

**Triennial review of the
implementation of
recommendations
contained in the OIOS
evaluation report on Senior
Leadership Training of the
Department of
Peacekeeping Operations
(DPKO) and the Department
for Field Support (DFS)**

17 October 2019

Assignment No: IED-19-010



INSPECTION AND EVALUATION DIVISION

Function *“The Office shall evaluate the efficiency and effectiveness of the implementation of the programmes and legislative mandates of the Organization. It shall conduct programme evaluations with the purpose of establishing analytical and critical evaluations of the implementation of programmes and legislative mandates, examining whether changes therein require review of the methods of delivery, the continued relevance of administrative procedures and whether the activities correspond to the mandates as they may be reflected in the approved budgets and the medium-term plan of the Organization;”* ([General Assembly Resolution 48/218 B](#)).

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Acronyms

ASG	Assistant Secretary-General
D-1, D-2	Director Level 1, Director Level 2
DFS	Department of Field Support
DPA	Department of Political Affairs
DPPA	Department of Political and Peacebuilding Affairs
DPKO	Department of Peacekeeping Operations
DPO	Department of Peace Operations
FGS	Force Generation Service
HQ	Headquarter
IOC-HoMC	Intensive Orientation Course for Heads of Military Components
ITS	DPKO/DFS Integrated Training Service
LSS	Leadership Support Section
OASG	Office of the Assistant Secretary-General
ODCSS	Office of the Director for Coordination and Shared Service
OHRM	United Nations Office of Human Resources Management
OIOS-IED	Inspection and Evaluation Division of the Office of Internal Oversight Services
OROLSI	Rule of Law and Security Institutions
PD	DPKO Police Division
PBPS	DPKO/DFS Peacekeeping Best Practices Section
SLAS	Senior Leadership Appointment Section
SML	Senior Mission Leaders course
SOP	Standard Operating Procedure
SRSG	Special Representative of the Secretary-General
SRS	Selection and Recruitment Section
TIP	Thematic Impact Pathway
TTX	Table Top Exercise
UNEG	United Nations Evaluation Group
UNOCC	United Nations Operations and Crisis Centre
USG	Under-Secretary-General

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Summary

OIOS-IED conducted an evaluation of Senior Leadership training of the Department of Peacekeeping Operations (DPKO) and Department of Field Support (DFS) in 20151.

This triennial review determined the extent to which the seven important recommendations of this evaluation have been implemented by DPKO and DFS. The review established that five recommendations have been implemented (recommendations 2, 3, 5, 6 and 7), one recommendation has been partly implemented (recommendation 1), and one recommendation has been closed without implementation as it was overtaken by events (recommendation 4).

The triennial review was conducted through 1) a review and analysis of annual progress reports on the status of OIOS-IED recommendations; 2) an analysis of relevant information including (a) list of training participants, (b) list of senior leaders in all missions, (c) training materials and syllabus of training, and (d) Guidelines and Standard Operation Procedures (SOPs) related to senior leader selection and training, documents and reports; and 3) interviews with staff at New York Headquarter (HQ).

Recommendation 1 requested DKPO/DFS develop and implement a comprehensive and systematic senior leadership orientation and training strategy. Progress in this respect included the development of an integrated training plan by the Integrated Training Service (ITS) and the adoption of a holistic approach by the Leadership Support Section (LSS)². The approach includes the mentoring of civilian senior leaders from pre- to post-deployment, the reliance on extra budgetary funds restrict the implementation. In order to maximize effectiveness and alignment across the various units involved, OIOS-IED reiterates its recommendation to develop a comprehensive strategy, which is currently not established. The recommendation is closed, though only partly implemented.

Recommendation 2 requested DKPO/DFS to ensure that no senior leadership appointee deploys without the completion of a minimum training determined by an individual needs assessment. Substantial progress has been achieved to reduce the number of senior leaderships deployments without prior training, particularly among military staff. The recommendation has been implemented.

Recommendation 3 requested DKPO/DFS to ensure that all appointees to a senior leadership position complete at least one senior leadership training within the first six months of deployment. All police officers, as well as all military leaders in 2017 and 2018, have participated in at least one senior leadership training. Among civilians, only a small number of senior leaders deployed without the recommended training. The recommendation has been implemented.

Recommendation 4 requested DPKO/DFS to ensure that sufficient funds were allocated in the budget to sustain the training. Given the constrained financial situation, this recommendation has been overtaken by events. The extra budgetary support from willing Member States for this training remains strong and reliable, however. The recommendation is hence closed without implementation.

Recommendation 5 requested DPKO/DFS to establish performance indicators and specific targets for the planned outcomes of the Senior Mission Leader (SML) course. As targets, the integrated training service (ITS) specified increasing the overall number of participants, the share of females amongst

¹The triennial review will refer to the entities by their name and structure at the time the recommendations were conveyed. Institutional changes are specified in A/72/790/Rev1 and read as follows: "the proposed Department of Peace Operations (DPO) that will replace the existing Department of Peacekeeping Operations (DPKO), the proposed Department of Management Strategy, Policy and Compliance (DMSPC) that will replace the existing Department of Management (DM) and the proposed Department of Operational Support (DOS) that will replace the existing Department of Field Support (DFS)".

² Previously Senior Leadership Appointment Section (SLAS)

participants as well as increasing the share of subsequently deployed participants. The recommendation has been implemented.

Recommendation 6 requested DPKO/DFS to provide clear guidance on mandatory readings for senior leaders and request that each mission develop a mission-specific handbook. DPKO/DFS addressed this by providing mission-specific collection of documents and highlighting the mandatory readings. The recommendation is considered implemented.

Recommendation 7 requested DPKO/DFS to develop and offer scenario-based, mission-specific trainings for Mission Leadership Teams in crisis management. Impressive achievements have been made with respect to this recommendation. DPO and the United Nations Operations and Crisis Centre (UNOCC) developed and implemented various tabletop exercises (TTXs) across all major missions. The recommendation has been implemented.

I. Introduction

2. Acting under authority of its mandate, and in compliance with Organizational rules and professional norms, the Inspection and Evaluation Division of the Office of Internal Oversight Services (OIOS-IED) carried out, as systematically and objectively as possible, an evaluation of the implementation and results of Senior Leadership Training (SLT) 3 of the Department of Peacekeeping Operations (DPKO) and the Department for Field Support (DFS). The evaluation was published in December 2015 (IED-15-010).⁴
3. The present report is a triennial review of the status of implementation of the seven important recommendations contained in the above-mentioned evaluation. The purpose of a triennial review is (a) to verify the implementation of recommendations and (b) to describe how they have been implemented. The review examined evidence of implementation at Headquarters, where the recommendations were directed. The methodology for the triennial review included:
 - a) A review and analysis of progress reports on the status of recommendations that were monitored through the OIOS recommendation monitoring platform;
 - b) An analysis of relevant information obtained from DPKO/DFS including, (i) list of training participants (ii) Training materials and syllabus of trainings, and (iii) Guidelines and Standard Operation Procedures (SOPs) related to Senior Leader Selection and Training;
 - c) Interviews with the involved units at headquarters

II. Results

4. In its 2015 Evaluation on senior leadership training, OIOS made seven important recommendations. Of these, five recommendation have been implemented (recommendations 2,3,5, 6 and7); one has been implemented partially (recommendation 1) and one was closed without implementation, as it was overtaken by events (recommendation 4). It is beyond the scope of this triennial to assess the effectiveness or impact of the recommendations.

Recommendation 1: Develop and implement a comprehensive senior leader training strategy

5. Recommendation 1, categorized as important, was as follows:

“DPKO/DFS should develop and implement a comprehensive and systematic senior leadership orientation and training strategy for newly appointed leaders, ensuring a ‘full spectrum, whole of DPKO/DFS effort,’ which covers all aspects of pre-deployment, in-briefing, induction, on-going training and other post-deployment support of senior leaders. (Paragraph 8; Result E paragraphs 69, 71-73)”

⁴ The general frame of reference for OIOS is set out in General Assembly Resolutions 48/218 B, 54/244 and 59/272, as well as ST/SGB/273. OIOS evaluation is provided for in the Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation (ST/SGB/2016/6, p. 16, Regulation 7.1). The review was conducted in accordance with the norms of the United Nations Evaluation Group (UNEG).

The above-mentioned recommendation addressed the dispersion of senior leader training across DPKO/DFS. Consequently, an integrated strategy from selection and pre-deployment to post-deployment was required.

While ITS and LSS have taken steps towards the development of a holistic training approach for senior leadership, a formal, comprehensive and overarching strategy remains to be developed.

6. The recommendation was addressed by ITS with the development of a system-wide training plan, which specifies training and responsible units from recruitment to in-mission deployment. The Leadership Support Section (LSS) for its part internally adopted a life-cycle approach, which is designed to support leaders from recruitment to post-deployment. The mentoring programme is currently on hold while XB funds are sourced.
7. Involved units remain dispersed; ITS, Force Generation Services (FGS) and Selection and Recruitment Section (SRS) are situated at DPO⁵, whereas LSS is situated at the Office of the Director for Coordination and Shared Service (ODCSS), a shared office of DPO and DPPA. While some positive steps have been taken by each unit, the need for an overarching strategy remains.
8. The recommendation is partially implemented and considered closed.

Recommendation 2: Each appointee should complete a specific minimum of training

9. Recommendation 2, categorized as important, was as follows:

“DPKO/DFS should ensure that no appointee to a senior leadership position deploys without completing a specified minimum of training and preparation (based on an individual training needs assessment) and should provide all new senior leadership appointees with an on-boarding focal point. (Result A paragraphs 22-26; Result B paragraphs 35-37; Result E paragraphs 63, 64-66)”.

Currently, each appointee, D2 or above, is required to complete at least one ITS training and attend an in-briefings which addresses the individual knowledge gaps of senior leaders.

10. The recommendation addressed the challenges arising from the diverse backgrounds of appointees and their varying degrees of familiarity with UN peacekeeping operations.
11. According to ITS guidelines, each new senior leader⁶ is required to complete at least one ITS course or in-briefing⁷. In-briefings for such senior leaders in New York provide them with the requisite information on managing peace operations. In addition, in accordance with the recommendation, the life cycle approach of LSS ensures that all appointed civilian leaders have an on-boarding focal point.

⁵ In the organigram of DPO, ITS falls under the Office of the Under-Secretary-General, FGS under the Office of the Assistant Secretary-General (OASG) for Military Affairs and SRS under OASG Rule of Law and Security Institutions (ORLSI).

⁶ A senior leader is a person holding at least a Director level 2 (D2) position.

⁷ “In-briefings” are extensive on-boarding sessions for newly appointed SML prior to their deployment At Headquarters in New York appointees receive mission-specific information and orientation on peacekeeping issues. In-briefings are customized to the appointees’ experience, strength and weaknesses,

12. However, no data is available on the extent to which the individual needs assessment is linked to the training undertaken.

13. The recommendation is implemented.

Recommendation 3: Each senior leader should complete at least one senior leadership training within the first six months of deployment.

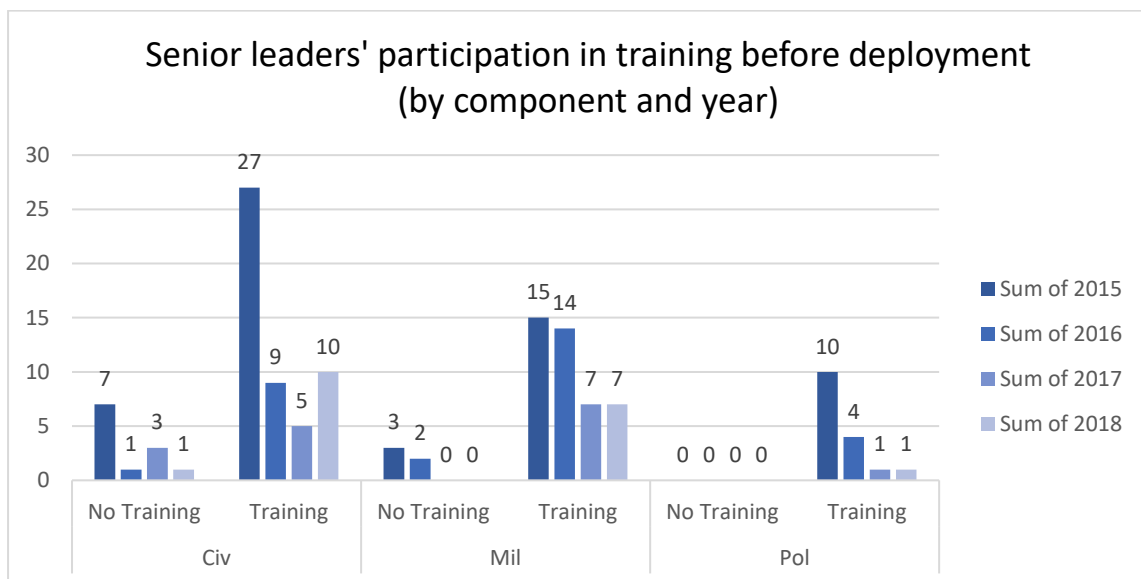
14. Recommendation 3, categorized as important, was as follows:

“DPKO/DFS should ensure that all senior leaders appointed to senior level positions in peacekeeping operations complete at least one DPKO/DFS senior leadership training within the first six months of their appointment. This mandatory requirement should only be waived under exceptional circumstances, and compliance should become part of the performance review. (Result A paragraphs 22-26; Result B paragraphs 27-34, 37-38)”

15. The recommendation was based on the finding that nearly 40 per cent of newly appointed leaders did not complete the mandatory training course in the scheduled time frame.

The number of senior leaders deploying without training has decreased consistently, with 100 per cent of the newly appointed uniformed senior leaders having completed their required training in 2017 and 2018.

Figure 1: Training completed by incumbent senior leaders, by component.



Source: OIOS analysis based on data provided by ITS

16. The compliance with training regulations increased over the past three years. 100 per cent of senior appointees among police personnel met the training requirements. The share of military personnel who met the requirements increased from 83 per cent to 88 per cent between 2015 and 2016. In the following year, 100 per cent completed the mandatory training. Amongst the civilians, the share appointees meeting the training obligation rose from 81 per cent in 2015 to

91 per cent in 2018. However, given the total number of 63 new appointees between 2015 and 2018, this analysis should be interpreted cautiously.

17. The recommendation is implemented.

Recommendation 4: Allocate sufficient budgetary funds

18. Recommendation 4, categorized as important, was as follows:

“DPKO/DFS should allocate sufficient funds in order to address the issue of ongoing funding of the Senior Mission Leaders course. (Result E paragraph 71-73)”

19. The recommendation arose from the finding that obtaining extra-budgetary funding and in-kind contributions from Member States consumed precious staff time. In addition, this practice raised concerns about the influence of Member State on the content of courses.

20. In this respect, the principal challenge is that the regular budget for training has not increased to meet current demand for the course. Given the prevailing financial constraints, there appeared to be little room for an increase in regular funds for ITS. Funding continues to be successfully secured from willing Member States every year, ensuring the continuation of training.

21. The recommendation is hence closed without implementation.

Recommendation 5: Establish targets and performance indicators for the senior mission leadership training

22. Recommendation 5, categorized as important, was as follows:

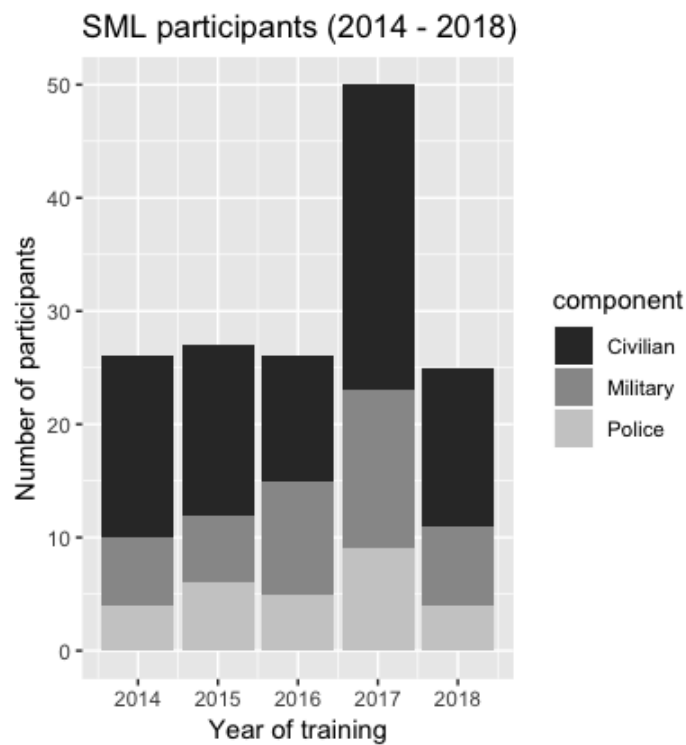
“DPKO/DFS should establish performance indicators and specific targets for the planned outcomes of the Senior Mission Leaders course (as indicated in the Thematic Impact Pathway), in particular for the course objective to increase the number of trained leaders available for potential appointments to leadership posts in DPKO peacekeeping missions. (Results B paragraphs 29-31)”

23. The recommendation arose from the findings that the ITS does not clearly specify the targets or indicators for the training they provide, and that only 14 per cent of SML participants were subsequently appointed to leadership posts in DPKO/DFS missions.

The internal strategy of ITS specifies the increase of SML participants and the achievement of gender-balance amongst participants as targets.

24. The Leadership, Management and Communication Team Strategy for 2016 – 2018 specified the increased number of trained personnel available for recruitment as the main target for the SML. Within this pool of candidates, the strategy highlighted a commitment to increase the gender balance. In addition, ITS aims for a stronger link between participation in SML and the subsequent deployment. The number of SML participants increased moderately over the past three years, with most of the increase attributable to a second SML course in 2017.

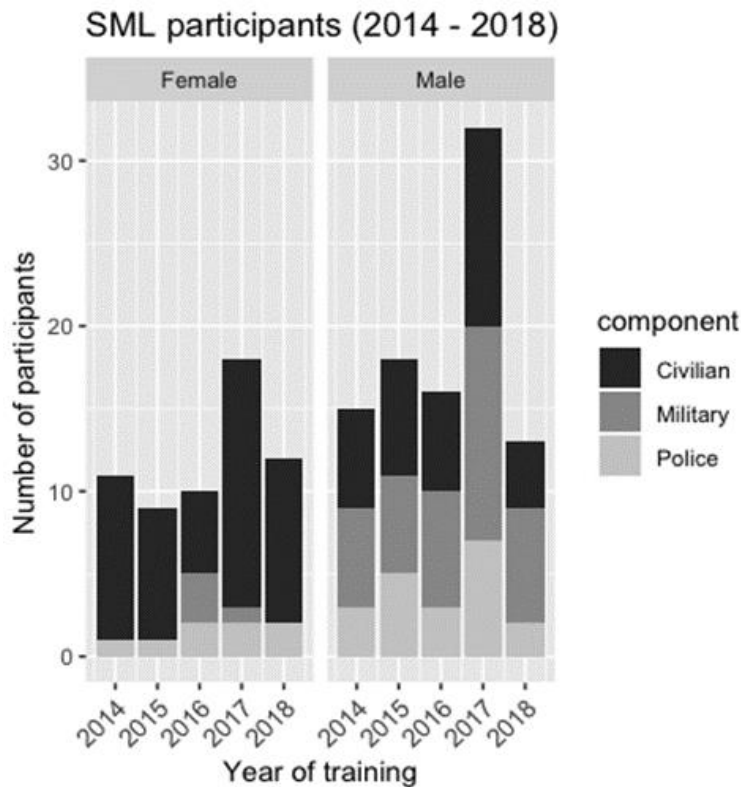
Figure 2: Number of SML participants by component (2014 – 2018)



Source: OIOS analysis based on data provided by ITS

25. The share of female participants increased between 2015 and 2018.
26. Significant variation remained between the different components. While females outnumbered male participants in the civilian component, they were notably absent within the military component.
27. The Force Generation Service (FGS) and Selection and Recruitment Section (SRS) face difficult challenges to achieving gender parity among senior leaders and a proactive approach needs to be taken to increase the number of female SML participants among uniformed personnel. It is well recognized that the achievement, as measured by this indicator, also depends upon the nomination by Member States of suitable uniformed personnel.

Figure 3: Number of female and male SML participants (2014 – 2018)



Source: OIOS analysis based on data provided by ITS

28. LSS and ITS actively advocate with Member States to nominate strong potential candidates for senior civilian appointments to the SML so as to increase the number of appointments from former SML participants. Amongst the challenges associated with increasing the selection and appointment of senior mission leaders from amongst SML participants, relevant constraints may include relatively low number of SML appointments; the possible time-lag between training and deployment; candidates may not fit the current post requirements (geography, gender, language, etc.); the fact that SML training is not a prerequisite for applying for a senior leadership position; other institutes do offer analogous leadership training; and that their appointment is ultimately at the discretion of the Secretary-General.

29. Key uniformed stakeholders voiced concerns about the sequencing of training and selection. Given that uniformed personnel are mainly seconded to missions and require a nomination by the member states, it may be more resource efficient to train personnel after selection.

30. The recommendation has been implemented.

Recommendation 6: Develop mission-specific handbooks and must-read documents

31. Recommendation 6, categorized as important, was as follows:

“DPKO/DFS should require all missions to develop brief mission-specific handbooks tailored to suit the information and knowledge needs of leaders for their Special Representatives of the Secretary-General, Force Commanders, Police Commissioners and Director of Mission Support and should ensure that briefings to senior leaders include clear messages that they are expected

to read and stay current with both general and specific material, including guidelines and policies issued by HQ. (Result D paragraph 56-57)”

32. The recommendation was based on the feedback of senior leaders who reported an information overload and a lack of clarity on what non-negotiable knowledge was. Given the varying levels of prior UN experience, clear guidance was identified as crucial.

Several pertinent initiatives have been taken to provide concise and mission-specific compilations of documents to senior appointees.

33. Senior leaders go through an intensive orientation course facilitated by the Office of Military Affairs (OMA). Attendees receive a document collection with clear instructions on required reads and responsibilities.
34. Also, a USB data storage device with a mission-specific selection of documents is provided at the in-briefing. The USB contains an index with hyperlinks to the Peace Operations Policy and Practice Database⁸.
35. The Policy and Best Practices Service (PBPS) currently developed summaries for the most important documents to further ease the burden on senior leaders.
36. The recommendation has been implemented. To what extent the information overload was reduced (and can be reduced) is outside the scope of in this review.

Recommendation 7: Conduct team-based, mission-specific tabletop exercise

37. Recommendation 7, categorized as important, was as follows:

“DPKO/DFS should develop and offer scenario-based, mission-specific training for Mission Leadership Teams in crisis management. (Result D paragraph 58-62)”

38. The recommendation was based on the recurring references by senior leaders in mission and HQ to inadequate coordination across components and the requests for hands-on, scenario-based tabletop exercises (TTX).

DPO and UNOCC have developed and conducted numerous successful TTXs across different missions and anchored scenario-based exercises firmly into their training efforts.

39. DPO and UNOCC have coordinated TTXs on a variety of topics, including crisis management and protection of civilians in all larger missions⁹. DPO and UNOCC also conducted crisis management TTX between HQ and MONUSCO, UNMISS, MINUSJUSTH, and MINUSMA in 2018 and 2019. Some exercises included staff from all components.
40. The recommendation has been implemented.

⁸ <http://ppdb.un.org>.

⁹ Among them MINSUMA, UNMISS, MONUSCO, UNFIL, MINUSCA, UNMIL, UNMIK, UNMOGIP, and UNSOS) since 2016

III. Conclusion

41. The triennial review ascertained that progress has been made towards an integrated approach. To enhance the effectiveness of these critical efforts, however, there is still a substantial need for the development of an overarching strategy.
42. It is encouraging that the number of senior leader appointees fulfilling the training requirements have increased. Yet, the need for greater female representation in the ranks of senior leaders in the uniformed components should remain a priority.
43. Overall, the advancements within the realm of leadership training are noteworthy. Continued focus on training and the development of an overarching strategy will be required to meet the challenges of current peacekeeping missions.

IV. Annex

Consolidated Comments provided by The Office of the Director for Coordination and Shared Services (DCSS), Department of Political and Peacebuilding Affairs (DPPA) and Department of Peace Operations (DPO) on 16 July 2019

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Note

Draft Report of the Triennial Review of Senior Leadership Training

1. This Note is in response to the Draft Report of the IED/OIOS on the Triennial Review of the implementation of recommendations contained in OIOS evaluation report on Senior Leadership Training of DPKO-DFS Senior Leadership Training, dated 8 July 2019.
2. We would like to extend our thanks to IED/OIOS for conducting the triennial review. The whole process has been marked by an atmosphere of constant and fruitful collaboration.
3. We welcome the report as it provides a thorough analysis of the extent to which the seven recommendations have been implemented by DPKO and DFS. We concur with the main findings of the review.
4. We offer one correction: para 33 “Office of Mission Affairs” should read “Office of Military Affairs”.
5. We take note of the conclusions of the review. We welcome para 43, which indicates that *“advancements within the realm of Leadership training are noteworthy”*. We are also mindful that *“continued focus on training and the development of an overarching strategy will be required to meet the challenges of the peacekeeping missions”*. As these challenges are becoming more and more complex, it will be important for Member States to recognize that the preparation of leaders cannot be reliant upon the generosity of a few Member States. Leadership training must be put on a sustainable financial footing.

Comments by the Office of Internal Oversight Services – Inspection and Evaluation Division in response to the formal comments provided by ODCSS-DPPA-DPO, dated 16 July 2019

1. OIOS thanks the Department of the ODCSS-DPPA-DOS for their thoughtful and consolidated comments to this Triennial report and collaboration throughout the process.
2. Thank you for the correction of para. 33.