



INTERNAL AUDIT DIVISION

REPORT 2019/021

Audit of implementation and management of the Peacekeeping Capability Readiness System

While the System was effectively rolled out, there was a need to improve management of pledges, measurement of deployment timelines and justification for selecting troop- and police- contributing countries for deployment

**29 March 2019
Assignment No. AP2018/600/03**

Audit of implementation and management of the Peacekeeping Capability Readiness System

EXECUTIVE SUMMARY

The Office of Internal Oversight Services (OIOS) conducted an audit of implementation and management of the Peacekeeping Capability Readiness System (PCRS). The objective of the audit was to assess whether the Department of Peacekeeping Operations (DPKO) was adequately and effectively managing PCRS to ensure readiness and timely deployment of quality peacekeeping capabilities. While the entities covered in this report are referred to by their names at the time of the audit, recommendations are made to newly established Department of Peace Operations (DPO), which will be responsible for implementing them. The audit covered the period from July 2015 to September 2018 and included implementation of PCRS, management of pledges and deployment from PCRS.

DPKO effectively rolled out PCRS through adequate outreach, guidance to military and police advisers on the new system and effective assessment and advisory visits (AAVs). DPKO also processed registered pledges of peacekeeping capabilities on the web-based PCRS portal in a timely manner. However, there was a need to maintain a single database of pledges and encourage Member States to renew pledges in a timely manner. Also, adequate information management and systematic record keeping was needed to better measure the performance of PCRS in enabling more timely deployment of quality peacekeeping capabilities. While there was an increasing trend in using PCRS for force generation, the basis for selecting a specific unit needed to be justified.

OIOS made eight recommendations. To address issues identified in the audit, DPO needed to:

- Establish formal criteria for selecting which pledges of peacekeeping capabilities would be the subject of AAVs;
- Systematically monitor expenditures relating to AAVs;
- Implement an integrated mechanism for identifying future peacekeeping capability requirements;
- Cleanse the data and reconcile pledges recorded in the master pledge tracker and the web-based portal of PCRS, and maintain the latter system as the single record of pledges for current and future peacekeeping contributions;
- Formalize criteria, including requirements and duration for maintaining pledged units at Levels 2 and 3 of PCRS;
- Review and streamline the process for registering units at the rapid deployment level (RDL) of PCRS and clarify the criteria for renewal and retention of units at RDL after expiration of the related agreement;
- Implement, in coordination with the Department of Operational Support, a mechanism to systematically capture data related to force generation and deployment across peacekeeping missions; and
- Systematically record the justification for selecting troop- and police- contributing countries in accordance with the established criteria for each force generation exercise, including justification for selecting units from outside of PCRS.

DPO accepted the recommendations, implemented four of them and initiated action to implement the remaining.

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Audit of implementation and management of the Peacekeeping Capability Readiness System

I. BACKGROUND

1. The Office of Internal Oversight Services (OIOS) conducted an audit of implementation and management of the Peacekeeping Capability Readiness System (PCRS). The entities covered in this report are referred to by their names at the time of the audit. As some of the entities have since been rebranded as part of the ongoing management reforms, the recommendations are made to the new departments that will be responsible for implementing them.

2. PCRS is the primary tool for Member States and the United Nations Secretariat to register and manage pledges of peacekeeping capabilities, such as troops; formed police units; enablers including hospitals, engineering and helicopter units; and capacity building and training resources for future contributions to peacekeeping operations. It comprises an online platform for the recording of pledges as well as guidance on the registration of pledges, categorization of pledges into four levels based on readiness for deployment, and engagement with troop- and police- contributing countries (T/PCCs) to assess the availability and readiness of pledged capabilities.

3. The four levels of pledges in PCRS are described below:

- **Level 1:** TCC makes a formal pledge of a unit along with the list of required documentation.
- **Level 2:** Based on United Nations' operational requirements, selected pledges at Level 1 are elevated to this level after a satisfactory Assessment and Advisory Visit (AAV) by a United Nations Headquarters team.
- **Level 3:** Following elevation to Level 2, those units that have achieved a reasonable degree of preparedness and submitted required documentation will be upgraded to Level 3.
- **Rapid Deployment Level (RDL):** T/PCC may pledge to deploy within 60 days of a request made by the United Nations based on a signed RDL agreement.

4. PCRS was established in July 2015 and became operational in September 2015, replacing the United Nations Standby Arrangement System (UNSAS). PCRS aims to: (a) improve efficiency in the management of pledges, (b) achieve a greater degree of readiness and predictability through a more sustained and collaborative approach between United Nations Headquarters and Member States, and (c) in the longer term, provide a single window for the selection of a T/PCC for deployment.

5. PCRS is managed by the Strategic Force Generation and Capability Planning Cell (SFGCPC or "the Cell") and comprises six posts funded by the support account for peacekeeping operations (three P-4s) and by extrabudgetary funds (1 P-4, 1 P-3 and 1 GS). It is co-chaired by the Chief, Force Generation Service (FGS) of the Office of Military Affairs (OMA) and the Policy, Evaluation and Training Division (DPET), both of which were in the Department of Peacekeeping Operations (DPKO). This is currently the Department of Peace Operations (DPO).

6. Comments provided by DPO are incorporated in italics.

II. AUDIT OBJECTIVE, SCOPE AND METHODOLOGY

7. The objective of the audit was to assess whether DPKO was adequately and effectively managing PCRS to ensure readiness and timely deployment of quality peacekeeping capabilities.

8. This audit was included in the 2018 risk-based work plan of OIOS due to recent implementation of PCRS and its high importance as the Organization's new strategic force generation mechanism.

9. OIOS conducted this audit from July to November 2018. The audit covered the period from July 2015 to September 2018. Based on an activity-level risk assessment, the audit covered higher and medium risk areas in PCRS, which included: (i) implementation of PCRS; (ii) management of pledges; and (iii) deployment from PCRS.

10. The audit methodology included: (i) review and analyses of relevant policies, guidelines, manuals, standard operating procedures, administrative issuances and previous relevant oversight reports; (ii) discussions and interviews with DPKO key personnel, focal points and military advisers of Member States; (iii) detailed documentation and walk-through of key processes; (iv) analytical reviews and detailed testing of relevant data; and (v) survey of military and police advisers of Member States - OIOS surveyed 175 military and police advisers serving as of September 2018 via an electronic platform and received 47 responses (27 per cent response rate). Results of the survey were used to draw and support audit conclusions and are discussed in the relevant sections of this report.

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

III. AUDIT RESULTS

A. Implementation of PCRS

DPKO carried out adequate outreach on PCRS

12. According to the United Nations Manual for Generation and Deployment of Military and Police Units to Peacekeeping Operations, strategic interaction between the United Nations and potential T/PCCs enables peacekeepers to be deployed in a timely fashion with the right capabilities.

13. DPKO announced the launch of PCRS in August 2015 through a note verbale to all Member States that included guidelines and templates for submitting pledges of peacekeeping capabilities. This was supplemented by a communication in September 2015, describing in detail the steps for accessing the PCRS system, registration and acceptance of pledges, and protocol for conducting AAVs.

14. DPKO established a dedicated PCRS manager role that served as the primary point of contact for all existing and potential T/PCCs seeking to register pledges in PCRS. The PCRS website contains links to and attachments of relevant information and resources available to all Member States regardless of their registration status. Eighty-two per cent of military and police advisers responding to the OIOS survey agreed that DPKO had provided clear, comprehensive information and guidance on registering and renewing pledges in PCRS, while 18 per cent either did not know or had no basis for judgment. Further, 57 per cent of respondents stated that their country utilized the resources and reference documents available on the PCRS website (19 per cent either did not know or had no basis for judgment and 24 per cent disagreed). Nevertheless, there was an opportunity for DPKO to consolidate all relevant guidelines, templates and procedures on using the PCRS into a single document to make it easier for information to be readily retrievable or searchable by Member States.

15. Since the end of the audit fieldwork, DPKO advised that it had prepared new and updated PCRS guidelines, therefore, OIOS did not make a recommendation on this issue.

SFGCPC facilitated effective implementation of PCRS

16. The United Nations Manual for Generation and Deployment of Military and Police Units to Peacekeeping Operations states that one of the objectives of SFGCPC is to ensure proactive, coordinated, forward-looking and sustained United Nations engagement with Member States for the generation/recruitment and deployment of necessary peacekeeping capabilities.

17. SFGCPC is a hybrid unit composed of both civilian and military personnel from OMA and DPET. The hybrid structure of the Cell enabled effective interaction with current and potential T/PCCs ensuring continuity and preservation of institutional knowledge. For example, during the audit period, the Cell coordinated eight regional engagements and visits to Member States' capitals to interact with potential T/PCCs. In addition, the Cell regularly issued a report on "Uniformed capability requirements for United Nations peacekeeping: current gaps, commitments to enable more rapid deployment, and other capability requirements" to all Member States to enable them to make more informed pledging decisions. Sixty-four per cent of military and police advisers responding to the survey indicated that their country used it to guide their pledges in PCRS, while 21 per cent either did not know or had no basis for judgment and 15 per cent disagreed.

18. In addition, the Cell regularly engaged with Member States bilaterally at the working-level to advise on pledging, assist with the registration of pledges and provide regular feedback to leadership. While 26 per cent of survey respondents either did not know or had no basis for judgment, 62 per cent agreed that their countries were able to provide more accurate and realistic pledges through PCRS than they did through UNSAS.

AAVs were effective in assessing readiness but there was a need to establish criteria for selecting units to visit and monitor related expenditures

19. One of the main objectives of PCRS is achieving a higher degree of readiness and predictability of pledged peacekeeping capabilities. This is managed through registering pledges at four levels of readiness. Successful AAVs are required for pledges to be elevated to Level 2.

20. DPKO developed guidelines and established a checklist for conducting AAVs to ensure all important issues are covered by the AAV team. As per the 2016-2018 Strategic Engagement Plan of SFGCPC, approximately 10 to 14 AAVs should be conducted per year. Based on the data provided by the PCRS manager, DPKO conducted 27 and 15 AAVs in 2016 and 2017, respectively, assessing 127 units altogether. Most commonly assessed units were infantry battalions (18) and Level 2 hospitals (11). As of July 2018, one AAV had been conducted. The relatively low number of AAVs in 2018 was because a sufficient number of units had already been registered at Level 2, and no critical enablers were being pledged by T/PCCs. Priority was being given to the RDL verification visits.

21. Based on sample testing of 10 AAVs, OIOS concluded that during 2016 and 2017, AAVs were conducted in line with the established procedures. Member States were provided with an action plan to address shortcomings identified during AAVs, including recommendations and suggested timelines for implementation. More than 59 per cent of survey respondents agreed that AAVs conducted by DPKO were beneficial in terms of assessing and improving the level of readiness of the pledged capabilities, while 38 per cent either did not know or had no basis for judgment. In addition, 13 out of 15 (87 per cent) military and police advisers responding to the survey, agreed that the Cell effectively facilitated bilateral or triangular capacity-building and training activities based on the results of AAVs.

22. However, there were no formally established criteria for selecting which T/PCC pledges would be the subject of AAVs. During the first year of launch of PCRS, countries were selected based on existing

capability gaps and willingness to participate in an AAV. As of June 2018, there were 171 units pledged at Level 1. Absence of clearly defined criteria could undermine the fairness and objectivity of selecting T/PCCs for AAVs.

23. Additionally, costs related to AAVs were not monitored in a systematic manner. This limited DPKO's ability to accurately determine the overall cost of assessment visits in a given period and effectively prioritize its resources. DPKO explained that it was working with multiple funding sources, which made it difficult to consolidate travel expenditures.

(1) DPO should establish formal criteria for selecting which pledges of peacekeeping capabilities by troop- and police-contributing countries would be the subject of assessment and advisory visits and include it in the Peacekeeping Capabilities Readiness System guidelines.

DPO accepted recommendation 1 and provided evidence that the criteria had been clarified in the new PCRS guidelines issued on 1 January 2019. Based on action taken by DPO and verification by OIOS, recommendation 1 has been closed.

(2) DPO should implement procedures to systematically monitor expenditures relating to assessment and advisory visits.

DPO accepted recommendation 2. Recommendation 2 remains open pending receipt of evidence of systematic monitoring of expenditures relating to AAVs.

Need for systematic forecasting of future capability gaps in missions to guide pledging by Member States

24. The Special Committee on Peacekeeping Operations in its reports A/71/19 and A/72/19, requested the Secretariat to develop a policy on force generation and long-term rotation plans of troops and other peacekeeping capabilities. In the communique from the United Nations Peacekeeping Defence Ministerial: London 2016, Member States called upon the Secretariat to “ensure that the United Nations has the systems in place to deploy, absorb and sustain the pledged assets rapidly and in accordance with the specific needs of individual missions”.

25. The uniformed capability requirements paper, described in paragraph 17 above, is the primary document that guides Member States in registering pledges in PCRS. Capability requirements included therein are based on existing or imminent gaps that were identified in weekly team meetings of FGS and the Police Division. However, there was no integrated mechanism, involving relevant parties such as the Integrated Operational Teams, OMA, the Cell, peacekeeping missions and the Department of Field Support (DFS), for analyzing and forecasting future capability needs in the peacekeeping missions. In February 2018, the executive senior management team of DPKO decided to hold periodic mission-specific planning meetings to assess potential capability needs, but at the time of the audit none had been held. Inadequate forecasting of future capability needs may limit timely generation of the required capabilities. Nearly 95 per cent of the surveyed military and police advisers believed that mission-specific and capability-specific targeted pledging would allow T/PCCs to make more informed pledges and commitments.

(3) DPO should implement an integrated mechanism for identifying future peacekeeping capability requirements to enable informed planning by DPO and to guide Member States in registering pledges in the Peacekeeping Capability Readiness System.

DPO accepted recommendation 3 and stated that periodic integrated meetings and military capability studies would be held to assess evolving and potential capability needs for missions, and the quarterly uniformed capability requirements paper would continue to identify and communicate emerging requirements. Recommendation 3 remains open pending receipt of evidence of implementation of these mechanisms.

B. Management of pledges

There was a need for a single database of pledges

26. The web-based PCRS portal is intended to serve as the consolidated database of record of capabilities that Member States are willing and able to commit for peacekeeping operations. However, in addition to this online system, DPKO maintained an electronic document called the master pledge tracker, to track and consolidate pledges, including those that had not been registered on the PCRS web-based portal. This was because the web-based PCRS portal needed to be reconfigured due to previous design deficiencies, and not all Member States had registered their pledges in the new portal after reconfiguration. As a result, the PCRS manager maintained two sets of records: the PCRS web-based portal that had 141 pledges from 23 Member States, and the master pledge tracker that had 416 pledges from 91 Member States as of August 2018.

27. Pledges were not assigned unique reference numbers and reconciling them manually resulted in errors and inaccuracies. For example, there were duplicate entries of pledges made by a Member State, and another that had signed an RDL agreement on 17 May 2018, appeared as a Level 1 pledge in the master pledge tracker as of August 2018. The status of pledges in the master pledge tracker was not updated timely and therefore, some units that had been deployed appeared as available at Level 1. As a result, the number of units presented in the capability requirements papers was unreliable, and DPKO did not have updated information on the status of pledges.

(4) DPO should cleanse the data and reconcile pledges recorded in the master pledge tracker and the web-based portal of the Peacekeeping Capability Readiness System and maintain the latter system as the single record of pledges for current and future peacekeeping contributions.

DPO accepted recommendation 4 stating that it had implemented changes in the PCRS website to facilitate identification and recording of all pledges and had also issued instructions to T/PCCs that, effective 1 March 2019, only pledges in the PCRS website will be considered. Based on action by DPO and verification by OIOS, recommendation 4 has been closed.

Registered pledges were processed timely and accurately, and controls were enhanced over renewal and modification of pledges

28. As per PCRS guidelines, all pledges registered by Member States must be processed and validated by DPKO to ensure they meet the established requirements. OIOS reviewed a sample of 40 pledges out of 216 registered in the PCRS web-based portal and concluded that pledges were processed in a timely manner, on average within 11 days of submission. However, in three cases, pledges were modified by the Member State after acceptance by DPKO, but there were no proper controls for modifications to be re-approved or reviewed by the PCRS manager, even though the system generated an alert when such modifications were made.

29. In accordance with the PCRS guidelines, Member States should renew their pledges at least once a year. As of 1 August 2018, only 5 out of 23 T/PCCs, which had registered their pledges in the PCRS web-based portal for the 2017/18 fiscal year also renewed their pledges for the 2018/19 fiscal year. This represents 18 per cent of total pledges registered in the portal. This was because renewal of pledges was not monitored, and reminders to renew pledges were not sent automatically by the system. In addition, renewal of pledges in PCRS was burdensome as T/PCCs had to follow the same registration procedure as for new pledges. As a result, expired pledges were counted as active and included in the master pledge tracker. These pledges were also included in the “Current and Emerging Uniformed Capability Requirements for United Nations Peacekeeping” document, potentially overstating the number of available units.

30. While the above control weaknesses were noted, DPO implemented measures during the audit fieldwork, which included changes in the PCRS website to facilitate recording, identification, management and renewal/confirmation of all pledges, such as automated reminders for pledge confirmations before and after the confirmation deadline. OIOS verified the measures implemented and did not make any further recommendation.

PCRS implemented measures to the monitor status of high-level pledges made during summits and ministerial conferences

31. DPKO partnered with various Member States to organize multilateral meetings, including the “Leaders’ Summit on Peacekeeping” held in New York in September 2015, the “UN Peacekeeping Defence Ministerial” held in London in September 2016, the “Ministerial Conference on Peacekeeping in the Francophone Area” held in Paris in October 2016 and the “UN Peacekeeping Defence Ministerial” held in Vancouver in 2017. One of the key objectives of these high-level meetings was to encourage new pledges from Member States, particularly in areas where the United Nations faced capability gaps.

32. The meetings resulted in a number of pledges of peacekeeping capabilities, including key enablers, by Member States. However, the status of these high-level commitments was monitored partially. For example, there were 299 pledges made at the “UN Peacekeeping Defence Ministerial” held in London in September 2016, out of which 69 (20 per cent) were new but DPKO did not have statistics on how many of these pledges were eventually registered in PCRS. As a result, DPKO did not have reliable data to accurately measure the success of efforts to encourage more contributions from Member States and to coordinate the necessary follow-up.

33. While this control weakness was noted, DPO implemented measures during the audit fieldwork, to monitor political commitments made at high-level summits and ministerial conferences until the unit is registered in PCRS. OIOS verified the measures implemented and did not make any further recommendation.

Further clarification was needed on criteria for registering and maintaining pledges at various levels in PCRS

34. In the communique from the United Nations Peacekeeping Defence Ministerial: London 2016, Member States called upon the Secretariat to ensure that at least 12,000 troops and police were at Level 3 of PCRS by the end of 2016 and that 4,000 of those were at RDL. In addition, in its report A/71/19, the Special Committee on Peacekeeping Operations called upon the Secretariat and T/PCCs to ensure that at least 8,000 troops and police were at Level 3 of PCRS by the end of 2017.

35. As of August 2018, there were no units registered at Level 3 since the launch of PCRS (see table 1). This was because registration of units at RDL was prioritized, and initially established criteria for elevating units to Level 3, which required negotiation of a draft memorandum of understanding, was

established without sufficient prior consultation with the relevant sections in DFS. In addition, several versions of the PCRS overview document were issued in the past three years, with different Level 3 requirements.

36. In July 2018, DPKO informed Member States of the revised requirements for elevation of pledges to Level 3. DPKO was also engaging directly with some Member States to elevate their pledges to Level 3.

Table 1 Overview of units accepted at individual levels of readiness in PCRS

As of	Level 1	Level 2	Level 3	RDL
September 2016	126	43	0	11
December 2016	131	40	0	9
May 2017	135	39	0	10
August 2017	123	44	0	-
January 2018	168	63	0	15*
June 2018	171	59	0	14*

*Provisionally registered at the rapid deployment level.

Source: OIOS analysis of data from the “Current and Emerging Uniformed Capability Requirements for United Nations Peacekeeping” issued by DPKO

37. Additionally, guidelines on how long units can be retained at Levels 2 and 3 of PCRS needed to be established. There were 59 units comprising approximately 12,870 personnel pledged at Level 2 as of August 2018 upon successful AAVs, some of which had attained that level in 2016. As there was no imminent deployment needs due to current downsizing and closure of some peacekeeping missions, there was a risk that the assessed units may not maintain the required levels of readiness that corresponded with their registration level. As AAVs require considerable time and resources from both DPKO and the potential T/PCC, there was a need to develop criteria for retaining units at Levels 2 and 3 to maximize the efficiency of the assessment visits while ensuring continued readiness of the pledged capabilities.

(5) DPO should formalize criteria, including requirements and duration for maintaining pledged units at Levels 2 and 3 of the Peacekeeping Capability Readiness System.

DPO accepted recommendation 5 and submitted the new PCRS guidelines, which define criteria, requirements and duration for maintaining pledged units at Levels 2 and 3 of PCRS. Based on action by DPO, recommendation 5 has been closed.

Inadequate criteria for maintaining units at RDL may affect their readiness status

38. T/PCCs at RDL signed agreements with the United Nations, committing to deploy units within 60 days and entitling them to reimbursement of maintenance costs for units registered at RDL.

39. As of August 2018, there were 14 units at RDL, including 10 units that were provisionally registered at RDL. The remaining four units, comprising 1,302 personnel, had signed agreements effective for periods of less than one year that had all expired by 30 June 2018 without being renewed. This was because the RDL guidelines did not prescribe criteria for renewal or retention of units at RDL after the expiration of the agreement. Military advisers interviewed indicated that they were unclear about the status of their respective pledges beyond expiration of the RDL agreements. As a result, there was a risk that prospective T/PCCs would not maintain the units at the required deployment readiness level.

40. RDL guidelines established that verification visits take place within 60 days of concluding the RDL agreement negotiations. For the above-mentioned agreements, RDL verification visits were completed on

average within 24 days. However, OIOS concluded that further efficiencies could have been achieved had verification visits been conducted prior to signing the RDL agreements. This was because the RDL verification visits identified discrepancies between the capabilities included in the negotiated agreement and those inspected by the verification team, which required the agreements to be renegotiated. This affected the timeliness of acceptance and registration of the units at RDL.

(6) DPO should review and streamline the process for registering units at the rapid deployment level (RDL) of the Peacekeeping Capability Readiness System and clarify the criteria for renewal and retention of units at RDL after expiration of the related agreement.

DPO accepted recommendation 6 and submitted the revised RDL guidelines, which define the process for registering units at the RDL of PCRS. The decision for renewal and retention of units at RDL after expiration of the related agreement, however, needs to be analyzed case-by-case based on operational requirements, available resources and pledges, and timelines. Based on action by DPO, recommendation 6 has been closed.

C. Deployment from PCRS

Force generation data was not systematically maintained to measure the impact of PCRS on deployment timelines

41. As stated in the report of the Secretary-General on the Implementation of the recommendations of the Special Committee on Peacekeeping Operations, A/70/579, PCRS aims to ensure timely deployment of quality peacekeeping capabilities.

42. DPKO had not established target deployment timelines that would enable measurement of the effectiveness of the implementation of PCRS. Furthermore, there was no consolidated data on force generation and deployment across peacekeeping missions. For example, there were no records of the units generated during the audit period indicating the date when identification of the units began through to the date of deployment of the selected unit. According to desk officers interviewed and the PCRS manager, it took on average 1-2 days to identify available units by level of readiness in PCRS, but it was not documented and tracked. In view of the inadequate level of documentation, it was not possible to: establish whether PCRS had enabled a more rapid identification of T/PCCs; accurately analyze trends; and identify and measure the main factors affecting selection of T/PCCs and their deployment timelines. DPO needed to coordinate with the Department of Operational Support (DOS), which was responsible for some aspects of the process, to obtain the required data.

(7) DPO should, in coordination with DOS, implement a mechanism to systematically capture data related to force generation and deployment across peacekeeping missions.

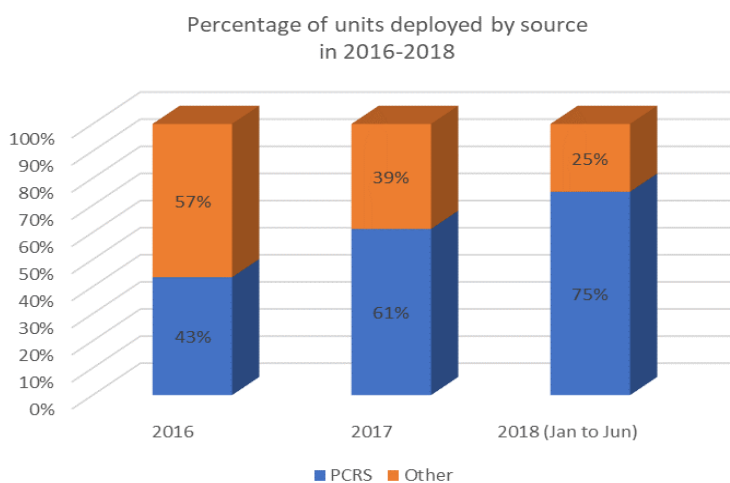
DPO accepted recommendation 7 noting that this would be a complex undertaking that goes beyond the scope of PCRS, which provides credible information of possible units to be selected for deployment. The generation of units is the responsibility of OMA/FGS and the Police Division in the Office of Rule of Law and Security Institutions, while deployment is the responsibility of DOS. Recommendation 7 remains open pending receipt of documented procedures for systematically capturing force generation and deployment data across peacekeeping missions.

Need to ensure selection of a TCC or PCC for deployment is adequately justified

43. According to its established objectives, PCRS should serve as the single window for generation of peacekeeping force.

44. While there has been an increasing trend of using PCRS as the source for force generation during the audit period as shown in chart 1, the system was not yet the single window for selection of a TCC or PCC. In 2016, 10 out of 23 units (43 per cent) were generated from PCRS, in 2017, 19 out of 31 units (61 per cent) were generated from PCRS, and in the first two quarters of 2018, PCRS was used in 18 out of 24 units of new deployments (75 per cent). The remaining units were deployed through bilateral engagement with Member States.

Chart 1 Percentage of units deployed to peacekeeping missions by source and period



Source: OIOS analysis of data from PCRS and the database of movements of units to/from the peacekeeping missions provided by the Logistics Support Division/DPKO

45. The Strategic Engagement Plan of SFGCPC for 2016 to 2018 stated that every unit to be generated and deployed to missions by 2018 should be from pledges registered at least at Level 2 of PCRS. However, for units deployed or deploying from PCRS in the period from January 2016 to June 2018, 11 per cent were deployed from Level 1 and 13 per cent from Level 2. In approximately 76 per cent of units, it was not possible to determine the level because this information was not maintained in the master pledge tracker. While deemed operationally necessary, deploying units registered at Level 1 posed a risk that the level of preparedness would not be adequate.

46. There were no records indicating the basis for selecting a specific unit for deployment, including units selected outside PCRS. According to DPKO, the main reasons for selecting a unit outside PCRS included objections from the host country to the proposed T/PCC, regional and cultural specificities and the need to diversify the pool of T/PCCs present at the peacekeeping mission.

47. All military advisers interviewed by OIOS expressed the need for DPKO to demonstrate transparency in selection decisions and a clear link with PCRS. Further, while 58 per cent of military and police advisers believed that PCRS had enabled greater transparency in the selection of peacekeeping capabilities, roughly 24 per cent disagreed and 18 per cent had no basis for judgement. This observation was mirrored in the OIOS evaluation report on “Evaluation of DPKO Planning during the Force Generation Process and Related Engagement with the Security Council and Troop-Contributing Countries” (IED-17-

001 dated 7 April 2017). Therein, while 14 out of 23 military advisers expressed optimism about the potential of PCRS, they also expressed “explicit concern” that the decision-making process for selecting TCCs in PCRS was “not considered transparent.”

(8) DPO should systematically record the justification for selecting troop- and police-contributing countries in accordance with the established criteria for each force generation exercise, including justification for selecting units from outside the Peacekeeping Capability Readiness System.

DPO accepted recommendation 8. Recommendation 8 remains open pending receipt of documented procedures for maintaining records of the decision-making process in the selection of T/PCCs.

IV. ACKNOWLEDGEMENT

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

(Signed) Eleanor T. Burns
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Office of Internal Oversight Services

STATUS OF AUDIT RECOMMENDATIONS

Audit of implementation and management of the Peacekeeping Capability Readiness System

Rec. no.	Recommendation	Critical ¹ / Important ²	C/ O ³	Actions needed to close recommendation	Implementation date ⁴
1	DPO should establish formal criteria for selecting which pledges of peacekeeping capabilities by troop- and police- contributing countries would be the subject of assessment and advisory visits and include it in the Peacekeeping Capabilities Readiness System guidelines.	Important	C	Action taken	Implemented
2	DPO should implement procedures to systematically monitor expenditures relating to assessment and advisory visits.	Important	O	Receipt of evidence of systematic monitoring of expenditures relating to AAVs.	1 July 2019
3	DPO should implement an integrated mechanism for identifying future peacekeeping capability requirements to enable informed planning by DPO and to guide Member States in registering pledges in the Peacekeeping Capability Readiness System.	Important	O	Submission of evidence of mechanisms implemented to identify future peacekeeping capability requirements in an integrated manner	1 July 2019
4	DPO should cleanse the data and reconcile pledges recorded in the master pledge tracker and the web-based portal of the Peacekeeping Capability Readiness System and maintain the latter system as the single record of pledges for current and future peacekeeping contributions.	Important	C	Action taken	Implemented
5	DPO should formalize criteria, including requirements and duration for maintaining pledged units at Levels 2 and 3 of the Peacekeeping Capability Readiness System.	Important	C	Action taken	Implemented
6	DPO should review and streamline the process for registering units at the rapid deployment level	Important	C	Action taken	Implemented

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 DPO in response to recommendations.

STATUS OF AUDIT RECOMMENDATIONS

Audit of implementation and management of the Peacekeeping Capability Readiness System

Rec. no.	Recommendation	Critical/ Important ²	C/ O ³	Actions needed to close recommendation	Implementation date ⁴
	(RDL) of the Peacekeeping Capability Readiness System and clarify the criteria for renewal and retention of units at RDL after expiration of the related agreement.				
7	DPO should, in coordination with DOS, implement a mechanism to systematically capture data related to force generation and deployment across peacekeeping missions.	Important	O	Submission of evidence of the process established to capture force generation and deployment data	1 July 2021
8	DPO should systematically record the justification for selecting troop- and police- contributing countries in accordance with the established criteria for each force generation exercise, including justification for selecting units from outside the Peacekeeping Capability Readiness System.	Important	O	Submission of evidence of the process established to record justification of selection of troop- and police- contributing countries.	30 June 2019

APPENDIX I

Management Response



UNCLASSIFIED

Immediate

DATE:

MAR 29 2019

REFERENCE: DPPADPO-2019-01687

TO: Ms. Muriette Lawrence-Hume, Chief, New York Audit Service
A Internal Audit Division, OIOS

THROUGH
S/C DE:

FROM: Jean-Pierre Lacroix, Under-Secretary-General
DE: for Peace Operations

A handwritten signature in black ink, appearing to read "J. Lacroix".

SUBJECT: **Draft report on an audit of implementation and management of the Peacekeeping
OBJET: Capability Readiness System (AP2018/600/03)**

1. I refer to your memorandum OIOS-2019-00613, dated 14 March 2019, regarding the above-mentioned audit. Please find attached the action plan for the implementation of the recommendations of the report, as well as documentary evidence of the implementation of four of the eight recommendations.
2. Thank you for the opportunity to comment. We stand ready to provide any further information that may be required.

cc: Lt. Gen. Loitey

Management Response

Audit of implementation and management of the Peacekeeping Capability Readiness System

Rec. no.	Recommendation	Critical ⁵ / Important ⁶	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
1	DPO should establish formal criteria for selecting which pledges of peacekeeping capabilities by troop- and police-contributing countries would be the subject of assessment and advisory visits and include it in the Peacekeeping Capabilities Readiness System guidelines.	Important	Yes	PCRS Manager	The PCRS Guidelines were approved on 01 January 2019	The recommendation has been implemented. The Criteria are clear in the new Peacekeeping Capabilities Readiness System (PCRS) guidelines, paragraph 12.1 refers.
2	DPO should implement procedures to systematically monitor expenditures relating to assessment and advisory visits.	Important	Yes	SFGCPC Team Assistant	1 July 2019	
3	DPO should implement an integrated mechanism for identifying future peacekeeping capability requirements to enable informed planning by DPO and to guide Member States in registering pledges in the Peacekeeping Capability Readiness System.	Important	Yes	SFGCPC Team Leader	1 July 2019	Periodic, integrated meetings and military capability studies will be held to assess evolving and potential capability needs for missions and the quarterly Uniformed Capability Requirements Paper will continue to identify and communicate emerging requirements
4	DPO should cleanse the data and reconcile pledges recorded in the master pledge tracker and the web-based portal of the Peacekeeping Capability Readiness System and maintain the latter system as the single record of pledges for current and future peacekeeping contributions.	Important	Yes	PCRS Manager	Implemented as of 1 March 2019	Changes in the PCRS website have been implemented to facilitate the identification, and to record all pledges' lifecycle. Instructions have been issued to Troop/Police Contributing Countries (T/PCC), and only pledges in the PCRS website will be considered as of 1 March

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.

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						2019. (2019.UNHQ.FGS.FAX.140879.2)
5	DPO should formalize criteria, including requirements and duration for maintaining pledged units at Levels 2 and 3 of the Peacekeeping Capability Readiness System.	Important	Yes	PCRS Manager	Implemented as of 1 January 2019	The recommendation has been implemented. The new PCRS guidelines define criteria (para 12.1 and 13.1), including requirements (para 12.3 and 13.2) and duration for maintaining pledged units at Levels 2 (para 12.5) and 3 (para 13.4) of the Peacekeeping Capability Readiness System.
6	DPO should review and streamline the process for registering units at the rapid deployment level (RDL) of the Peacekeeping Capability Readiness System and clarify the criteria for renewal and retention of units at RDL after expiration of the related agreement.	Important	Yes	PCRS Manager	Implemented as of 1 January 2019	The recommendation has been implemented. The new rapid deployment level (RDL) guidelines define the process for registering units at the (RDL) of the PCRS (para 6.1 and 7). The decision for renewal and retention of units at RDL after expiration of the related agreement, however, needs to be analyzed case-by-case based on operational requirements, available resources, available pledges, and timelines (para 6.1 and 7).
7	DPO should, in coordination with DOS, implement a mechanism to systematically capture data related to force generation and deployment across peacekeeping missions.	Important	Yes	Chief of Staff, OMA	1 July 2021	DPO concurs with the recommendation to implement a mechanism to systematically capture data related to force generation and deployment across peacekeeping missions, but notes that this will be a complex undertaking, which goes beyond the scope of the PCRS. The PCRS provides credible information of possible units to be selected for deployment. The generation of units is an OMA/FGS and OLROLSI/PD

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						responsibility, while the deployment is a DOS responsibility.
8	DPO should systematically record the justification for selecting troop-and-police contributing countries in accordance with the established criteria for each force generation exercise, including justification for selecting units from outside the Peacekeeping Capability Readiness System.	Important	Yes	Chief, Force Generation Service	30 June 2019	