



INTERNAL AUDIT DIVISION

AUDIT REPORT 2013/006

Audit of UN police capacity building programmes in UNOCI

Overall results relating to the effectiveness of the capacity building programmes for the Ivorian National Police and Gendarmerie were initially assessed as unsatisfactory. Implementation of one important recommendation remains in progress

FINAL OVERALL RATING: PARTIALLY SATISFACTORY

**07 February 2013
AP2012/640/01**

CONTENTS

	<i>Page</i>
I. BACKGROUND	1
II. OBJECTIVE AND SCOPE	1-2
III. AUDIT RESULTS	2-5
A. Risk management and strategic planning	2-3
B. Project management	3-5
IV. ACKNOWLEDGEMENT	5
ANNEX I Status of audit recommendations	
APPENDIX 1 Management response	

AUDIT REPORT

Audit of UN police capacity building programmes in UNOCI

I. BACKGROUND

1. The Office of Internal Oversight Services (OIOS) conducted an audit of United Nations Police capacity building programmes in the United Nations Operation in Côte d'Ivoire (UNOCI).
2. In accordance with its mandate, OIOS provides assurance and advice on the adequacy and effectiveness of the United Nations internal control system, the primary objectives of which are to ensure (a) efficient and effective operations; (b) accurate financial and operational reporting; (c) safeguarding of assets; and (d) compliance with mandates, regulations and rules.
3. The United Nations Police (UNPOL) component is headed by a Police Commissioner who reports to the Special Representative of the Secretary-General. UNPOL is responsible for the UNOCI national police capacity building programmes which includes the provision of technical advice, co-location of UNPOL and the Ivorian National Police (INP) with the Ivorian National Gendarmerie (ING), conducting joint patrols, training and mentoring.
4. There was an authorized UNPOL strength of 1,555, against which 23 Member States had contributed 1,349 personnel comprising 353 individual police officers (IPOs) and 996 police personnel for seven Formed Police Units (FPUs). UNPOL budgets for the fiscal years 2010/11 and 2011/12 were \$41.76 million and \$49.24 million respectively.
5. Comments provided by UNOCI are incorporated in *italics*.

II. OBJECTIVE AND SCOPE

6. The audit was conducted to assess the adequacy and effectiveness of the UNOCI governance, risk management and control processes in providing reasonable assurance regarding the **effectiveness of the capacity building programmes for the INP and ING**.
7. The audit was included in the 2012 OIOS risk-based work plan because of the criticality of police capacity building activities in achieving UNOCI mandate, as well as the significant UNPOL budget.
8. The key controls tested for the audit were: (a) risk management and strategic planning; and (b) project management. For the purpose of this audit, OIOS defined these key controls as follows:
 - (a) **Risk management and strategic planning** - controls that provide reasonable assurance that risks relating to the implementation of the INP and ING reform plan and capacity building activities are identified and assessed, and that action is taken to mitigate or anticipate risks.
 - (b) **Project management** - controls that provide reasonable assurance that there is sufficient project management capacity including adequate resources, tools and systems to achieve mandates.
9. The key controls were assessed for the control objectives shown in Table 1.

10. OIOS conducted this audit from March to June 2012. The audit covered the period from 1 July 2010 to 31 May 2012.

11. OIOS conducted an activity-level risk assessment to identify and assess specific risk exposures, and to confirm the relevance of the selected key controls in mitigating associated risks. Through interviews, analytical reviews and tests of controls, OIOS assessed the existence and adequacy of internal controls and conducted necessary tests to determine their effectiveness.

III. AUDIT RESULTS

12. The UNOCI governance, risk management and control processes examined were assessed as **partially satisfactory** in providing reasonable assurance regarding the **effectiveness of the capacity building programmes for the INP and ING**. OIOS made five recommendations to address issues identified. UNPOL developed a concept of operations (CONOPs) which provided the strategic framework for implementing detailed tasks for the capacity building programmes. UNPOL had assessed the capacity of the INP and ING and provided training, technical and logistical support. Additionally, UNPOL collaborated with the United Nations Development Programme (UNDP) in rehabilitating police and gendarmerie facilities and infrastructure. However, UNPOL needed to develop and implement operational plans, decentralize training programmes and monitor the effectiveness thereof.

13. The initial overall rating was based on the assessment of key controls presented in Table 1 below. The final overall rating is **partially satisfactory** as implementation of one important recommendation remains in progress.

Table 1: Assessment of key controls

Business objective	Key controls	Control objectives			
		Efficient and effective operations	Accurate financial and operational reporting	Safeguarding of assets	Compliance with mandates, regulations and rules
Effectiveness of capacity building programmes for the INP and ING	a) Risk management and strategic planning	Unsatisfactory	Partially satisfactory	Partially satisfactory	Partially satisfactory
	(b) Project management	Unsatisfactory	Partially satisfactory	Partially satisfactory	Partially satisfactory
FINAL OVERALL RATING: PARTIALLY SATISFACTORY					

A. Risk management and strategic planning

Lack of operational plans for capacity building programmes

14. UNPOL developed CONOPs for 2010/11 and 2011/12, which contained the strategic framework and guidance for building the capacities of the INP and ING. It also set out goals, specific projects and activities to be undertaken, and performance indicators for measuring and monitoring the effectiveness of the capacity building programmes. UNPOL developed an operational plan for 2010/11. However, due to the post-presidential election crisis and a lack of cooperation from the Ivorian counterpart, UNPOL did not implement the 2010/11 plan nor did they develop an operational plan for 2011/12. The Police

Commissioner advised that the Government had not established a security sector reform (SSR) programme, and once implemented there would be a need for new operational planning. While the lack of a SSR programme impacts operations, it should not have prevented UNPOL from developing an operational plan in respect of the activities that needed to be implemented to address the capacity gaps of the INP and ING.

(1) UNPOL should develop an operational plan with clear goals for the capacity development of the Ivorian National Police and Ivorian National Gendarmerie focusing on projects and activities that are achievable in the foreseeable future pending implementation of the security sector reform programme.

UNOCI accepted recommendation 1 and stated that the 10-year crisis practically collapsed law enforcement agencies including their leadership. Therefore, capacity building activities have taken time to start, and were initially focused on tackling urgent shortfalls and shortcomings. In October 2012, UNPOL, jointly with the United Nations Standing Police Capacity Team, developed strategic action plans for its support to the INP and ING for the period 2012 to 2015, with key objectives, activities, timeframes, resources and expected results. Short term plans until June 2013 were approved, and long term planning was discussed with the national counterparts. Based on the action taken by UNOCI, recommendation 1 has been closed.

B. Project management

Lack of experts hampered the effective delivery of training programmes

15. The Security Council resolution 2000 (2011) authorized the recruitment of an additional 205 police personnel with expertise to assist in building the capacity of Côte d'Ivoire's law enforcement agencies including INP and ING. As at 15 November 2012, only 93 of 205 posts (45 per cent) had been filled. UNPOL had appealed to police contributing countries (PCCs) through DPKO to source experts for the remaining 112 posts. However, UNPOL had not classified the 205 posts according to specialist areas to prioritize where expertise was critically needed. This may have assisted in ensuring that DPKO's discussions with PCCs were adequately focused and resulted in the timely recruitment of experts.

(2) UNPOL, in collaboration with DPKO, should prioritize its specialist needs and refocus its efforts to recruit police experts for the vacant positions to ensure effective implementation of capacity building programmes.

UNOCI accepted recommendation 2 and stated that it had liaised with the Police Division in DPKO, and emphasized the need for police experts, setting out the type of skills needed for mandate implementation. As of 15 November 2012, 93 experts out of the authorized 205 had been deployed to the Mission and UNPOL staffing had increased from 350 officers to 430. This positive trend was expected to continue. UNPOL was developing a partnership with UNDP to recruit five police experts, and to provide expertise towards the police reform where resources were insufficient. Based on the action taken by UNOCI, recommendation 2 has been closed.

UNPOL training activities were not easily accessible by the INP and ING

16. UNPOL conducted 28 train-the-trainer sessions and nine seminars, which were attended by 568 and 2,677 INP and ING-nominated officers respectively in Abidjan. However, no assurance could be obtained that the UNPOL train-the-trainer programme was effective since there was no mechanism for UNPOL to follow-up and evaluate the programme. The Commanding Officer of the ING in Daloa

complained that participants found it challenging and were reluctant to travel to training centers at their own expense. To address these challenges, UNPOL needed to use its representatives in sectors and the ING training facilities, to train INP and ING officers in Bouake in Sector East and in Daloa in Sector West in line with the UNOCI policy to decentralize its activities.

(3) UNPOL should: (i) decentralize the training activities for the Ivorian National Police and Ivorian National Gendarmerie; and (ii) establish and implement an appropriate mechanism to ensure the effective delivery of training activities and transfer of knowledge and skills by trained trainers.

UNOCI accepted recommendation 3 and stated that the decentralization and modernization of training programmes would be subject to the future reform of the police and the process was ongoing. UNPOL was scheduled to deploy a gendarmerie school to Daloa. Recommendation 3 remains open pending the decentralization of the UNPOL training activities and implementation of an appropriate mechanism for transfer of knowledge and skills by trained trainers.

Continuous training of UNPOL individual police officers required improvement

17. UNPOL officers were required to attend in-Mission learning workshops before and periodically after they were deployed to the sectors. Similarly, FPU who conducted joint crowd control exercises with the INP as part of capacity building were required to receive mandatory induction training within the first month of deployment to the Mission. However, UNPOL commanders in Bouake, Yamoussokro, Daloa and Guiglo advised OIOS that they had not participated in the training. Also, 20 of 42 UNPOL officers deployed to the sectors from November 2011 to June 2012 for various capacity building activities were only trained in gender affairs and not in other areas including mentoring, crime prevention and community policing. Moreover, the induction training for 450 FPU who arrived in the Mission in February 2012 only commenced in July 2012.

18. The Police Commissioner stated that individual police officers are provided with pre-deployment training and UNPOL officers undergo 10 days induction training. The Commissioner was of the view that these trainers and mentors are experts and therefore, they did not need in-Mission training. However, the induction training programme did not cover the required subjects and best practices.

(4) UNPOL should provide adequate in-Mission training to police officers and induction training to Formed Police Units before their deployment to the sectors.

UNOCI accepted recommendation 4 and stated that the induction training programmes had been updated. The individual police officers were being trained upon their arrival in Abidjan. The FPU personnel were trained in their respective sites of deployment in the sectors after rotation was completed. Based on the action taken by UNOCI, recommendation 4 has been closed.

Lack of consultation by UNPOL

19. UNPOL provided technical and logistical support to INP and ING in implementing activities to build their capacity. UNPOL, in collaboration with UNDP and international donors, rehabilitated six police and two gendarmerie units in Abidjan and Daloa, and in coordination with the Engineering Section, renovated three classrooms in the Gendarmerie Academy in Abidjan in April 2012.

20. UNPOL did not request resources in the Mission's budget or from the United Nations Country Team members to develop training materials and conduct training for non-technical and general subjects

such as gender, human rights, rule of law and child protection to mitigate the shortage of experts. The Police Commissioner advised that UNPOL had worked with other Mission components such as Gender, Human Rights and HIV/AIDS to develop general training modules but the lack of police expertise in UNPOL impacted its ability to develop necessary training materials. However, Section Chiefs of Gender, Human Rights and Child Protection indicated that they were not requested to assist in the design of training curricula or delivery of other training activities for the INP and ING. Human Rights and Gender Sections had standard training modules which UNPOL could adapt for their use and to ensure uniformity in handling human rights and gender issues.

(5) UNPOL should collaborate with other sections in the Mission such as Gender, Human Rights, Rule of Law and Child Protection and the United Nations Country Team in the delivery of standard, non-technical training to Ivorian National Police and Ivorian National Gendarmerie.

UNOCI accepted recommendation 5 and stated that joint work and collaboration exists with other UNOCI components and these sections were invited to participate in the training of the INP and ING. Based on the action taken by UNOCI, recommendation 5 has been closed.

IV. ACKNOWLEDGEMENT

21. OIOS wishes to express its appreciation to the Management and staff of UNOCI for the assistance and cooperation extended to the auditors during this assignment.



David Kanja, Assistant Secretary-General
Office of Internal Oversight Services

STATUS OF AUDIT RECOMMENDATIONS
Audit of UN police capacity building programmes in UNOCI

Recom. no.	Recommendation	Critical/ ¹ Important ²	C/ ³ O ³	Actions needed to close recommendation	Implementation date ⁴
1	UNPOL should develop an operational plan with clear goals for the capacity development of the Ivorian National Police and Ivorian National Gendarmerie focusing on projects and activities that are achievable in the foreseeable future pending implementation of the security sector reform programmes	Critical	C	Action taken	Implemented
2	UNPOL, in collaboration with DPKO, should prioritize its specialist needs and refocus its efforts to recruit police experts for the vacant positions to ensure effective implementation of capacity building programmes	Critical	C	Action taken	Implemented
3	UNPOL should: (i) decentralize the training activities for the Ivorian National Police and Ivorian National Gendarmerie; and (ii) establish and implement an appropriate mechanism to ensure the effective delivery of training activities and transfer of knowledge and skills by trained trainers	Important	O	Evidence of decentralization of the UNPOL training activities and implementation of an appropriate mechanism for transfer of knowledge and skills by trained trainers.	Ongoing
4	UNPOL should provide adequate in-Mission training to police officers and induction training to Formed Police Units before their deployment to the sectors	Important	C	Action taken	Implemented
5	UNPOL should collaborate with other sections in	Important	C	Action taken	Implemented

¹ Critical recommendations address significant and/or pervasive deficiencies or weaknesses in governance, risk management or internal control processes, such that reasonable assurance cannot be provided regarding the achievement of control and/or business objectives under review.

² Important recommendations address important deficiencies or weaknesses in governance, risk management or internal control processes, such that reasonable assurance may be at risk regarding the achievement of control and/or business objectives under review.

³ C = closed, O = open

⁴ Date provided by UNOCI in response to recommendations.

Recom. no.	Recommendation	Critical/ Important ²	C/ O ³	Actions needed to close recommendation	Implementation date ⁴
	the Mission such as Gender, Human Rights, Rule of Law and Child Protection and the United Nations Country Team in the delivery of standard, non-technical training to Ivorian National Police and Ivorian National Gendarmerie				