INTERNAL AUDIT DIVISION

REPORT 2018/142

Audit of the United Nations police operations in the United Nations Mission in the Republic of South Sudan

The Mission needed to reassess the locations of where police were being deployed and implement security measures for the protection of civilian sites based on risk profiles

19 December 2018
Assignment No. AP2018/633/04

Audit of the United Nations police operations in the United Nations Mission in the Republic of South Sudan

EXECUTIVE SUMMARY

The Office of Internal Oversight Services (OIOS) conducted an audit of the United Nations police operations in the United Nations Mission in the Republic of South Sudan (UNMISS). The objective of the audit was to assess the effectiveness and efficiency of the United Nations police operations in UNMISS. The audit covered the period from 1 July 2016 to 31 October 2018 and included a review of strategic guidance and performance management, police deployment, physical security of protection of civilian (PoC) sites, performance appraisal and knowledge management and human rights due diligence.

The Operations Pillar and the field offices of the UNMISS police component had adequately established expected accomplishments, planned outputs of individual police officers (IPOs) and formed police units (FPUs) for operational days to patrol and maintain vigilance within UNMISS PoC sites and indicators of achievement; and regularly monitored their achievement. The Community Policing and Reform Pillar also adequately established its planned outputs but had challenges assessing and achieving the planned outcome of the pillar's programme. The Mission's police concept of operations (CONOPS) was not up to date, and there was a need to review the police strength in high risk areas and security measures for PoC sites.

OIOS made nine recommendations. To address issues identified in the audit, UNMISS needed to:

- Finalize the police CONOPS in collaboration with the Police Division of DPKO;
- Implement a mechanism to assess whether its community policing programme is effective in achieving established goals and outcomes and take appropriate action to improve the programme;
- Develop a mechanism to monitor and follow up implementation of recommendations made by the Internal Evaluation Unit on their periodic evaluations and inspections of the police activities;
- Reassess, update and implement its deployment plan of the IPOs and FPUs based on the security risks of each PoC site;
- Regularly review the risk profiles of PoC sites and implement in coordination with Mission components appropriate measures to mitigate safety and security risks at PoC sites;
- Develop and implement a mechanism to ensure that semi-annual performance appraisals are completed and documented for all IPOs and FPUs personnel that are subject to United Nations performance appraisals;
- Ensure completion of handover notes by IPOs and proper maintenance of key operational records by police supervisors;
- Conduct a performance gap analysis and training needs assessment of IPOs and develop appropriate training plan; and
- Ensure that human rights risk assessments are conducted prior to providing support to the national police services to ensure human rights issues are adequately considered.

UNMISS accepted the recommendations and has initiated action to implement them.

CONTENTS

Audit of the United Nations police operations in the United Nations Mission in the Republic of South Sudan

I. BACKGROUND

1. The Office of Internal Oversight Services (OIOS) conducted an audit of the United Nations police operations in the United Nations Mission in the Republic of South Sudan (UNMISS).

2. The UNMISS police component is mandated to protect civilians, especially by implementing community policing programmes and maintaining public safety and security of the Mission's protection of civilian (PoC) sites and investigating and reporting on abuses and violations of human rights. The Departments of Peacekeeping Operations and Field Support (DPKO/DFS) Guidelines on Police Command in United Nations Peacekeeping Operations and Special Political Missions (the Police Command Guidelines) provides guidance on the police operations.

3. The UNMISS police component is headed by a Police Commissioner at the D-2 level who reports to the Deputy Special Representative of the Secretary-General. The police component comprises three pillars: the Operations Pillar, responsible for planning and coordinating patrols by the formed police units (FPUs) and preparing daily situational reports; the Community Policing and Reform Pillar, responsible for maintaining public safety and security within and outside of UNMISS PoC sites through the development, integration and implementation of preventive policing programmes including community-oriented policing and Gender, Child and Vulnerable Persons Protection (GCVPP) programme; and the Administration Pillar, headed by the Police Chief of Staff, mainly responsible for planning and budgeting, human resources management, arranging rotations and deployment, and internal investigation related to police misconduct and training. The Police Internal Evaluation Unit (IEU) reports directly to the Police Commissioner and is responsible for evaluating and assessing the extent and progress of implementation of the component's mandated tasks.

4. The authorized deployment strength of the police component was 2,101 consisting of 703 individual police officers (IPOs), seven FPUs comprising 1,320 members and 78 government-provided personnel. As at 31 August 2018, the actual strength of the police component was 1,807 (86 per cent of planned deployment) comprising 642 IPOs, 1,099 FPUs (composed of six FPUs) and 66 government-provided personnel. UNMISS had six PoC sites in five field offices in Juba (two PoC sites), Bentiu, Malakal, Wau and Bor.

5. The approved budget for the police component increased from $58 million in fiscal year 2016/17 to $66 million in fiscal year 2017/18 owing to the arrival of the sixth FPU during the period.

6. Comments provided by UNMISS are incorporated in italics.

II. AUDIT OBJECTIVE, SCOPE AND METHODOLOGY

7. The objective of the audit was to assess the effectiveness and efficiency of the United Nations police operations in UNMISS.

8. This audit was included in the 2018 risk-based work plan of OIOS due to the operational risk relating to the implementation of the police mandate.

9. OIOS conducted this audit from June to October 2018. The audit covered the period from 1 July 2016 to 31 October 2018. Based on an activity-level risk assessment, the audit covered higher and medium

risk areas in the United Nations police operations, which included strategic guidance and performance management, police deployment, physical security of PoC sites, performance appraisal and knowledge management, and human rights due diligence.

10.   The audit methodology included interviews of key mission personnel, reviews of relevant documentation, analytical reviews of data and sample testing of control effectiveness. The audit team visited 5 of the 10 field offices and 5 of the 6 PoC sites.

11.   The audit was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.

III.   AUDIT RESULTS

A.   Strategic guidance and performance management

The police component concept of operations needed to be updated

12.   According to the Police Command Guidelines, the UNMISS police concept of operations (CONOPS) should be reviewed annually or as the mandate, nature and size of the police component is adjusted, as the CONOPS serves as key strategic guidance for the operations of the police component. UNMISS should seek approval of the CONOPS from the Police Division of DPKO to ensure adherence to the police mandate given by the governing bodies and ensure Secretariat-wide coherence.

13.   The UNMISS police CONOPS was approved on 16 May 2016 and since then had not been updated to reflect Security Council resolutions 2327 on 16 December 2016 and 2406 on 15 March 2018, which amended the size and the mandate of the police component respectively. For example, Security Council resolution 2327 (2016) increased the authorized police strength/ceiling from 2,001 to 2,101, authorized UNMISS to use all necessary means to protect civilians under threat of physical violence through proactive deployment and to conduct active patrolling with particular attention to internally displaced persons (IDPs). Security Council resolution 2406 (2018) removed from the current Mission mandate the following tasks: providing training support and advisory assistance to the national Joint Integrated Police Service and supporting the planning and establishment of agreed transitional security arrangements including the establishment and operation of the Joint Operation Centre. The 2016 CONOPS still included these tasks.

14.   In August 2018, UNMISS senior management approved the police component roadmap, which set out a strategic framework formulating the component's vision for 2018-2021, which had mitigated the risk of not having an updated CONOPS to plan and direct police operations. In August 2018, the UNMISS police component also provided a draft CONOPS to the Police Division of DPKO for review and approval but needed to follow up to expedite its finalization. Delays in updating the CONOPS was due to other operational priorities such as policing PoC sites and the 2016 security crisis.

> **(1) UNMISS, in collaboration with the Police Division of DPKO, should finalize the police concept of operations.**
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> *UNMISS accepted recommendation 1 and stated that a follow up email was sent and the Police Division of DPKO has been consulted in order to expedite the review and approval of the police CONOPS.* Recommendation 1 remains open pending receipt of an updated police CONOPS approved by the Police Division of DPKO.

Need to assess the effectiveness of community policing programme

15.   The United Nations results-based budgeting (RBB) framework requires the UNMISS police component to establish expected accomplishments, indicators of achievement and planned outputs, and monitor their achievement.

16.   RBB targets for FPU and IPO person days to patrol and maintain vigilance within UNMISS PoC sites in the field offices were properly established, incorporating expected accomplishments, indicators of achievement and planned outputs. The planned outputs were specific, measurable and reasonable. The field offices tracked each indicator and output daily, and prepared monthly performance reports showing the percentage of indicators achieved for each objective. The Planning Unit of the police component consolidated the monthly reports and prepared quarterly, biannual and annual reports that showed actual patrolling against planned outputs.

17.   A review of the 2016/17 and 2017/18 budget performance reports, field visits, inspection of police patrol records and recalculation of the FPU and IPO person days indicated that some targets were achieved, and shortfalls were justified. For example:

- In 2016/17 and 2017/18, 262,800 FPU person days to patrol and maintain vigilance within UNMISS PoC sites were planned, and the reported actual outputs were 227,509 and 220,000 FPU person days respectively. The lower number of FPU person days in both years was attributed to the delay in the deployment of one of the FPUs, which arrived in UNMISS in June 2018;

- Similarly, for 2016/17 and 2017/18, 98,550 and 118,260 IPOs' operational days to patrol and maintain a police presence and interact with local communities within UNMISS PoC sites were planned and 91,880 and 118,260 was reported as achieved, respectively. The target for 2016/17 could not be achieved because 14 IPOs per shift were deployed instead of the planned 15 as there were insufficient IPOs;

- In 2016/17, the police component planned to train 650 community watch group members and leaders in the Juba, Bor, Bentiu and Malakal PoC sites. UNMISS reported that it trained 1,065 community watch group members and leaders in subjects such as crime prevention, community safety and relations within PoC sites, community-led informal mitigation and dispute resolution mechanisms in PoC sites. Also, for 2017/18 the Community Policing and Reform Pillar planned to train 500 community watch group members and leaders and managed to train 13,799 community watch group members and leaders. The high numbers were attributed to the increased awareness of the training programme by the community watch groups and leaders as well as the reprioritization of programmatic activities and funds due to limited progress in the implementation of the Joint Integrated Police Initiative indicated below;

- The police component conducted 21 and 16 community workshops to promote the prevention of sexual and gender-based violence against children in PoC sites as against the planned 22 and 14 in 2016/17 and 2017/18 respectively;

- In 2016/17 and 2017/18, 16 and 8 sensitization seminars and workshops on civilian protection strategies, human rights, community-based policing for the national police were planned and 20 and 16 sensitization seminars and workshops were conducted respectively; and

- The police component planned to provide technical support to the development and implementation of a comprehensive training curriculum and strategic and operational framework for 5,400 Joint Integrated national police officers. Although the training curriculum was developed

in 2016/17, no further engagements were made after January 2018 due to lack of commitment by the parties to the peace agreement.

18.   However, OIOS identified the need to improve delivery of the community policing programme, as follows:

- The sensitization training provided by the UNMISS field offices was not standardized and did not have a curriculum;

- The IPOs did not receive adequate guidance and orientation from PoC Coordinators in field offices upon arrival about the community policing practices, community watch group guidelines and PoC strategies in their operational areas;

- The field offices did not have adequate language assistants especially female language assistants when dealing with women victims for GCVPP teams. Also, language assistants worked until 4 p.m. and only during working days. Responding to incidents after working hours and during the weekend remained a challenge;

- The community policing team in the field offices received crime analysis reports but they were not intelligence-led and were not actionable to address the specific threats in the area. The reports also did not provide trend analysis to help in designing a specific crime reduction strategy; and

- The community-oriented policing strategy, which was developed in December 2015, had not been reviewed and updated despite changes in Mission mandate and environment.

19.   The above condition was caused by the police component being predominantly focused on achieving planned outputs without assessing whether the community policing programme was effective in achieving established goals and outcomes. Also, while the community policing programme was delivered in coordination with other Mission components, such as the Human Rights Division, the Civil Affairs Division and the Mission Support Division, there was no coordination mechanism to develop tools to assess programme effectiveness.

20.   The lack of evaluation mechanism could diminish the effectiveness of the community policing activities in the field offices toward achieving the Mission's police mandates.

> **(2) UNMISS, in coordination with the relevant Mission components, should implement a mechanism to assess whether its community policing programme is effective in achieving established goals and outcomes and take appropriate action if necessary, to improve the programme.**
>
> *UNMISS accepted recommendation 2 and stated that a monitoring and evaluation tool was being established to assess the effectiveness of the UNMISS community policing programme. This was being done in coordination with all stakeholders and in line with the UNMISS community engagement strategy.* Recommendation 2 remains open pending receipt of evidence that the effectiveness of community policing programme.

21.   The DPKO/DFS policy on internal evaluations and inspections of United Nations Police requires the IEU, based on an approved plan by the Police Commissioner, to evaluate and assess its mandated tasks to identify the extent and progress of implementation of the mandate. The IEU is required to prepare a matrix of recommendations with proposed timeframes, responsible person/units and follow-up actions.

22.   During the period January to September 2018, the IEU conducted 10 internal evaluations and inspections that covered field offices police component performance including: work plans, duty rosters, performance appraisal forms, static and mobile patrols in PoC sites and community policing activities for which the terms of reference were approved by the Police Commissioner. The IEU issued 100 recommendations from these evaluations and inspections. As at October 2018, 44 were still open pending IEU's verification prior to recording them as implemented. Open recommendations included the need to: (a) deploy language assistants to field office Bor to assist community policing, assessment and GCVPP teams while conducting trainings and interviewing victims, suspects and witnesses after an incident was reported; (b) appoint team leaders for each of the community policing and GCVPP teams in field office Wau; and (c) prepare policing and an operational plan on searches, contingency exercises and fire response in field office Bentiu. No records were available to confirm that actions were taken to implement these recommendations.

23.   The poor rate of implementation of recommendations resulted, as the status of implementation was only assessed if a follow-up evaluation/inspection was conducted; however, these were limited due to staff constraints. The lack of systematic follow-up resulted, as the IEU team was not aware of the policy requirement to prepare a matrix of recommendations for tracking and documenting recommendations follow-up actions. As a result, the inspected field offices or units were not required to regularly report the status of implementation of open recommendations after they have responded to the initial IEU reports. The lack of monitoring of implementation of evaluation and inspection recommendations resulted in action not being taken to improve police operations.

> **(3) UNMISS should implement a mechanism to monitor and follow up on recommendations made by the Internal Evaluation Unit on their periodic evaluations and inspections of police activities to ensure they are implemented in order to improve their operations.**
>
> *UNMISS accepted recommendation 3 and stated that a matrix of recommendations reflecting each follow-up action was adopted and is already in use. Monitoring feedback will be done on a monthly basis to report on all outstanding recommendations.* Recommendation 3 remains open pending receipt of evidence that the recommendations of IEU are monitored and followed up.

B.   Police deployment plan

Police deployment plan needed adjustment based on security risks of each PoC site

24.   The Police Command Guidelines require the establishment of a police deployment plan detailing the functions, number and proposed locations for the deployment of IPOs and FPUs based on the Mission's risks and priorities. According to the Guidelines, the number of IPOs at Mission headquarters should ideally not exceed 10 per cent (which equals about 70 IPOs) of the overall authorized strength of IPOs.

25.   A review of the police component deployment plan dated 31 August 2018 showed that the deployment of IPOs and FPUs was not optimal. For instance: (a) key command posts, including the Police Commissioner and Deputy Police Commissioner was vacant for 3 and 12 months, respectively; (b) of the

642 IPOs deployed, more than 15 per cent (97 persons) were assigned to administrative and operational support functions at Mission headquarters; and (c) the Bentiu field office was understaffed as there were 109 IPOs against the approved strength of 129 (16 per cent shortfall).

26. In addition, the police deployment was not proportionate to the identified risks at PoC sites. Although there was no written or recommended ratio of police to IDPs, it was generally accepted that highly volatile PoC sites needed more police per IDP. For example, from December 2017 to September 2018, 40 per cent of the reported 847 crimes in PoC sites were committed in PoC site A where 114,652 IDPs resided, whereas 4 per cent of total crimes were reported at PoC site B where 2,506 IDPs resided. The respective crime statistics of the two PoC sites A and B suggested that PoC site A was more volatile and required additional policing. However, at the time of the audit, 109 IPOs and 220 FPU personnel were deployed to PoC site A, representing one IPO for 1,052 IDPs and one FPU personnel for 521 IDPs. At PoC site B, there were 42 IPOs and 60 FPU personnel, representing one IPO for 60 IDPs and one FPU personnel for 42 IDPs. As PoC site A is highly volatile, more police presence was needed.

27. The disproportionate assignment of police to PoC sites resulted as the police component was not regularly assessing the adequacy of its deployment plan to indicate priority deployment sites, supported by up-to-date risk profiles. The lack of adequate United Nations police presence was also impacted by: the shortfall in the number of FPUs deployed; the 9 per cent vacancy in IPOs despite the Mission's exhaustive follow-up with the Police Division of DPKO; and insufficient accommodation and office space to absorb additional personnel.

28. As a result, preventive policing and UNMISS ability to maintain basic levels of safety and security in PoC sites were not fully effective, as demonstrated by the high level of crimes being reported.

> **(4) UNMISS should reassess, update and implement its deployment plan of the individual police officers and formed police units based on the security risks of each protection of civilian site.**
>
> *UNMISS accepted recommendation 4 and stated that the deployment plan for IPOs and FPUs will be updated based on risks and Mission priorities. In this regard, PoC site risks and workload has been assessed, and allocation of personnel is being reviewed.* Recommendation 4 remains open pending receipt of evidence that the police deployment plan has been updated and implemented based on the risks of each PoC site.

C.   Physical security of protection of civilian sites

Need to implement physical security measures within PoC sites

29. The UNMISS PoC strategy and note of guidance on security of the IDPs in PoC sites require the police component to review the risk profile of PoC sites every six months and monitor the status of implementation of risk responses every quarter.

30. The UNMISS police component conducted risk profiling of PoC sites in November 2017 but had not updated the risk profiles since then. The risk profile of November 2017 categorized the overall risk of each PoC site into three major areas, i.e., perimeter security, access control and security risks within the PoC sites, and made recommendations to Mission senior management to enhance security measures. The risks identified included: proliferation of weapons into the PoC sites due to broken sections in the perimeter fence; smuggling contraband items through access points; entry and exit of combatants into the PoC sites due to lack of checking an individual's identity; and criminal activities within the PoC sites. The

recommended security measures had not been implemented as the police component did not monitor the implementation of the recommendations.

31.   OIOS visit to five of the six PoC sites in Juba, Bentiu, Wau and Malakal had identified deficiencies, including: inadequate perimeter fencing; free movement in and out of camps (IDPs and non-IDPs) without valid identity cards; insufficient perimeter lighting impacting on the ability of the police to observe unusual movements or disruptions within camps, as well as impacting on the effectiveness of its night patrolling. There were also no ablutions for police located in the near vicinity, meaning they were absent for prolonged periods. Additionally, the GCVPP team and the teams deployed to investigate crimes committed within PoC sites did not have office space for taking statements from victims, witnesses and suspects of gender violence, which required privacy and confidentiality.

32.   The above resulted due to inadequate attention by the police component to regularly review and update the risk profiles of PoC sites to ensure the implementation of robust access control measures and enhanced perimeter security in coordination with other components mainly with the Mission Support Division.

33.   As a result, expelled IDPs returned to the PoC sites and the sites were frequented by organized criminal groups. Dangerous items were smuggled to the PoC sites and unauthorized persons were able to get into the PoC sites, posing an increased risk to the IDPs and the population in the PoC sites. For example, in different search activities conducted by UNMISS police in the PoC sites, IDPs were caught with illegal possession of ammunitions, military badges and uniforms.

> **(5) UNMISS should regularly review the risk profiles of protection of civilian (PoC) sites and implement in coordination with the relevant Mission components appropriate measures to mitigate safety and security risks at the PoC sites.**
>
> *UNMISS accepted recommendation 5 and stated that based on initial risk profile of the PoC sites, the implementation of mitigating measures will be conducted in coordination with other stakeholders in the Mission.* Recommendation 5 remains open pending receipt of evidence that the risk profiles of PoC sites are regularly reviewed and appropriate measures to mitigate safety and security risks at the PoC sites are implemented.

D.   Performance appraisal and knowledge management

Controls over performance appraisal of United Nations police officers were not enforced

34.   The DPKO/DFS guidelines on police administration require the police component to conduct a performance evaluation for each IPO, FPU commander, deputy commander, platoon commanders, section leaders, operations officer, liaison officer, logistics officer and duty officers every six months; and put in place procedures to ensure that all outgoing police personnel prepare handover notes prior to transferring or separating from the Mission.

35.   A review of performance appraisal reports for 93 of 642 IPOs during the audit period indicated that: (a) in 22 instances, the personnel or field offices could not provide their performance appraisal reports; and (b) in 51 cases, the police component completed annual, instead of biannual performance appraisals. This was because the Police Human Resources Management Unit did not periodically remind police commanders of the performance appraisal requirements. In the absence of timely performance appraisals, IPOs may not get feedback on their performance and any weaknesses that require improvement.

36.   A review of the performance appraisal documents for 30 of 65 FPU personnel subject to United Nations performance appraisals who had been in the Mission for more than six months showed that the FPU Coordinator completed semi-annual performance appraisals for 10 FPU personnel. These were contingent commanders and their deputies for five FPUs in the Mission. With the remaining 20 performance appraisals which were composed of platoon commanders, section leaders and operation officers, the performance appraisals were not completed by their respective FPU personnel and submitted to the FPU Coordination Unit. This was because the police component did not standardize and communicate the appraisal process to the FPU contingent commanders.

37.   As a result, there was inadequate assurance that the IPOs and FPU personnel had performed their assigned functions consistent with the United Nations competencies and values. Also, IPOs and FPUs who had unsatisfactory performance may be recruited in the future.

> **(6) UNMISS should develop and implement a mechanism to ensure that semi-annual performance appraisals are completed and documented for all individual police officers and formed police unit personnel that are subject to United Nations performance appraisals.**
>
> *UNMISS accepted recommendation 6 and stated that administrative instructions and guidelines will be sent to all Unit Heads, POC site Coordinators, Team Leaders and Personnel Officers to ensure compliance with the semi-annual performance appraisal requirement.* Recommendation 6 remains open pending receipt of evidence that the required semi-annual performance appraisals are completed and documented for all IPOs and relevant FPU personnel.

Some operational records and handover notes were not properly maintained

38.   The Police Command Guidelines require that information concerning police activities is progressively collected, shared, analyzed and disseminated to develop the component's institutional knowledge. The Guidelines also require outgoing police personnel to prepare handover notes prior to transferring or separating from the Mission. Police supervisors at all levels are responsible for the management of police records generated by and maintained within their area of responsibility.

39.   A review of the management of police records and OIOS request for some documents showed that there were significant control weaknesses in collecting, sharing and maintaining records. For example, the police component could not locate the following documents: (a) daily situational reports from 1 July 2016 to January 2018; (b) monthly performance reports of the police component from 1 July 2016 to 30 April 2017; (c) detailed listing and supporting documents of programmatic activities from 1 July 2016 to 30 June 2017; (d) IEU's inspection reports conducted from 1 July 2016 to December 2017; and (e) the lists of police officers who attended induction training from 1 July 2016 to April 2017. IPOs did not upload official material into the police component shared drive. Performance report documents were not duly archived.

40.   The above resulted as the Police Commissioner did not designate a policy and best practice officer to follow up and enforce completion of handover notes by IPOs and maintenance of key operational records by police supervisors in the existing filing system. Vacancy in key command posts as discussed earlier also contributed to this. As a result, there was a risk of lack of institutional knowledge and reference material and that incoming IPOs were not adequately prepared to take assigned new roles, and a missed opportunity to use lessons learned.

> **(7) UNMISS police component should designate a policy and best practice officer and take measures to enforce completion of handover notes by individual police officers and proper maintenance of key operational records by police supervisors.**

UNMISS accepted recommendation 7 and stated that the police component will designate a Policy and Best Practice Officer to enforce completion of proper handover notes and maintenance of key operational records. In this regard, the organization structure of the police component was reviewed to accommodate the required post in the Database and Knowledge Management Unit. Selection of candidates for the post was on going. Recommendation 7 remains open pending receipt of evidence that the requirement for completion of handover notes by IPOs and proper maintenance of key operational records by police supervisors are enforced.

Need to conduct a training needs assessment and develop training plan for individual police officers

41.   The DPKO/DFS Policy on United Nations Police requires the police component to develop a comprehensive training plan and provide FPU personnel and IPOs with ongoing training on various specialized areas during their tour of duty to enhance their skills, effectiveness and efficiency.

42.   A review of FPU personnel training records indicated that all six FPUs in UNMISS had training officers who organized regular training programmes for their personnel. The FPU cell coordinators in the field offices monitored the proper implementation of the training plans in their monthly work plans. The training provided to the FPUs included crowd control, search techniques, public order management, firearms handling, the directives on use of force, basic policing, stress management and sexual exploitation and abuse. A sample of 93 of 1,099 FPU personnel indicated that all of them had received the required on going in-Mission training, as evidenced by the attendance sheets.

43.   On arrival in the Mission, the police component provided induction training to the incoming police personnel and some ad hoc workshops for PoC coordinators and team leaders. However, the UNMISS police component had neither conducted a performance gap analysis and training needs assessment and thus had not developed a comprehensive training plan for its IPOs. This was despite the police component acknowledging that some of its IPOs did not have the relevant and necessary skills to effectively perform their assigned functions in the Mission area. These included skills in conducting investigations and performing community-oriented policing.

44.   The above occurred because the police component did not assign a responsible officer or unit to conduct a performance gap analysis and in-service training needs assessment that targeted ongoing skills enhancement needs in consultation with the pillar heads. The police component did not prioritize training as the police officers were expected to have been adequately trained before arrival in the Mission and because the component lacked adequate resources to cope with the demands in the PoC sites. Nonetheless, the recruitment of an officer to undertake in-Mission training was underway. Also, the police component had only the Induction Training Unit but was expanding it to a Learning and Development Unit to address all aspect of training needs.

45.   Absence of training could reduce opportunities to strengthen skills of police personnel impacting their effectiveness in their day-to-day operations.

(8) UNMISS should assign an officer or unit that will be responsible for conducting a performance gap analysis and training needs assessment of individual police officers and developing the appropriate training plan.

UNMISS accepted recommendation 8 and stated that the Police Learning and Development Unit was established and will be responsible for conducting a performance gap analysis and training needs assessment of Individual Police Officers, and in developing the appropriate training plan. Recommendation 8 remains open pending receipt of evidence of the assignment of an officer/unit

to conduct training needs assessment and the development and implementation of a police training plan.

Required assessment of operational readiness of formed police units was conducted

46.   The DPKO/DFS policy on FPUs in United Nations peacekeeping operations requires the UNMISS FPU Coordination Unit to: (a) continuously review the operational and logistical ability of FPUs to perform mandated tasks; (b) conduct monthly operational inspections; and (c) test all FPU operational members' weapons handling and shooting skills once every six months.

47.   The FPU Coordination Unit conducted and reported on operational readiness inspections on a monthly basis. A review of 10 of 35 monthly operational readiness inspection reports for the period from 1 March 2018 to 30 September 2018 for six FPU indicated that the inspections covered equipment, training records on public order management and crowd control and operational skills of the FPU. Where necessary, recommendations for improvement were made such as refresher training on equipment use, tactical operations and increased supervision by the command and control staff of the FPU personnel deployed on duty. Also, the Unit conducted duty post, quick response team, armoury and firearms inspections and followed up on readiness exercises such as contingency and scenario-based exercises.

48.   OIOS concluded that there were adequate procedures in place to ensure operational readiness inspections were conducted monthly.

E.   Human rights due diligence

Need to enforce the human rights due diligence risk requirements

49.   The Human Rights Due Diligence Policy (HRDDP) on United Nations support to non-United Nations security forces requires UNMISS to carry out risk assessments prior to providing support to national police services.

50.   The UNMISS police component did not submit requests for HRDDP risk assessment screening to the Human Rights Division prior to providing support to the Government such as in the areas of the national police ID card database, emergency communications center and sensitization training services. Hence, the risks associated with these support activities provided to the Government were not identified, and the corresponding mitigating measures were not established. For example, providing training and technical support to national police personnel who may have committed human rights violations could expose the United Nations to reputational risks. This was because the police component did not enforce the requirement for the conduct of a human rights risk assessment prior to providing support to the national police. In addition, the UNMISS Human Rights Division did not have an updated database for human rights violators to be used by the police component, due to lack of credible information on the issue. OIOS does not make a recommendation in this regard as the Human Rights Division was working to build an updated database to overcome this challenge.

(9) UNMISS should establish procedures to ensure that human rights risk assessments are conducted prior to providing support to the national police to ensure human rights issues are adequately considered.
UNMISS accepted recommendation 9 and stated that the police component will submit the human rights due diligence risk assessment requests to the UNMISS Human Rights Division prior to providing technical advisory and support to the local law enforcement organs. Recommendation 9

remains open pending receipt of evidence that human rights risk assessments are conducted prior to providing support to national police services.

IV.   ACKNOWLEDGEMENT

51.   OIOS wishes to express its appreciation to the management and staff of UNMISS for the assistance and cooperation extended to the auditors during this assignment.

(*Signed*) Eleanor T. Burns
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STATUS OF AUDIT RECOMMENDATIONS

Audit of the United Nations police operations in the United Nations Mission in the Republic of South Sudan

Rec. no.	Recommendation	Critical[1]/ Important[2]	C/ O[3]	Actions needed to close recommendation	Implementation date[4]
1	UNMISS, in collaboration with the Police Division of DPKO, should finalize the police concept of operations.	Important	O	Receipt of an updated police CONOPS approved by the Police Division of DPKO.	31 March 2019
2	UNMISS, in coordination with the relevant Mission components, should implement a mechanism to assess whether its community policing programme is effective in achieving established goals and outcomes and take appropriate action if necessary, to improve the programme.	Important	O	Receipt of evidence that the effectiveness of community policing programme is assessed.	30 June 2019
3	UNMISS should implement a mechanism to monitor and follow up on recommendations made by the Internal Evaluation Unit on their periodic evaluations and inspections of police activities to ensure they are implemented in order to improve their operations.	Important	O	Receipt of evidence that the recommendations of IEU are monitored and followed up.	31 March 2019
4	UNMISS should reassess, update and implement its deployment plan of the individual police officers and formed police units based on the security risks of each protection of civilian site	Important	O	Receipt of evidence that the police deployment plan has been updated and implemented based on the risks of each PoC site.	30 June 2019
5	UNMISS should regularly review the risk profiles of protection of civilian (PoC) sites and implement in coordination with the relevant Mission components appropriate measures to mitigate safety and security risks at the PoC sites	Important	O	Receipt of evidence that the risk profiles of PoC sites are regularly reviewed and appropriate measures to mitigate safety and security risks at the PoC sites are implemented.	30 June 2019
6	UNMISS should develop and implement a mechanism to ensure that semi-annual performance appraisals are completed and documented for all	Important	O	Receipt of evidence that the required semi-annual performance appraisals are completed and	30 June 2019

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[1] Critical recommendations address critical and/or pervasive deficiencies in governance, risk management or control processes, such that reasonable assurance cannot be provided with regard to the achievement of control and/or business objectives under review.

[2] Important recommendations address important (but not critical or pervasive) deficiencies in governance, risk management or 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 UNMISS in response to recommendations.

STATUS OF AUDIT RECOMMENDATIONS

Audit of the United Nations police operations in the United Nations Mission in the Republic of South Sudan (UNMISS)

Rec. no.	Recommendation	Critical[1]/ Important[2]	C/ O[3]	Actions needed to close recommendation	Implementation date[4]
	individual police officers and formed police unit personnel that are subject to United Nations performance appraisals.			documented for all IPOs and relevant FPU personnel.	
7	UNMISS police component should designate a policy and best practice officer and take measures to enforce completion of handover notes by individual police officers and proper maintenance of key operational records by police supervisors.	Important	O	Receipt of evidence that the requirement for completion of handover notes by IPOs and proper maintenance of key operational records by police supervisors are enforced.	31 March 2019
8	UNMISS should assign an officer or unit that will be responsible for conducting a performance gap analysis and training needs assessment of individual police officers and developing the appropriate training plan.	Important	O	Receipt of evidence of the assignment of an officer/unit to conduct training needs assessment and the development and implementation of a police training plan.	30 June 2019
9	UNMISS should establish procedures to ensure that human rights risk assessments are conducted prior to providing support to the national police to ensure human rights issues are adequately considered.	Important	O	Receipt of evidence that human rights risk assessments are conducted prior to providing support to national police services.	31 March 2019

APPENDIX I

Management Response

UNITED NATIONS
United Nations Mission in the
Republic of South Sudan

UNMISS

NATIONS UNIES
Mission des Nations Unies en
République du Soudan du Sud

To:	Mr. Daeyoung Park	DATE: 17 December 2018
	Chief, Peacekeeping Audit Service	
	Internal Audit Division, OIOS	REF: AP2018/633/04

From:	Moustapha Soumaré
	Officer-in-Charge
	UNMISS

Subject: <u>Response to the draft report of an audit of police operations in the United Nations Mission in the Republic of South Sudan (Assignment No. AP2018/633/04)</u>

1. UNMISS acknowledges the receipt of the draft audit report referenced OIOS-2018-AP633-37 and dated 12 December 2018 on the audit of police operations in the United Nations Mission in the Republic of South Sudan (Assignment No. 2018/633/04).

2. Please find attached UNMISS comments on the recommendations of the draft audit report provided in Appendix 1.

3. Thank you for your consideration and support

cc: Ms. Unaisi Lutu Vuniwaqa, Police Commissioner, UNMISS
Mr. Paul Egunsola, Chief of Staff, UNMISS
Ms. Stephani Sheer, Director of Mission Support, UNMISS
Mr. Girmay Gebrekidan, Police Chief of Staff, UNMISS
Ms. Gulen Muftuoglu, Audit Focal Point, UNMISS
Mr. James Suglo, Chief Resident Auditor, Internal Audit Division, OIOS
Ms. Cynthia Avena-Castillo, Professional Practices Section, IAD, OIOS

Management Response

Audit of the United Nations police operations in the United Nations Mission in the Republic of South Sudan

Rec. no.	Recommendation	Critical[5]/ Important[6]	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
1	UNMISS, in collaboration with the Police Division of DPKO, should expedite the finalization of the police concept of operations.	Important	Yes	Police Commissioner	31 March 2019	The Police Division of DPKO has been consulted to expedite the review and approval of the police concept of operations. A follow-up email was also sent.
2	UNMISS, in coordination with the relevant Mission components, should implement a mechanism to assess whether its community policing program is effective in achieving established goals and outcomes and take appropriate action if necessary, to improve the program.	Important	Yes	Community Policing Advisor	30 June 2019	A monitoring and evaluation tool is being established to assess the effectiveness of the UNMISS community policing program. This is being done in coordination with all stakeholders, and in line with the UNMISS community engagement strategy.
3	UNMISS should implement a mechanism to monitor and follow up on recommendations made by the Internal Evaluation Unit on their periodic evaluations and inspections of police activities to ensure they are implemented in order to improve their operations.	Important	Yes	Chief of Internal Evaluation Unit	31 March 2019	A matrix of recommendations reflecting each follow up action was adopted and is already in use. Monitoring feedback will be done on a monthly basis to report on all outstanding recommendations.

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[5] Critical recommendations address critical and/or pervasive deficiencies in governance, risk management or control processes, such that reasonable assurance cannot be provided with regard to the achievement of control and/or business objectives under review.
[6] Important recommendations address important (but not critical or pervasive) deficiencies in governance, risk management or control processes, such that reasonable assurance may be at risk regarding the achievement of control and/or business objectives under review.

Rec. no.	Recommendation	Critical[5]/ Important[6]	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
4	UNMISS should reassess, update and implement its deployment plan of the individual police officers and formed police units based on the security risks of each protection of civilian site.	Important	Yes	Chief of Staff	30 June 2019	The Deployment Plan for Individual Police Officers (IPO) and Formed Police Units (FPU) will be updated based on risks and mission priorities. In this regard, Protection of Civilian (PoC) site risks and workload have been assessed. Allocation of personnel is being reviewed.
5	UNMISS should regularly review the risk profiles of protection of civilian (PoC) sites and implement in coordination with the relevant Mission components appropriate measures to mitigate physical security risks at the PoC sites.	Important	Yes	Deputy Police Commissioner	30 June 2019	Based on the initial risk profiles of the POC sites, the implementation of mitigating measures will be conducted in coordination with other stakeholders in the Mission.
6	UNMISS should develop and implement a mechanism to ensure that semi-annual performance appraisals are completed and documented for all individual police officers and formed police unit personnel that are subject to United Nations performance appraisals.	Important	Yes	Chief of Staff	30 June 2019	Administrative instructions and guidelines will be sent to all Unit Heads, Protection of Civilian Site Coordinators, Team Leaders and Personnel Officers to ensure compliance with the semi-annual performance appraisal requirement.
7	UNMISS police component should designate a policy and best practice officer and take measures to enforce completion of handover notes by individual police officers and proper maintenance of key operational records by police supervisors.	Important	Yes	Police Commissioner	31 March 2019	The police component will designate a Policy and Best Practices Officer to enforce the completion of proper handover notes and maintenance of key operational records. In this regard, the organizational structure of the police component was reviewed to

Rec. no.	Recommendation	Critical[5]/ Important[6]	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
						accommodate the required post in the Database and Knowledge Management Unit. Selection of candidates for the post is on-going.
8	UNMISS should assign an officer or unit that will be responsible for conducting a performance gap analysis and training needs assessment of individual police officers and developing the appropriate training plan.	Important	Yes	Chief of Staff	30 June 2019	The Police Learning and Development Unit (PLDU) was established and will be responsible for conducting a performance gap analysis and training needs assessment of Individual Police Officers, and in developing the appropriate training plan.
9	UNMISS should establish procedures to ensure that human rights risk assessments are conducted prior to providing support to the national police to ensure human rights issues are adequately considered.	Important	Yes	Police Commissioner	31 March 2019	The police component will submit the human rights due diligence risk assessment requests to the UNMISS Human Rights Division prior to providing technical advisory and support to the local law enforcement organs.