operations,

there is a need for OMA to finalize and disseminate its military policies and guidelines at Headquarters and missions.

Recommendation 2

(2) The DPKO Office of Military Affairs (OMA) should ensure that the Policy and Doctrine Team, in coordination with other OMA services, revise and disseminate the policies and guidelines to provide adequate guidance to peacekeeping missions on military operations.

18. *OMA accepted recommendation 2 and stated that it was in the process of updating its policies and guidelines and the exercise would be completed by the second quarter of 2011.* Recommendation 2 remains open pending submission to OIOS of updated policies and guidelines on peacekeeping military operations.

B. Strategic guidance to field missions

Critical strategic documents for military operations in field missions did not reflect approved changes in missions' mandates

19. The Security Council in its various resolutions has underscored the importance of updating on a regular basis the military concept of operations and rules of engagement to be in line with the approved changes of the missions' mandates. The MPS in coordination with peacekeeping missions was responsible for developing and updating mission strategic guidance documents. A study conducted by CMOS in September 2008 and updated in August 2009 concluded that the revision of some mission guidance documents was overdue, as outlined in the following paragraphs.

Outdated Military Concept of Operations in field missions

20. The Military Concept of Operations (CONOPs) developed by OMA provides DPKO's guidance on the deployment and employment of the mission's military components and explains the military intent of approved mission mandates. The CONOPs serves as a basis for the development of mission support plans, operational orders, contingency plans and standard operating procedures for military components.

21. OIOS found that some of the CONOPs and field level strategic guidance documents had not been revised upon changes in mission mandates. For example, while Security Council resolutions 1836 (2008) and 1885 (2009) adjusted the mandates of the United Nations Mission in Liberia (UNMIL), resulting in the reconfiguration of forces and changes in the area of responsibility, the CONOPs had not been revised. Consequently, the missions did not update their field level military plans and operational orders. In OIOS' view, if strategic guidance documents are not up-to-date, there is a risk that military operations may not be executed in accordance with approved mandates.

The level of force authorized in some missions' Rules of Engagement is inconsistent with mandates

22. The Rules of Engagement (ROEs) provide direction to military commanders regarding the degree and manner in which force may be used by the military components in peacekeeping missions and are designed to ensure that the application of force is controlled and legal. The aim of the ROE guidelines dated November 2000 was to ensure consistency in developing and implementing ROEs for United Nations peacekeeping operations in order to simplify and speed up the planning process.

23. OMA planned in the 2006/2007 financial period to revise the policy directive on the use of force in peacekeeping missions; however, the exercise was not completed or subsequently finalized. OIOS' review found that the existing ROE guidelines were outdated in comparison to the latest ROEs developed for new missions. OIOS further found that there were variations in the level of force authorized in missions experiencing similar conditions or circumstances.

24. Interviews with OMA's desk officers involved in developing ROEs indicated that there was a need for a model template to improve consistency in the preparation of ROEs. In this regard, in OIOS' opinion, OMA should revise the 2000 ROE guidelines to include the broad spectrum of requirements on the use of force and update all ROEs to mitigate the risk that excessive force may be applied to execute military mandates in field missions.

Recommendations 3 to 4

The DPKO Office of Military Affairs should:

(3) Establish a timely and systematic process of updating strategic guidance documents (i.e., concepts of operations, rules of engagement and force requirements) and revise the Military Concept of Operations and the Rules of Engagement based on changes in mandates and trends in field missions to ensure that they remain relevant and appropriate; and

(4) Revise the model Rules of Engagement (ROEs) template to improve consistency and completeness in the development of ROEs.

25. *OMA accepted recommendation 3 and stated that it had established a systematic mechanism for updating strategic guidance documents and work had started on the review and revision of relevant strategic guidance documents to be completed by the second quarter of 2011. Recommendation 3 remains open pending submission to OIOS of the revised status of field missions' CONOPs and ROEs.*

26. *OMA accepted recommendation 4, stating that the review of the model ROE template is being done in coordination with the Office of Legal Affairs.*

Recommendation 4 remains open pending submission to OIOS of the revised model ROE template.

OMA's annual work plan and the five-year strategic plan were not finalized

27. As of the date of the audit, OMA's 2009/2010 annual work plan/military directive was not approved, and the preparation of the self-initiated 2009/2014 five-year strategic plan was still in progress. The purpose of a work plan is to articulate objectives, expected accomplishments and indicators of achievement prior to its implementation, as indicated in the results-based budget (RBB). However, the work plan/military directive issued by OMA for 2008/2009 and a draft military directive for 2009/2010 were not properly linked to the RBB. For example, the expected indicators of achievement in the work plans/military directives did not include the milestones for implementation.

Recommendation 5

(5) The DPKO Office of Military Affairs should finalize its 2009/2010 work plan and the five-year 2009/2014 strategic plan and ensure that operational activities included in the plans are linked to the results-based budget.

28. *OMA accepted recommendation 5 and stated that the draft 2009/2010 OMA work plan had undergone several revisions to better match the priorities of DPKO and OMA and was used to guide the preparation of individual work plans. Currently, OMA is developing the 2010/2011 work plan and updating the five-year strategic work plan to accommodate the requirement for specific projects outlined in the USG/ASG 2010 compacts, the draft revised OMA Annual Directive and the Special Committee on Peacekeeping Operations (C-34) report. Recommendation 5 will remain open pending submission to OIOS of the finalized five-year strategic plan and the 2010/2011 work plan in lieu of the 2009/2010 work plan indicated in the recommendation considering that the current fiscal year is about to end.*

C. Programme implementation and management

Data maintained in OMA's information system for deployment of military personnel is unreliable for decision-making and trend analysis

29. The police-military staff travel and rotation system (PMSTARS) is a module of the Nucleus suite of applications used to record and monitor the deployment process (i.e., requesting, nomination, screening, deployment and rotation) of experts on mission and staff officers. Authorized users from FGS, DFS and field missions record the relevant steps of the deployment process from which benchmarks can be identified and used as a measure of efficiency for future deployments.

30. OIOS' review found that the data maintained in PMSTARS was not reliable for decision-making. Actions for deployment of military personnel had been started but the respective dates of arrival in field missions were not

consistently recorded. For example, of the 4,544 individual military personnel deployed to peacekeeping missions in 2008 and 2009, 1,883 were listed in PMSTARS as undergoing various stages of deployment; however, 255 had already departed the missions and the remaining 1,628 were already deployed. OIOS found that users including OMA, DFS and field missions had not entered the required information into PMSTARS, and therefore, information on the status of deployment and rotation was incomplete. Moreover, PMSTARS lacked critical reporting capabilities necessary for analysis of data on the deployment of uniformed personnel in order to measure performance, improve efficiency and take timely corrective action. As a result, the use of PMSTARS is limited to the storage of data on deployment of uniformed personnel rather than a tool for management analysis and control.

31. The Office of Human Resources Management (OHRM) of the Department of Management (DM) is leading the talent management project (INSPIRA) scheduled to replace the Nucleus system. Discussions with OHRM indicated that the new system, INSPIRA, was not designed to capture data on travel, deployment or rotation as currently included in PMSTARS. OHRM further stated that it would be DFS' responsibility to develop appropriate support tools that address business requirements for the deployment of military personnel. While DFS' Information Communications and Technology Division had in the course of the audit initiated discussions with OMA regarding the migration of PMSTARS data to INSPIRA, in OIOS' view, there was a need to assess the adequacy of the system and determine if OMA will require additional tools to meet its business requirements for the deployment of uniformed personnel.

Recommendation 6

(6) The DPKO Office of Military Affairs, in coordination with DFS, should assess the adequacy of the Police-Military Staff Travel and Rotation System in supporting its business processes and develop a tool with required capabilities to effectively support decision-making.

32. *OMA accepted recommendation 6, stating that DM had advised that the new talent management system (INSPIRA) would begin capturing travel data from PMSTARS effective July 2010 adding that DFS' Information Communications and Technology Division was already working with OMA to define requirements for additional support or tools that may be needed. Recommendation 6 remains open pending the development of an effective tool to support the decision-making process on the deployment and rotation of military personnel.*

Lack of information sharing with internal partners on military personnel repatriations precludes OMA from addressing systemic problems proactively

33. The lack of a comprehensive database and information sharing with internal partners on repatriations of military personnel for technical reasons (e.g., failure the driving and language examinations), misconduct and medical

conditions that render them unfit to serve in peacekeeping missions precludes OMA from identifying trends and underlying causes, and developing approaches to address systemic problems in deploying military personnel to field missions. While OMA was involved in the review process for conduct and discipline cases administered by the DFS' Conduct and Discipline Unit (CDU), the tracking of cases of serious misconduct in PMSTARS was discontinued in 2005 when CDU was established. Currently, information on military personnel repatriations is maintained in various databases administered by other offices such as the United Nations Medical Services, CDU and field missions on technical repatriations. As shown in Table 2 below, 1,186 military personnel were repatriated in the last three years for various reasons.

Table 2: Data on repatriation of military personnel in the last three years

Period	Conduct	Medical	Technical	Total
2007	266	Not available	25	291
2008	155	330**	16	501
2009	50	330**	14	394
Total	471*	660	55	1,186

* - Over 1,000 allegations reported over a three-year period

** - average of total 660 cases reported in 2008 and 2009 period

34. OIOS found that there were discrepancies in the number of technical repatriation cases maintained by OMA and the field missions' reports. OIOS further found that OMA could not implement its policy of ensuring that debarred military personnel for serious misconduct are not redeployed in field missions, due to the lack of information sharing by the United Nations entities maintaining the different databases.

Recommendation 7

(7) The DPKO Office of Military Affairs should: (a) request data or access to databases on military personnel repatriations from the DFS' Conduct and Discipline Unit and the United Nations Medical Services Section to identify trends and the underlying causes and to take preventive measures on systemic problems to minimize repatriations; (b) verify the number of cases of repatriations at the mission level to ensure data integrity, accuracy and reliability of information; and (c) maintain the database of military personnel debarred for serious misconduct and monitor against their redeployment in peacekeeping missions.

35. *OMA accepted recommendation 7 stating that formal procedures were agreed upon with CDU to share data on military personnel repatriated for misconduct. For medical repatriations, an effort is ongoing on the necessary coordination for sharing of data as recommended. OMA also stated that the exchange of data on technical repatriations at the desk officers' level was already taking place on a regular basis adding that formal procedures will be established with missions for sharing data on repatriations to ensure data*

integrity, accuracy and reliability. Recommendation 7 remains open pending submission to OIOS of the formal procedures established to share information on all forms of military personnel repatriations.

Need for OMA to clarify the criteria for organizing pre-deployment visits and prioritize its visits to TCCs

36. Pre-deployment visits (PDVs) are undertaken to ensure that Member States' contributions of troops and equipment meet the operational requirements of the mission and deployment timings. The PDVs policy states that PDVs shall be the rule rather than exception for new peace operations or existing peace operations that are expanded or significantly changed. It also defines circumstances that will always require a PDV, as follows: (a) the concept of operations for a mission has significantly changed; (b) contingents are provided from a non-United Nations peace operation; (c) contingents are from emerging TCC or specialist capabilities are being contributed for the first time; and (d) the TCC has a long break from peacekeeping operations.

37. While emphasis in the policy has been placed on emerging TCCs or new capabilities contributed for the first time, FGS holds the view that all new capabilities generated should be inspected regardless of size. However, OMA has not been consistent in that some experienced TCCs deploying resources were visited several times while others were deployed without PDVs. For example, there was no PDV for the France Area Control Infantry Battalion deployed in the United Nations Interim Force in Lebanon (UNIFIL) in April 2009. Comments from OIOS' survey of field missions indicate that PDVs are not always needed when a TCC has a similar unit already deployed in the same or another mission. OIOS reviewed 37 PDVs conducted in 2008 and 2009 and found that some of the visits were organized to inspect relatively small units such as infantry companies generated to upgrade existing infantry battalions, engineering companies, reconnaissance company and others. OMA's performance report also showed that the PDVs organized in the last financial periods exceeded the number planned. For example, in 2007/2008, OMA conducted 29 PDVs against 17 planned. Due to the increase in the number of PDVs, some offices could not participate as the travel budgets were exhausted.

38. In OIOS' opinion, as the resources approved for PDVs are limited, there is a need for OMA to revise the criteria and take into consideration other factors such as the TCC's peacekeeping experience, similar units deployed in the same mission and the size of the units generated.

Recommendation 8

(8) The DPKO Office of Military Affairs should revise the policy on pre-deployment visits (PDVs) to troop-contributing countries (TCCs) to clearly define criteria for conducting PDVs considering TCC's peacekeeping experience, similar units already deployed in the same mission and the size of the units generated.

39. *OMA did not accept recommendation 8 stating that it is in strict compliance with the 5 October 2005 policy directive on PDVs, which it considers to be clear and comprehensive. OMA also added that PDVs were conducted as a rule rather than an exception, while balancing other considerations like practicality and urgency of deployment to support the field missions. OMA also stated that PDVs were always conducted for specific units to be deployed and not countries to ascertain the operational readiness in terms of equipment, training, personnel, medical and administration of the units regardless of their sizes.*

40. OIOS appreciates OMA's comments, however while PDVs should always be conducted for units generated in new missions or missions with significant changes in their mandates as per the policy, OMA has in practice been conducting PDVs for all new capabilities even when similar units are already deployed in the mission area. In OIOS' opinion, there is a need to re-assess the necessity of such PDVs and clarify in the policy other factors that should be considered prior to conducting PDVs. OIOS' view is also in line with the survey comments by field missions indicating that there may not be a necessity for a PDV when similar units are already deployed in the mission area. OIOS therefore reiterates recommendation 8 and requests OMA to reconsider its position. Recommendation 8 remains open pending a review of the PDV policy to clarify the criteria for conducting PDVs.

Lack of commitment for rapid deployment in the United Nations Standby Arrangement System (UNSAS) limited United Nations' capability to launch start-up missions within mandated timeframes

41. UNSAS is based on conditional pledges by Member States to contribute specific resources within agreed response time and restrictions into United Nations peacekeeping operations. The purpose of standby arrangements is to have a precise understanding of the forces and other capabilities a Member State will have available, at a given state of readiness for movement from the home country, if it agrees to contribute to a peacekeeping operation. In response to the peace panel report on United Nations Peace Operations (A/55/305-S/2000/809), the Secretary-General proposed to develop a rapid deployment capability in UNSAS in order to meet the objective of deploying missions in 30 to 90 days.

42. The rapid deployment level in UNSAS is the level of commitment in which Member States pledge resources that can be deployed to a peacekeeping mission within 30 to 90 days of a Security Council mandate, subject to the TCC's approval. Member States pledging resources sign draft memorandum of understanding with the United Nations stating the number of personnel and equipment available for deployment. The level of participation by TCCs in the rapid deployment programme has been very low. To date, only four TCCs have pledged resources for rapid deployment, comprising two infantry companies, a special force platoon and five water treatment plants. There has also been no increase in the number of units pledged for rapid deployment level since 2004 and as such, the capability to rapidly deploy in start-up missions is significantly curtailed. Furthermore, Member States consider the commitment of resources for rapid deployment to be unattractive due to the absence of financial compensation or incentive to maintain units at that level of readiness.

43. In OIOS' view, UNSAS has been effective only as a planning tool for identifying available peacekeeping resources, assuming that the TCCs honour their pledges. The absence of a guarantee to provide the pledged resources and the low participation in UNSAS for rapid deployment reduce the United Nations' capability to rapidly deploy military personnel and equipment. Moreover, it has not been possible for OMA to generate all required military capabilities based on the resources pledged in UNSAS due to the unwillingness of TCCs to deploy in certain peacekeeping operations or to certain regions. OMA informed OIOS that new proposals were being formulated to reduce the conditions on which the pledges are made. The proposals will be discussed with Member States for their concurrence. In this regard, OIOS noted that, in the report (A/63/19) of the Special Committee on Peacekeeping Operations, it recommended that the United Nations Secretariat engage with Member States to assess the effectiveness of UNSAS. Therefore, OIOS is not issuing a further recommendation on UNSAS.

Lack of coordination of assistance in setting up standby arrangements with the African Union

44. The United Nations Strategic Framework for 2010/2011 (A/63/6/Rev.1) requires OMA among other things to give special emphasis to supporting African regional peacekeeping military needs including assistance to the African Union in its efforts to set-up peacekeeping forces and establish formal arrangements with peacekeeping partners. The Office of Operations in DPKO also has a mandate to provide advice and operational support to the African Union on strengthening its capacity to plan, manage and sustain peacekeeping operations.

45. At the time of the audit, the Office of Operations had assisted the African Union to set up the regional standby peacekeeping forces. However, OMA was not involved in developing this capacity although it has a responsibility to assist in this task. OIOS interviews with some military advisors in the permanent missions of the TCCs suggested that there was a need to clarify whether resources pledged to the African Union standby peacekeeping forces could be utilized for UNSAS quarterly reporting. Moreover, some military advisors of the permanent missions indicated that TCCs may not have available resources to pledge to parallel standby arrangement systems.

46. In OIOS' view, there is merit in coordinating pledges with the African Union to avoid potential competition for peacekeeping resources. In this regard, the Office of Operations of DPKO should work closely with OMA in assisting the African Union in setting up the standby peacekeeping forces to ensure coherence in the advice provided to TCCs.

Recommendation 9

(9) DPKO's Office of Operations and the Office of Military Affairs should work closely to support the African Union in developing capacity for peacekeeping standby forces.

47. *DPKO accepted recommendation 9 stating that the African Union is developing the regional standby arrangements within the overall framework of the African Peace and Security Architecture of which the African Standby Force (ASF) is one component. DPKO and DFS are supporting the African Union in establishing the ASF, as well as in its efforts to develop its managerial capacity to plan, deploy and manage peacekeeping operations. DPKO further stated that while the capacity to provide support to the African Union lies with the Office of Operations, OMA participates in Headquarters-based working groups. Additionally, the DPKO presence in Addis Ababa to support the African Union includes Military Affairs Officers. In OIOS' opinion, OMA should be more involved at the operational level in supporting the African Union to set up the peacekeeping standby forces to ensure coherence in its military advice to the TCCs. Recommendation 9 remains open pending confirmation that DPKO's Office of Operations and OMA coordinate their support to the African Union in setting up the peacekeeping standby forces.*

Caveats pose a major obstacle to the flexibility of heads of military components in peacekeeping missions

48. Caveats and restrictions in the context of military operations refer to constraints placed by the TCCs, the host nations, parties to the conflict and other entities that can hamper the effective execution of mandated tasks. The caveats and restrictions mainly concern issues such as security of personnel, medical conditions in the area of operation, political and legal issues as well as administrative procedures of the host countries. Unlike other peacekeeping partners, the United Nations does not require TCCs to declare caveats on the pre-deployment phase to minimize the risk of replication of the caveats among TCCs. While the number of caveats announced in pre-deployment has been limited, the unannounced caveats have been many, creating obstacles and reducing the flexibility of the heads of military components in carrying out robust mandates in peacekeeping missions.

49. Furthermore, the growth in peacekeeping operations without a corresponding increase in the number of TCCs has exacerbated the problem of meeting the demand for peacekeeping troops and equipment which currently exceeds available supply. OMA increasingly face challenges in its efforts to convince TCCs to rescind caveats. In the course of the audit, the CMOS was conducting a comprehensive study of caveats and restrictions in United Nations peacekeeping operations. OMA carried out a similar study in 2007 and found that there was a need to record, track and monitor caveats in order to evaluate their impact on field missions and to negotiate with TCCs to minimize them. However, DPKO has yet to establish a database to document caveats for the analysis of their impact and the development of a strategy to rescind them.

50. DPKO informed OIOS that it had completed a comprehensive study on national caveats, restrictions from host nations/parties to the conflict and other entities, and self-imposed restrictions by the United Nations in December 2009. The study involved exhaustive consultations carried out with the TCCs, field missions and various offices at Headquarters, including a detailed analysis of the impact of caveats/restrictions on the implementation of field missions' mandates

and measures to rescind/reduce them. Once the report is approved by the USG/DPKO, OMA will maintain a comprehensive database, and periodically review all caveats and restrictions in United Nations peacekeeping operations. OIOS takes note of the action taken by OMA and therefore, is not issuing a recommendation. However, OIOS will continue to monitor OMA's progress in creating a database and reviewing caveats/restrictions on the deployment of troops.

D. Military personnel recruitment, deployment, rotation and training

Establishment of a formal training programme is necessary to equip military IOT inductees with essential knowledge to carry out their duties

51. Joint planning by OMA and the Office of Operations for training military officers assigned to IOTs was not done. There was also no formal training programme which would include training objectives, on-the-job training tools and the rotation schedule of the military officers within OMA's services for eventual placement in IOTs. The United Nations Strategic Framework for 2010-2011 provides for OMA to enhance responsiveness to field missions, increasing the integration of the military perspective through military representatives in IOTs. A comprehensive training programme for IOT recruits covering the entire spectrum of OMA services and teams is critical, as the military representatives on the teams have the responsibility to represent the official position of OMA.

52. OIOS noted that some military officers had been assigned to IOTs only three months after joining the United Nations and having induction training. DPKO however found that the three months induction programme was insufficient to equip the military officers with the necessary knowledge and skills to represent OMA in IOTs, and expanded it to a period of six months to one year. In order to ensure that the IOT recruits have the required training and effectively represent the position of the parent office, OMA needs to develop a training programme focused on imparting essential skills in its core functions and monitor its implementation to ensure that the recruits are well prepared before placement to the IOTs as stated in the strategic framework.

Recommendation 10

(10) The DPKO Office of Military Affairs, in coordination with the Office of Operations, should develop a formal training programme for military officers assigned to Integrated Operational Teams and monitor its implementation to ensure the successful achievement of training objectives.

53. *DPKO accepted recommendation 10 and stated that the existing induction training programme/methodology for military officers assigned to IOTs only took into account their on-the-job training but lacked opportunity for rotation within OMA services/teams, which would equip them with the familiarity across the entire OMA spectrum of military issues. The overall induction*

programme/methodology as such will be revisited and modified to incorporate these essential elements. Recommendation 10 remains open pending the development of revised induction programme/methodology for military officers assigned to IOTs.

Late submission of TCCs' requests for replacement of military personnel delayed their deployment in field missions

54. FGS is responsible for administering the rotation of individual military personnel (i.e., military experts on mission and staff officers), while the Movement Control Section of DFS is responsible for the transportation of military contingent units for deployment and rotation in peacekeeping missions. The UNMOs guidelines require that OMA desk officers initiate requests to TCCs for the replacement of military personnel at least three months prior to the completion of the tour of duty of the serving officers. OIOS' review however, found that about 1,397 requests raised in 2008 and 2009 for the replacement of military officers had been submitted in less than three months. Moreover, as discussed in paragraph 30, rotation plans in PMSTARS were not up-to-date, making it difficult for OMA to generate requests on time.

55. As a result of the delays, there had been an increase in requests for the extension of serving officers and temporary vacancies of military personnel in field missions. Moreover, as replacement personnel could not arrive on time, proper handover procedures were not carried out as required. The military advisors of the permanent missions to the United Nations also informed OIOS during interviews that the requests for extension of serving officers had become a routine rather than exception as stated in the guidelines. There is therefore, a need for OMA to closely monitor replacement requests and address the delays for the effective and timely deployment and rotation of military personnel in field missions.

Recommendation 11

(11) The DPKO Office of Military Affairs should maintain updated rotation plans for military experts on mission and staff officers and closely monitor requests for their replacement to effectively and timely manage their rotations and minimize the number of requests for service extensions.

56. *OMA accepted recommendation 11 stating that the recommendation is being addressed in the context of the establishment of a new system or tools to support the deployment and rotation of military personnel.* Recommendation 11 remains open pending the establishment of a system or appropriate tools to support the deployment and rotation of military personnel.

High incidence of short tours of duty had adverse impact on missions operations

57. Based on data maintained in PMSTARS, OIOS found that about 958 or 15 per cent of military experts on mission and staff officers deployed from

January 2007 to December 2009 had tours of duty ranging from one to nine months. While the overall percentage appears manageable in comparison to the total number of military experts and staff officers, the impact may be more critical in six missions where the percentage was significantly higher than the average of 15 per cent as shown in Table 3 below.

Table 3: Missions experiencing high impact of short tours of duty for military personnel (January 2007 to December 2009)

Mission	UNMOs & staff officers deployed	Tour of duty of less than nine months	Percentage
UNAMI	20	9	45%
MINUSTAH	180	80	44%
UNIFIL	385	154	40%
UNMIK	20	5	25%
UNMIS	1931	418	22%
MINURCAT	288	50	17%

58. The UNMOs and TCC guidelines required that military experts on mission and staff officers deploy for a minimum tour of duty of one year unless the mission mandate comes to an end. The guidelines require TCCs to bear the cost of repatriation for military personnel deployed less than one year. Respondents to the OIOS' survey were of the opinion that deployments of short duration had an adverse impact on field military operations and reduced the officers' effectiveness because of the time used for induction training, leave, rest and recuperation, and preparation for repatriation instead of peacekeeping service. While OMA had taken measures to ensure that repatriation costs are appropriately charged, there is a risk that the large number of military personnel on short tours of duty in a mission may have an adverse impact on the effectiveness of its operations.

59. OIOS suggested that OMA monitor trends in the tours of duty for military experts on mission and staff officers, and develop a plan of action for missions with high percentage of short-term deployments to reduce the adverse impact on mission operations. OMA informed OIOS that the latest statistics in 2010 had shown that only nine per cent of experts on mission were deployed on short tours of duty and that only eight per cent of TCCs deploy the military officers on a short duration. OMA further stated that requests had been made to TCCs deploying personnel on short tours of duty to increase the deployment duration to 12 months and the TCCs had reiterated in their responses that deployment can only be for six months, otherwise they would not deploy any personnel. In OIOS' opinion, it is within OMA's control to generate the appropriate composition of military experts on mission and staff officers in a particular mission, taking into account the tours of duty, thereby reducing the impact of short term deployments. However, based on OMA's attempts to increase the duration of tour of duty and comments that the numbers are currently not significant, OIOS is not making a recommendation at this point but will continue to monitor the issue and re-assess it at a later date.

Need to develop and implement new approaches to strengthen and improve the capacity of TCCs to serve in peacekeeping operations

60. OIOS' survey results and interviews with TCCs indicated that more needs to be done to improve the level of preparedness by TCCs for peacekeeping operations. Due to the uniqueness of peacekeeping operations, which differs from the common concept of peace enforcement, some TCCs believe the guidance provided for pre-deployment training to be inadequate. The need to strengthen TCC's capacity was identified as an area in need of attention during the strengthening of OMA in which the General Assembly approved five posts for establishing the Operational Advisory Team (OAT) to advise TCCs on pre-deployment training requirements. General Assembly resolution 61/279 further requires OMA to assist the Integrated Training Service of the Division of Policy, Evaluation and Training (DPET) to enhance military capabilities in the field through the review and development of training standards and programmes for the military components of peacekeeping operations, based on the lessons learned from operations and pre-deployment training.

61. Furthermore, owing to the higher threat environments in which United Nations peacekeeping missions now routinely operate, more comprehensive training of military contingents is required. Lessons learned in the preparation of forces for UNAMID indicate that while training remains the responsibility of TCCs, a greater degree of advice and guidance on operational tasks and challenges is required to assist their pre-deployment preparations. In addition, the OAT will provide specialist military advice and assistance to military peacekeeping training exercises undertaken by Member States at the national level or within a regional context. In consultation with the Integrated Training Service and other offices of DPKO and DFS, the OAT will also provide expert advice on current military trends and the operational characteristics of United Nations peacekeeping to military partners, which are conducting educational or training activities.

Recommendation 12

(12) The DPKO Office of Military Affairs should consider new approaches to improve the competencies of contingents in peacekeeping missions such as: (a) proposing partnerships among troop-contributing countries (TCCs); (b) providing pre-deployment training materials to TCCs; (c) advising TCCs to use consultants for training; and (d) using staff from the Operational Advisory Team for pre-deployment visits to TCCs.

62. *OMA accepted recommendation 12, stating that the OAT complements the work of the Integrated Training Service by providing advice to TCCs on training for operational aspects of a specific mission, as well as reviewing and developing training standards/programmes for military components of peacekeeping operations. As a proactive measure, the OAT is developing an outreach programme through the military advisors of the permanent missions to the United Nations and the Military and Police Advisors Community, intended to*

dispel the wrong view, which associates operational advisory visits with a disguised DPKO evaluation of the TCCs' capacities and expand the number of TCCs benefiting from OAT services. Recommendation 12 remains open pending the development of standards and training programmes for improving capacity and competency of TCCs.

Lack of transparency in the recruitment and selection of seconded military officers in OMA and senior military appointments in field missions

63. Transparency in the recruitment and selection of military officers is essential to enable TCCs' understanding of the United Nations procedures and build confidence in the process. Interviews with TCCs suggested that they did not believe that OMA was always transparent in the recruitment and selection process. Furthermore, the lack of feedback when officers from a TCC are repeatedly nominated but not selected may give the perception that the recruitment process is biased or not fair.

64. While some TCCs could be aware that their personnel may not meet standards, they need information from OMA to be able to address the concerns and improve the quality of military candidates nominated for peacekeeping posts. OIOS believes that OMA needs to provide Member States with an overview of and feedback on the recruitment and selection process. Also, in its report A/63/19, the Special Committee on Peacekeeping Operations reiterated the need for timeliness and transparency in the recruitment of senior positions in OMA and in the field missions.

Recommendation 13

(13) DPKO should ensure that the Office of Military Affairs (OMA) improve transparency in recruiting seconded military officers in OMA and appointing senior military officers in field missions by providing Member States with an overview of the recruitment/selection process.

65. *DPKO accepted recommendation 13, stating that an overview of the selection process is provided to TCCs during periodic briefings to the Military and Police Advisors Community. Feedback is also provided during the selection process informing: (a) Member States of the candidates short-listed or not short-listed; (b) successful candidates selected or recommended for the roster; and (c) unsuccessful candidates during the interview. DPKO further stated that it had developed a policy on the selection of senior military officers in field missions. In order to address the concern of Member States, DPKO will send a facsimile by July 2010 explaining the process of recruiting military officers and use the opportunity to communicate to Member States any changes that might take place as a result of the implementation of INSPIRA. Recommendation 13 remains open pending issuance of the facsimile informing Member States of the selection/recruitment process.*

Need for standards and methodology for the objective evaluation of contingent performance

66. Currently, there is no methodology or standards for the evaluation of the military contingents' performance. Respondents to the OIOS' survey commented that performance evaluations were necessary for contingent units deployed in peacekeeping missions to identify deficiencies and recommend actions to improve performance. According to the Secretary-General's report (A/62/752), OMA would identify performance deficiencies in military components through evaluations of current peacekeeping missions conducted under the auspices of DPET.

67. Although OIOS found that OMA participated in mission evaluations led by DPET, a formal evaluation focused on assessing the military contingent performance had not been done. On the contrary, OIOS found that DPKO repatriated military contingent units when significant performance or conduct problems were reported. If a formal evaluation process were in place it would provide a way to address conduct or performance issues before they become detrimental to the field mission's operations and result in the repatriation of troops.

68. In OIOS' opinion, the establishment of an evaluation mechanism with clearly defined standards and methodology will contribute to improving the military contingents' performance. The process should not be complex and should be objective and fair, conducted on a regular basis, and include input from military leadership on the ground. In this regard, OMA needs to develop standards and methodology in order to conduct the evaluation and provide TCCs involved with feedback as a means to improve the performance of contingents in peacekeeping missions.

Recommendation 14

(14) The DPKO Office of Military Affairs should develop standards and methodology to evaluate the performance of military contingent units in field missions in order to improve the troop-contributing countries' capacity and quality of service in peacekeeping operations.

69. *OMA accepted recommendation 14 stating that it was in the process of identifying pilot projects in conjunction with DPET and DFS aimed at developing performance standards for military units. The project which will be undertaken in close consultation with field missions and TCCs will bring a new dimension to OMA's evaluation of mission military components and allow for better feedback to TCCs. Recommendation 14 remains open pending the establishment of performance standards and methodology for the evaluation of TCCs.*

V. ACKNOWLEDGEMENT

70. We wish to express our appreciation to the Management and staff of the Office of Military Affairs, DPKO, DFS and DM for the assistance and cooperation extended to the auditors during this assignment.



STATUS OF AUDIT RECOMMENDATIONS
Assignment No. AP2009/600/02 – Audit of the Office of Military Affairs

Recom. no.	Recommendation	Risk category	Risk rating	C/O ¹	Actions needed to close recommendation	Implementation date ²
1.	DPKO should establish a mechanism to develop and sustain the institutional knowledge and management continuity of the Office of Military Affairs to strengthen its advisory role in supporting decision-makers and improve the management of the military support function.	Governance	High	O	Confirmation that OMA has strengthened its capacity to sustain its institutional knowledge and have management continuity.	Not provided
2.	The DPKO Office of Military Affairs (OMA) should ensure that the Policy and Doctrine Team, in coordination with other OMA services, revise and disseminate the policies and guidelines to provide adequate guidance to peacekeeping missions on military operations.	Governance	Medium	O	Submission to OIOS of updated policies and guidelines on military operations.	June 2011
3.	The DPKO Office of Military Affairs should establish a timely and systematic process of updating strategic guidance documents (i.e., concepts of operations, rules of engagement and force requirements) and revise the Military Concept of Operations and the Rules of Engagement based on changes in mandates and trends in field missions to ensure that they remain relevant and appropriate.	Strategy	High	O	Submission to OIOS of the revised status of field missions' CONOPs and ROEs.	June 2011
4.	The DPKO Office of Military Affairs should revise the model Rules of Engagement (ROEs) template to improve consistency and completeness in the development of ROEs.	Strategy	Medium	O	Submission to OIOS of the revised model ROE template.	June 2011
5.	The DPKO Office of Military Affairs should finalize its 2009/2010 work plan and the five-year 2009/2014 strategic plan	Strategy	Medium	O	Submission to OIOS of the finalized five-year strategic plan and the 2010/2011 work plan.	June 2010

Recom. no.	Recommendation	Risk category	Risk rating	C/O ¹	Actions needed to close recommendation	Implementation date ²
	and ensure that operational activities included in the plans are linked to the results-based budget.					
6.	The DPKO Office of Military Affairs, in coordination with DFS, should assess the adequacy of the Police-Military Staff Travel and Rotation System in supporting its business processes and develop a tool with required capabilities to effectively support decision-making.	Information resources	High	O	Development of an effective tool to support the decision-making process on the deployment and rotation of military personnel.	December 2010
7.	The DPKO Office of Military Affairs should: (a) request data or access to databases on military personnel repatriations from the DFS' Conduct and Discipline Unit and the United Nations Medical Services Section to identify trends and the underlying causes and to take preventive measures on systemic problems to minimize repatriations; (b) verify the number of cases of repatriations at the mission level to ensure data integrity, accuracy and reliability of information; and (c) maintain the database of military personnel debarred for serious misconduct and monitor against their redeployment in peacekeeping missions.	Operational	High	O	Submission to OIOS of the formal procedures established to share information on all forms of military personnel repatriations.	June 2010
8.	The DPKO Office of Military Affairs should revise the policy on pre-deployment visits (PDVs) to troop-contributing countries (TCCs) to clearly define criteria for conducting PDVs considering TCC's peacekeeping experience, similar units already deployed in the same mission, and the size of the units generated.	Operational	Medium	O	Review of the 2005 PDV policy on criteria for conducting of PDVs.	Not provided
9.	DPKO's Office of Operations and the Office of Military Affairs should work closely to support the African Union in	Operational	Medium	O	Confirmation that DPKO's Office of Operations and OMA coordinate their support to the African Union in setting-up	Not provided

Recom. no.	Recommendation	Risk category	Risk rating	C/O ¹	Actions needed to close recommendation	Implementation date ²
	developing capacity for peacekeeping standby forces.				the peacekeeping standby forces.	
10.	The DPKO Office of Military Affairs, in coordination with the Office of Operations, should develop a formal training programme for military officers assigned to Integrated Operational Teams and monitor its implementation to ensure the successful achievement of training objectives.	Human resources	Medium	O	Development of revised induction programme/methodology for military officers assigned to IOTs.	December 2010
11.	The DPKO Office of Military Affairs should maintain updated rotation plans for military experts on mission and staff officers and closely monitor requests for their replacement to effectively and timely manage their rotation and minimize the number of requests for service extensions.	Human resources	Medium	O	Establishment of system/tools to support the deployment and rotation of military personnel.	December 2010
12.	The DPKO Office of Military Affairs should consider new approaches to improve the competencies of contingents in peacekeeping missions such as: (a) proposing partnerships among troop-contributing countries (TCCs); (b) providing pre-deployment training materials to TCCs; (c) advising TCCs to use consultants for training; and (d) using staff from the Operational Advisory Team for pre-deployment visits to TCCs.	Operational	Medium	O	Development of training programmes for improving capacity and competency of TCCs.	June 2011
13.	DPKO should ensure that the Office of Military Affairs (OMA) improve transparency in recruiting seconded military officers in OMA and appointing senior military officers in field missions by providing Member States with an overview of the recruitment/selection process.	Human resources	Medium	O	Issuance of the facsimile informing Member States of the selection/ recruitment process.	September 2010
14.	The DPKO Office of Military Affairs should develop standards and methodology to evaluate the performance of military	Operational	High	O	Establishment of performance standards and methodology for the evaluation of TCCs.	June 2011

Recom. no.	Recommendation	Risk category	Risk rating	C/O¹	Actions needed to close recommendation	Implementation date²
	contingent units in field missions in order to improve the troop-contributing countries' capacity and quality of service in peacekeeping operations.					

1. C = closed, O = open

2. Date provided by DPKO in response to recommendations.