



INTERNAL AUDIT DIVISION

REPORT 2015/069

Audit of the pre-deployment process for uniformed personnel by the Departments of Peacekeeping Operations and Field Support

Overall results relating to effective management of the pre-deployment process for uniformed personal by the Departments of Peacekeeping Operations and Field Support were initially assessed as partially satisfactory. Implementation of seven important recommendations remains in progress

FINAL OVERALL RATING: PARTIALLY SATISFACTORY

14 July 2015
Assignment No. AP2014/615/04

CONTENTS

	<i>Page</i>
I. BACKGROUND	1
II. OBJECTIVE AND SCOPE	2
III. AUDIT RESULTS	2-9
Regulatory framework	3-9
IV. ACKNOWLEDGEMENT	9
ANNEX I Status of audit recommendations	
APPENDIX I Management response	

AUDIT REPORT

Audit of the pre-deployment process for uniformed personnel by the Departments of Peacekeeping Operations and Field Support

I. BACKGROUND

1. The Office of Internal Oversight Services (OIOS) conducted an audit of the pre-deployment process of uniformed personnel by the Departments of Peacekeeping Operations (DPKO) and Field Support (DFS).
2. In accordance with its mandate, OIOS provides assurance and advice on the adequacy and effectiveness of the United Nations internal control system, the primary objectives of which are to ensure (a) efficient and effective operations; (b) accurate financial and operational reporting; (c) safeguarding of assets; and (d) compliance with mandates, regulations and rules.
3. Due to the importance and evolving nature of peace operations, the Secretary-General, in October 2014, established a high level independent panel to conduct a comprehensive assessment of the state of United Nations peace operations and emerging needs including uniformed capabilities for peacekeeping operations.
4. The pre-deployment process was the responsibility of DPKO and DFS, and included three main phases: force planning, force generation/personnel selection and deployment activities. The DPKO Office of Military Affairs was responsible for generating military troops, United Nations Military Experts on Mission (UNMEM) and staff officers for service in field missions. The DPKO Police Division was responsible for generating Formed Police Units and individual police officers, and the DPKO Criminal Law and Judicial Advisory Service (CLJAS) was responsible for generating corrections officers. The DPKO Policy, Evaluation and Training Division (DPET), in cooperation with subject matter experts, was responsible for developing United Nations training standards and programmes for uniformed personnel. General Assembly resolution 49/37 of 1995 provided that Member States were essentially responsible for the training of personnel for peacekeeping operations.
5. The DFS Logistics Operations Section of the Logistics Support Division was responsible for: coordinating Memorandum of Understanding negotiations and the deployment of military troops and Formed Police Units; medical aspects of pre-deployment visits to troop/police contributing countries; and planning and executing the transportation of uniformed personnel and contingent-owned equipment. The DFS Field Budget and Finance Division was responsible for leading Memorandum of Understanding negotiations between troop/police contributing countries and the United Nations, and the DFS Conduct and Discipline Unit was responsible for providing misconduct clearance. The Medical Services Division of the Department of Management was responsible for providing medical clearance for individually recruited uniformed personnel.
6. As of 30 June 2014, there were 98,604 uniformed personnel comprising 84,327 military troops and staff officers, 7,843 Formed Police Unit personnel, 1,836 UNMEM, 4,379 individual police officers and 219 corrections officers deployed in peacekeeping and special political missions dealing with increasingly politically complex and challenging conflicts. For fiscal year 2013/14, the United Nations budgeted close to \$3 billion for military and police personnel costs, representing 37 per cent of the overall peacekeeping budget.
7. Comments provided by DPKO and DFS are incorporated in italics.

II. OBJECTIVE AND SCOPE

8. The audit was conducted to assess the adequacy and effectiveness of DKPO and DFS governance, risk management and control processes in providing reasonable assurance regarding the **effective management of the pre-deployment process for uniformed personnel**.

9. The audit was included in the 2014 risk-based work plan of OIOS due to financial, operational and reputational risks related to the pre-deployment process for uniformed personnel.

10. The key control tested by the audit was regulatory framework. For the purpose of this audit, OIOS defined this key control as one that provides reasonable assurance that policies and procedures: (a) exist to guide the pre-deployment process for uniformed personnel; (b) are implemented consistently; and (c) ensure the reliability and integrity of financial and operational information.

11. The key control was assessed for the control objectives shown in Table 1. The control objective shown in Table 1 as “Not assessed” was not relevant to the scope defined for this audit.

12. OIOS conducted this audit from August 2014 to January 2015. The audit covered the period from 1 July 2012 to 30 June 2014.

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

III. AUDIT RESULTS

14. The DPKO and DFS governance, risk management and control processes examined were initially assessed as **partially satisfactory**¹ in providing reasonable assurance regarding the **effective management of the pre-deployment process for uniformed personnel**. OIOS made seven recommendations to address the issues identified. DPKO and DFS established policies and procedures to regulate, execute and coordinate the pre-deployment process. Training standards and programmes were also developed for all categories of uniformed personnel, and DPET was certifying training programmes of Member States. DPKO and DFS established various working groups and structures to explore opportunities for efficiency and greater integration with internal and external partners. Also, the Office of Peacekeeping Strategic Partnership was established in DPKO to conduct assessments of cross-cutting issues related to uniformed personnel service in field missions.

15. However, DPKO and DFS needed to: (a) establish procedures for adequate pre-deployment verification of the readiness of uniformed personnel, including rehatted personnel to assume their duties; (b) allocate sufficient resources for reviewing and certifying Member States’ training programmes; (c) implement adequate controls over the selection of individually recruited uniformed personnel; (d) develop adequate information technology tools to support misconduct clearance procedures; (e) review the current structure and workload of the Police Division and allocate adequate resources for generating Formed Police Units; (f) implement an action plan to integrate existing information systems to manage effectively and efficiently the pre-deployment process; and (g) systematically identify and document causes of delays

¹ A rating of “**partially satisfactory**” means that important (but not critical or pervasive) deficiencies exist 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.

in the deployment of military troops and Formed Police Units and contingent-owned equipment and initiate discussions with Member States and other stakeholders to address the delays.

16. The initial overall rating was based on the assessment of key control presented in Table 1. The final overall rating is **partially satisfactory** as implementation of seven important recommendations remains in progress.

Table 1: Assessment of key control

Business objective	Key control	Control objectives			
		Efficient and effective operations	Accurate financial and operational reporting	Safeguarding of assets	Compliance with mandates, regulations and rules
Effective management of the pre-deployment process for uniformed personnel	Regulatory framework	Partially satisfactory	Partially satisfactory	Not assessed	Partially satisfactory
FINAL OVERALL RATING: PARTIALLY SATISFACTORY					

Regulatory framework

Pre-deployment verification of readiness of military troops and Formed Police Units needed to improve

17. The DPKO Generic Guidelines for Troop Contributing Countries deploying military units to United Nations peacekeeping missions provide that certain standards of core skills and values were required. These include requirements for: physical fitness; infantry experience; proper conduct; and training on rules of engagement, the Mission’s mandate and the cultural background of inhabitants. Military staff officers are to be tested to ensure they had the required language, driving and map reading skills. Military staff officers are also required to complete mandatory United Nations courses on security, code of conduct, integrity and sexual exploitation and abuse. Prior to deployment, Formed Police Units are required to be: competent in police techniques in peacekeeping operations, public order management and firearms; and physically fit. Additionally, a United Nations Formed Police Unit assessment team is required to conduct an assessment of the operational capacity and readiness of Formed Police Units, their professional background and adequacy of specific training received.

18. The Memorandum of Understanding signed by United Nations and troop contributing countries did not include provisions for United Nations to verify the readiness of contributed military troops and Formed Police Units in respect of core skills, and whether military troops/FPU: (a) were given pre-deployment training; (b) were physically fit; and (c) had the required conduct and discipline clearance. DPKO and DFS indicated that verification before every rotation for military troops would have significant workforce and budgetary implications. Consequently, a proposal was made to the Special Committee on Peacekeeping in January 2015 for troop and police contributing countries to attest that they had conducted pre-deployment training for their personnel in accordance with United Nations standards. This proposal was not endorsed but DPKO and DFS would continue its efforts to engage Member States in this regard. Based on the action taken, OIOS did not make a recommendation.

19. A review of current pre-deployment verification practices indicated the following:

- For military troops, the Office of Military Affairs conducted pre-deployment visits to troop contributing countries to assess the readiness/operational capability of military troops. However, this assessment was limited to initial deployments; the Office of Military Affairs did not conduct such assessments for subsequent rotations. This was because the Office had not established procedures for assessing new (rotating) incoming military troops and did not have the capacity to visit troop contributing countries before each military troop rotation. The Office of Military Affairs had not considered alternative ways of augmenting its capacity, such as requesting assistance from field missions in conducting readiness assessments or conducting spot or selective checks;
- For Formed Police Units, the Police Division implemented its standard operating procedures for the Assessment of Operational Capability of Formed Police Units. This required the Division to verify the readiness of Formed Police Units on initial deployments and rotations. The Police Division sent formed police assessment teams to police contributing countries prior to a rotation. The assessment teams included staff from field missions who were trained and certified by the Police Division to perform this task; and
- For rehatted military troops and Formed Police Units, there was no verification of the readiness of uniformed personnel to be rehatted as United Nations peacekeepers. This happened because DPKO and DFS had not established procedures for such verification.

20. As a result, mechanisms to verify that military troops and Formed Police Units met the United Nations requirements and standards were not consistently enforced.

(1) DPKO, in coordination with DFS and field missions, should: (a) establish procedures to assess the readiness for deployment and operational capability of military troops before their rotation, as well as military troops and Formed Police Units being rehatted, to verify whether they meet the United Nations requirements and standards; and (b) take steps to ensure that it has the capacity to conduct such pre-deployment assessments.

DPKO accepted recommendation 1 and stated that the Police Division was undertaking a project to ensure that capacity to conduct pre-deployment assessments was sufficient. Also, the revised Medical Support Manual required each military/police contingent person to provide a record of physical fitness to medical authorities at the mission level. In addition, procedures for pre-deployment would be formalized for the rehatted Formed Police Units through the Formed Police Unit policy review process. The process was initiated in April 2015 and the revised policy was expected to be approved by the second quarter of 2016. Recommendation 1 remains open pending the receipt of a copy of the pre-deployment readiness procedures for military troops and Formed Police Units and evidence that adequate capacity has been provided for pre-deployment assessments.

Insufficient capacity for reviewing Member States' pre-deployment training programmes

21. The standard operating procedures on the official recognition by United Nations of pre-deployment training courses delivered by troop and police contributing countries to military troops and Formed Police Units required DPET to review Member States' training programmes and provide a formal recognition to confirm that these programmes were in line with United Nations standards.

22. Since the promulgation of the standard operating procedures in 2009, DPET recognized 54 training programmes in 33 countries. However, in 2014, due to resource constraints, DPET could not complete recognition for eight requests from five countries. This resulted as DPET did not have

sufficient capacity to carry out its functions. Although DPET had 10 staff in the Member States Support team responsible for recognizing Member States' training programmes, this Team was also responsible for designing and delivering training courses, not only to current T/PCCs but also to prospective ones. These training activities were resource-intensive. As a result of the shortfall in recognizing Member States training programmes, there was insufficient assurance that training of military troops and Formed Police Units met the required standards.

(2) DPKO, in coordination with DFS and field missions, should allocate sufficient resources to the process of reviewing and certifying that Member States' training programmes for military troops and Formed Police Units meet United Nations requirements and standards.

DPKO and DFS accepted recommendation 2 and stated that the DPET Integrated Training Service, a DPKO/DFS shared resource, had the capacity to undertake the eight training recognition visits planned for fiscal year 2015/16 and was on track to meet the requirement to conduct 50 per cent of the training recognition visits to the top 20 troop/police contributing countries. Recommendation 2 remains open pending receipt of evidence that sufficient resources have been assigned to complete the planned training recognition visits for 2015/16.

Controls over selection of individually recruited uniformed personnel needed to improve

23. The standard operating procedures on the assessment of individual police officers, the standard operating procedures for the recruitment of corrections officers and the UNMEM Manual required DPKO to verify that selected candidates had the competencies and skills (such as core and language skills, including driving and shooting abilities) to perform their functions.

24. A review of the selection process for individually recruited uniformed personnel indicated that the Police Division and CLJAS, after interviewing candidates, maintained rosters of qualified candidates for placement to field missions. The Office of Military Affairs did not conduct interviews for UNMEM or staff officers to assess their skills, and therefore did not have a roster of pre-cleared candidates. The Office of Military Affairs explained that it did not have the capacity to conduct thorough assessments and interviews considering the large number of experts and officers deployed to missions. The Office of Military Affairs therefore, with its current resources, conducted interviews only for the selection of more senior military officers.

25. Additionally, a review of available documents and interviews with staff indicated that the Police Division, the Office of Military Affairs and CLJAS did not verify performance records of successful candidates that had previously served with the United Nations. This was because DPKO and DFS did not maintain complete performance records of previously recruited uniformed personnel.

26. As a result, there was an increased risk that candidates selected were not ready to assume their functions in peacekeeping missions.

(3) DPKO should increase its capacity for the selection of individually recruited uniformed personnel and implement adequate assessment procedures of candidates, including verification of past performance with United Nations if applicable.

DPKO accepted recommendation 3 and stated that the Office of Military Affairs was initiating the performance evaluation of military units and senior appointees in the field as part of the operational-readiness framework. During 2015, the Police Division would revise existing standards for the assessment for mission service of candidates to become individual police officers and develop features in its Human Resources Management System to verify past performance of

individual police officers during new deployment processes. CLJAS was reviewing the performance documents of government-provided personnel before their tour of duty was extended. Recommendation 3 remains open pending receipt of evidence of implementation of adequate assessment procedures for the selection of individually recruited personnel.

Absence of misconduct clearance procedures for military troops, Formed Police Units and corrections officers

27. According to the Secretary-General's Bulletin on the organization of DFS, the Conduct and Discipline Unit was responsible for maintaining global oversight of the state of conduct and discipline for all categories of United Nations personnel in field operations.

28. The Conduct and Discipline Unit was using its misconduct tracking system to review conduct and discipline records prior to the assignment of individual police officers, staff officers and UNMEM to the United Nations. However, misconduct clearance procedures for military contingents, Formed Police Units and corrections officers were not yet established. This was because DFS did not have the resources and there was no electronic data sharing platform available to verify large numbers of military troops and Formed Police Units. The absence of these procedures increased the risk of recruiting and deploying uniformed personnel with past misconduct records. DPKO and DFS advised that the Conduct and Discipline Unit was working with the Police Division and CLJAS to implement a vetting mechanism for Formed Police Units and corrections officers, and was planning with the Office of Military Affairs to include military contingent personnel in the vetting system.

(4) DFS, in coordination with DPKO, should develop adequate information technology tools and allocate sufficient resources to ensure that misconduct clearance procedures are conducted for military troops, Formed Police Units and corrections officers.

DFS and DPKO accepted recommendation 4 and stated that the Secretary-General intended to initiate discussions on ways to exchange information between offices and United Nations entities using a common technology platform. The means of vetting personnel of military contingents and Formed Police Units were under development, the vetting of other government-provided personnel was under consideration and the Office of Human Resources Management had been requested to propose a process to vet national staff members for prior misconduct. The Police Division and CLJAS were collaborating in preparing a new module for Formed Police Units and correction officers in the recruitment process. Recommendation 4 remains open pending receipt of evidence of the development of adequate technology tools and procedures for misconduct clearance.

Resources to generate Formed Police Units were insufficient

29. DPKO was responsible for identifying and assembling adequate uniformed capability for deployment in peacekeeping operations and coordinating the Organization's requirements for expertise and capability.

30. A review of the structure of the Office of Military Affairs and the Police Division indicated that the Office of Military Affairs had a Force Generation Service with 24 staff to handle all aspects of the generation of military forces whereas the Police Division had assigned only 2 of 11 officers from the Selection and Recruitment Section for force generation. For example, in fiscal year 2013/14, these two officers generated 11 new Formed Police Units with a total strength of 1,515 personnel, and coordinated the rotation and assessment of 50 Formed Police Units totaling 6,995 personnel. Currently, these two officers were handling all deployment activities relating to some 70 police units with almost 10,000

personnel, representing over 60 per cent of the total United Nations Police (Formed Police Units and individual police officers), as well as contingent-owned equipment related issues.

31. The above resulted due to inadequate allocation of resources for force generation because of other competing priorities and an increase in Formed Police Unit deployments. As a result, the Police Division had to reduce its outreach activities and was sometimes inefficient in deploying police personnel. For example, records for the Formed Police Unit generation process were incomplete and not easily accessible.

(5) DPKO should review the current structure and workload of the Police Division and allocate adequate resources for generating Formed Police Units.

DPKO accepted recommendation 5 and stated that the Police Division would initiate a review of the structure and workload of the Division and prepare its recommendations for the next budget cycle. Recommendation 5 remains open pending receipt of evidence of the results of the review of the structure of the Police Division and steps taken to address the workload relating to the generation of Formed Police Units.

Information systems to support the process were fragmented

32. The use of an integrated information system should ideally have been a key component of the pre-deployment process for uniformed personnel, which involved various entities from inside and outside the Organization, and large numbers of individuals generated, deployed and rotated on a regular basis.

33. A review of available information technology systems indicated that DPKO and DFS established different systems to support the pre-deployment process. The Police Division used the Human Resources Management System (HERMES) for the recruitment and selection of individual police officers, and was expanding the functions of HERMES to include the Formed Police Unit business process. The Office of Military Affairs used the Office of Military Affairs Recruitment Tool (OMART) for selection, records management and recruitment of UNMEM and staff officers. Both HERMES and OMART were interfaced with the Misconduct Tracking System of the DFS Conduct and Discipline Unit, and with the Earth Med System of the Medical Service Division for misconduct and medical clearance of individual uniformed personnel. However, there were no plans for HERMES and OMART to be integrated with Umoja to reduce the risk of duplication of data entry, especially when the force generation module of Umoja is completed. According to the Police Division, a project initiation request was sent in September 2014 to the Information Management Committee and DFS to build the interface between Umoja and HERMES to avoid duplication of data entry and for better workflow but this had not progressed due to other priorities.

34. A review of data included and processes conducted in HERMES and OMART indicated that the systems did not include all the required data and documentation. For example, information such as performance appraisal records and dates of obtaining medical clearance were not available or recorded. The systems' reporting features were also insufficient because the management information modules were still under development.

35. DPKO and DFS were also using the United Nations Standby Arrangement System/Force Link to gather force capacity information such as quarterly pledges from troop contributing countries; but this system was not used for Formed Police Unit generation and movement of military troops and Formed Police Units although troop and police contributing countries had access to it and could upload reconnaissance reports, load lists and other pre-deployment documents. The Office of Military Affairs, the Police Division and the Movement Control Section used two databases to track the status of pre-

deployment of military troops and Formed Police Units. Although useful and serving the purpose to some extent, these types of tracking systems did not include all necessary data for effective monitoring, reporting and analysis, and were prone to error.

36. The lack of an integrated tool resulted as DPKO and DFS did not prioritize or plan for the requirement for an information technology tool to support the pre-deployment process. As a result, DPKO and DFS were not able to quickly identify and resolve emerging and pending issues, in particular those actions that were interdependent on the involvement of various offices/departments. Also, the lack of an integrated system resulted in inefficiencies in administrative operations such as the need to manually assign identification numbers to personnel, check-in/check-out procedures and travel arrangements.

(6) DFS, in coordination with DPKO, should implement an action plan to integrate existing information systems to manage effectively and efficiently the pre-deployment process and to improve coordination, monitoring and reporting of the process.

DPKO and DFS accepted recommendation 6 and stated that they acknowledged the importance of integrating the pre-deployment profile data of uniformed personnel with existing systems. The Police Division had requested the integration of its current information technology with Umoja. However, DM advised that current priorities were on the roll-out of Umoja, hence the feasibility and timeline to implement the recommendation was uncertain. CLJAS started unifying current and historical data of deployments of corrections officers to facilitate data migration into HERMES CLJAS module once developed. Recommendation 6 remains open pending receipt of evidence of the integration of the current information technology with Umoja by the Police Division and the completion by CLJAS of data migration of the unified data of deployment of corrections officers into the HERMES CLJAS module.

Deployment of military troops and Formed Police Units and their contingent-owned equipment was not always on time

37. DPKO was required to monitor the deployment timeline established and agreed in the memorandum of understanding with the contributing country. Also, the Troop Contributing Country Guidelines required an advance party (a maximum of 10 per cent of the Unit's strength) to establish operational facilities by the expected arrival of the contingent's main body.

38. A review of 39 troop and Formed Police Unit deployments indicated that, on average, actual deployments of the main body took up to two months after the agreed deployment date for military troops and one month for Formed Police Units. This happened because operational facilities were not always established in time for the arrival of the contingent's main body due to delays in the receipt of contingent-owned equipment. This occurred in 13 of the 39 deployments reviewed. For example: (a) the contingent-owned equipment arrived after the main body of four military troops had been deployed; and (b) for three military troops already in the mission, contingent-owned equipment had not arrived.

39. The delays in movement of contingent-owned equipment partly resulted due to delays in submitting accurate and complete load lists. For example: (a) three rehatted troop/police contributing countries had not submitted load lists at the time of the audit; and (b) cargo of a troop contributing country was not lifted at the time agreed with an external contractor because the troop contributing country did not provide all the required documents.

40. The Office of Military Affairs advised that, in some cases, decisions to deploy personnel were made even though all of the contingent-owned equipment was not yet in place, to build public confidence

in the United Nations and show political resolve. The lack of operational facilities at the time of deployment adversely impacted the operational readiness of contingents to perform their duties. DPKO had not established a procedure to systematically monitor, identify, analyze, discuss with troop/police contributing countries and implement corrective measures to address the causes of delays in deploying military troops and Formed Police Units.

(7) DPKO, in coordination with DFS, should establish a procedure to systematically monitor, identify and analyze causes of delays or lengthy deployment of military troops and Formed Police Units, and discuss with all parties involved, including respective troop/police-contributing countries, corrective measures to expedite the deployment process.

DPKO and DFS accepted recommendation 7 and stated that the Police Division had prepared a detailed workflow with timeframes and ownership for the selection and recruitment of individual police officers. The Police Division had also launched an initiative for the establishment of standby Formed Police Unit capacity. In addition, DPKO and DFS had established a Strategic Force Generation and Capability Planning Cell to ensure a proactive approach and reduce the deployment timelines. Recommendation 7 remains open pending receipt of evidence of the action taken to improve deployment timelines.

IV. ACKNOWLEDGEMENT

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

(Signed) David Kanja
Assistant Secretary-General for Internal Oversight Services

STATUS OF AUDIT RECOMMENDATIONS

Audit of the pre-deployment process of uniformed personnel by the Departments of Peacekeeping Operations and Field Support

Recom. no.	Recommendation	Critical ¹ / Important ²	C/ O ³	Actions needed to close recommendation	Implementation date ⁴
1	DPKO, in coordination with DFS and field missions, should: (a) establish procedures to assess the readiness for deployment and operational capability of military troops before their rotation, as well as military troops and Formed Police Units being rehatted, to verify whether they meet the United Nations requirements and standards; and (b) take steps to ensure that it has the capacity to conduct such pre-deployment assessments.	Important	O	Receipt of a copy of the pre-deployment readiness procedures for military troops and Formed Police Units and evidence that adequate capacity has been provided for pre-deployment assessments.	30 June 2016
2	DPKO, in coordination with DFS and field missions, should allocate sufficient resources to the process of reviewing and certifying that Member States' training programmes for military troops and Formed Police Units meet United Nations requirements and standards.	Important	O	Receipt of evidence that sufficient resources have been assigned to complete the planned training recognition visits for 2015/16.	30 September 2016
3	DPKO should increase its capacity for the selection of individually recruited uniformed personnel and implement adequate assessment procedures of candidates, including verification of past performance with United Nations if applicable.	Important	O	Receipt of evidence of implementation of adequate assessment procedures for the selection of individually recruited personnel.	30 September 2016
4	DFS, in coordination with DPKO, should develop adequate information technology tools and allocate sufficient resources to ensure that misconduct clearance procedures are conducted for military troops, Formed Police Units and corrections officers.	Important	O	Receipt of evidence of the development of adequate technology tools and procedures for misconduct clearance.	31 March 2016

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 DPKO/DFS in response to recommendations.

STATUS OF AUDIT RECOMMENDATIONS

Audit of the pre-deployment process of uniformed personnel by the Departments of Peacekeeping Operations and Field Support

Recom. no.	Recommendation	Critical ¹ / Important ²	C/ O ³	Actions needed to close recommendation	Implementation date ⁴
5	DPKO should review the current structure and workload of the Police Division and allocate adequate resources for generating Formed Police Units.	Important	O	Receipt of evidence of the results of the review of the structure of the Police Division and steps taken to address the workload relating to the generation of Formed Police Units.	30 September 2016
6	DFS, in coordination with DPKO, should implement an action plan to integrate existing information systems to manage effectively and efficiently the pre-deployment process and to improve coordination, monitoring and reporting of the process.	Important	O	Receipt of evidence of the integration of the current information technology with Umoja by the Police Division and the completion by CLJAS of data migration of the unified data of deployment of corrections officers into the HERMES CLJAS module.	31 October 2016
7	DPKO, in coordination with DFS, should establish a procedure to systematically monitor, identify and analyze causes of delays or lengthy deployment of military troops and formed police units, and discuss with all parties involved, including respective troop-/police-contributing countries, corrective measures to expedite the deployment process.	Important	O	Receipt of evidence of the action taken to improve deployment timelines.	30 June 2016

APPENDIX I

Management Response

CONFIDENTIAL

Routine

TO: Ms. Eleanor T. Burns, Director
A: Internal Audit Division, OIOS

DATE: JUL 08 2015

THROUGH:
S/C DE:

REFERENCE: UNHQ-AR-BOI-Memo-2-
2015-4956

FROM: Anthony Banbury, Assistant Secretary-General
DE: for Field Support



SUBJECT: **Draft report on an audit of the pre-deployment process for uniformed
OBJET: personnel by the Departments of Peacekeeping Operations and Field
Support (Assignment No. AP2014/615/04)**

1. I refer to your memorandum dated 11 June 2015 regarding the above-mentioned audit. Please find herewith our comments on the recommendations contained in the draft report attached as Annex I.
2. Thank you for the opportunity to comment on the draft report. We stand ready to provide any further information that may be required.

Cc: Mr. Laud Botchwey
Ms. Cynthia Avena-Castillo

Management Response

Audit of the pre-deployment process for uniformed personnel by the Departments of Peacekeeping Operations and Field Support

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
1	DPKO, in coordination with DFS and field missions, should: (a) establish procedures to assess the readiness for deployment and operational capability of troops before their rotation, as well as troops and Formed Police Units being re-hatted, to verify whether they meet the United Nations requirements and standards; and (b) take steps to ensure that it has the capacity to conduct such pre-deployment assessments.	Important	Yes	Military/ Police Adviser	Second quarter of 2016	The procedures for pre-deployment verification will be formalised for the re-hatted Formed Police Units (FPUs). This is being done through a FPU policy review process, which was initiated in April 2015. The first FPU Policy Review Experts Group meeting, with the participation of Member States, will be conducted in Jordan from 26 to 30 July 2015, with the guideline development process to be followed throughout the second half of 2015. The revised FPU Policy is expected to be approved by the second quarter of 2016 and will contain particular provisions addressing the matter. Other comments of DPKO/DFS are reflected in the draft report.
2	DPKO, in coordination with DFS and field missions, should allocate sufficient resources to the process of reviewing and certifying that Member States' training programmes for military troops and Formed Police Units meet United Nations requirements and standards.	Important	Yes	Military Adviser/ Director, Policy, Evaluation and Training Division	Third quarter of 2016	The Integrated Training Service (ITS) has the capacity to undertake 8 training recognition visits during the 2015/2016 financial period. According to the 2015/2016 ITS work plan, 50 percent of training recognition activity should be conducted at the top 20 Troop/Police Contributing Countries (T/PCCs) – an

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

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

Management Response

Audit of the pre-deployment process for uniformed personnel by the Departments of Peacekeeping Operations and Field Support

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
						annual requirement. So far, DPKO/DFS have already confirmed training recognition visits to Bangladesh, Ghana, Nigeria and Pakistan. The two departments are reaching out to other T/PCCs in the top 20 to set up the remaining training recognition visits.
3	DPKO should increase its capacity for the selection of individually recruited uniformed personnel and implement adequate assessment procedures of candidates, including verification of past performance with United Nations if applicable.	Important	Yes	Military/ Police Adviser	Third quarter of 2016	DPKO's comments are reflected in the draft report. The Department does not have any additional comments.
4	DFS, in coordination with DPKO, should develop adequate information technology tools and allocate sufficient resources to ensure that misconduct clearance procedures are conducted for military troops, Formed Police Units and corrections officers.	Important	Yes	Chief, Conduct and Discipline Unit	First quarter of 2016	DPKO/DFS' comments are reflected in the draft report. The departments do not have any additional comments.
5	DPKO should review the current structure and workload of the Police Division and allocate adequate resources for generating Formed Police Units.	Important	Yes	Police Adviser	Third quarter of 2016	DPKO's comments are reflected in the draft report. The Department does not have any further comments.
6	DFS, in coordination with DPKO, should implement an action plan to integrate existing information systems to manage effectively and efficiently the pre-deployment process and to improve coordination, monitoring and reporting of the process.	Important	Yes	Police Adviser/Chief, Criminal Law and Judicial Advisory Service	Third quarter of 2016	DPKO/DFS' comments are reflected in the draft report. The departments do not have any additional comments.

Management Response

Audit of the pre-deployment process for uniformed personnel by the Departments of Peacekeeping Operations and Field Support

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
7	DPKO, in coordination with DFS, should establish a procedure to systematically monitor, identify and analyse causes of delays or lengthy deployment of troops and formed police units, and discuss with all parties involved, including respective troop-/police-contributing countries, corrective measures to expedite the deployment process.	Important	Yes	Military/ Police Adviser	Second quarter of 2016	The Police Division has prepared a detailed workflow with timeframes and ownership for the selection and recruitment of Individual Police Officers. This chart was translated to French and Spanish and distributed to Member States, as the result of four dedicated workshops carried out in April 2015. The Police Division has also launched an initiative for the establishment of a standby FPU capacity to ensure rapid deployment. The Police Division is actively engaged in the Strategic Force Generation and Capabilities exercise which is developing a new mechanism to replace the United Nations Standby Arrangements System aimed to expedite the generation and deployment. In addition, a Strategic Force Generation and Capability Planning Cell has been established conjointly with the Office of Military Affairs and Policy, Evaluation and Training Division to ensure a pro-active approach and reduce the deployment timelines.