



INTERNAL AUDIT DIVISION

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Audit of police operations in the United Nations Multidimensional Integrated Stabilization Mission in Mali

Harmonized efforts between the Mission and the highest levels of the security agencies of the host government were needed to effectively implement the policing mandate of the Mission

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Audit of police operations in the United Nations Multidimensional Integrated Stabilization Mission in Mali

EXECUTIVE SUMMARY

The Office of Internal Oversight Services (OIOS) conducted an audit of police operations in the United Nations Multidimensional Integrated Stabilization Mission in Mali (MINUSMA). The objective of the audit was to assess the adequacy and effectiveness of governance, risk management and control processes over the United Nations Police operations in MINUSMA. The audit covered the period from 1 July 2013 to 30 April 2017 and included review of: strategy and governance mechanisms; human resources management of individual police officers; and evaluation and monitoring of implementation of the United Nations Police mandate.

The MINUSMA police component had established an appropriate organization structure in line with its mandate to support the Malian Security Forces (MSF), formalized a memorandum of understanding with the host government, and developed strategic and deployment plans to assist and collaborate with the MSF in the areas of capacity-building and protection of civilians. However, there was a need for harmonized efforts between the Mission and the highest levels of the security agencies of the host government to effectively implement the policing mandate of MINUSMA.

OIOS made 11 recommendations. To address issues identified in the audit, MINUSMA needed to:

- Ensure that the meetings of the steering committee are coordinated and held as a basis for regular and systematic monitoring, review and evaluation of the achievement of agreed commitments relating to public safety and police development;
- Ensure that human rights risk assessments are done prior to providing support to non-United Nations security forces and that a post facto review is prepared in cases of immediate actions where it is impractical to do a risk assessment prior to the provision of support;
- Document its assessment of capacity-building activities related to the co-location programme with the MSF, and implement criteria for locations selected;
- Provide adequate guidance and training on budgeting and related monitoring to the police component to ensure the establishment and achievement of realistic patrol performance targets;
- Ensure timely follow-up on implementation of evaluation recommendations and that criteria for prioritizing evaluations to be conducted are established;
- Remind police officers and their supervisors of the requirement to prepare individual work plans to ensure performance is systematically appraised and reported on;
- Ensure that Formed Police Units (FPU) hold stocks of ammunition sufficient to fulfil the requirement for regular testing of FPU's weapon handling and shooting skills;
- Expedite the construction of accommodation camps to facilitate the deployment of United Nations police officers;
- Update the task order template and implement a system to properly account for them;
- Update the guidelines for the handling and storage of weapons of individual police officers; and
- Ensure that individual police officers, upon completion of their assignments, prepare handover notes for their successors.

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

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Audit of police operations in the United Nations Multidimensional Integrated Stabilization Mission in Mali

I. BACKGROUND

1. The Office of Internal Oversight Services (OIOS) conducted an audit of police operations in the United Nations Multidimensional Integrated Stabilization Mission in Mali (MINUSMA).
2. The United Nations Police function is a key component of peacekeeping operations. The deployment of United Nations Police and the local police authority represents a constitutional mechanism to ensure good governance and rule of law in a country previously ravaged by lawlessness, disorder, rebellion, and/or war. The professionalism, integrity and image of United Nations Police in MINUSMA is critical to the achievement of the Mission's mandate.
3. Security Council resolution 2100 (2013) provides for the creation of the MINUSMA police component. The roles specified for the MINUSMA police component include: (a) supporting the re-establishment of state authority throughout Mali; (b) assisting in supporting and coordinating national and international efforts aimed at reforming the Malian security sector, especially the National Police, the Gendarmerie, the National Guard and the Civilian Protection through capacity-building, technical support, co-location and mentoring programmes; (c) protecting civilians under imminent threat of physical violence specifically women and children affected by armed conflict and addressing the needs of victims of sexual and gender-based violence in armed conflict; (d) promoting and protecting human rights by monitoring, investigating and reporting human rights violations and abuses; and (e) providing protection to United Nations personnel, installations and equipment and ensuring the security and freedom of movement of United Nations and associated personnel.
4. The MINUSMA United Nations Police is headed by a Police Commissioner at the D-2 level who is assisted by a Deputy Police Commissioner at the D-1 level. The authorized deployment numbers for the MINUSMA police component were 345 police officers and 1,575 formed police personnel (consisting of 11 Formed Police Units (FPUs) of 140 personnel each and a specialized intervention force of 35 personnel). As of February 2017, 26 Member States contributed 292 United Nations police officers and 979 formed police personnel.
5. The approved budgets for the United Nations Police for fiscal years 2014/15, 2015/16 and 2016/17 were \$ 42.8 million, \$41.6 million and \$42.2 million respectively.
6. Comments provided by MINUSMA are incorporated in italics.

II. AUDIT OBJECTIVE, SCOPE AND METHODOLOGY

7. The objective of the audit was to assess the adequacy and effectiveness of governance, risk management and control processes over the United Nations Police operations in MINUSMA.
8. This audit was included in the 2017 risk-based work plan of OIOS because of the criticality of the United Nations Police operations and reputational risk related to the non-achievement of the MINUSMA mandate.
9. OIOS conducted this audit from February to May 2017. The audit covered the period from 1 July 2013 to 30 April 2017. Based on an activity-level risk assessment, the audit covered higher and medium

risks in the MINUSMA police operations, which included: strategy and governance; human resources management of individual police officers; and evaluation and monitoring of implementation of the United Nations Police mandate.

10. The audit methodology included: (a) interviews of key personnel, (b) review of relevant documentation, (c) assessment of controls and tests of their effectiveness, and (d) site visits to police operation areas in Kidal, Gao and Timbuktu.

III. OVERALL CONCLUSION

11. The MINUSMA police component had established an appropriate organization structure in line with its mandate to support the Malian Security Forces (MSF), formalized a memorandum of understanding (MOU) with the host government, and developed strategic and deployment plans to assist and collaborate with the MSF in the areas of capacity-building and protection of civilians. However, there was a need for harmonized efforts between the Mission and the highest levels of the security agencies of the host government to effectively implement the policing mandate of MINUSMA.

IV. AUDIT RESULTS

A. Risk management and strategic planning

The strategic plan clearly reflected strategic goals, objectives and priorities based on mandated tasks

12. The Department of Peacekeeping Operations and Department of Field Support (DPKO/DFS) Guidelines on police command in United Nations peacekeeping operations and special political missions (DPKO/DFS Guidelines) require the Police Commissioner to ensure the development of a strategic plan for the police component that reflects short and long term organizational goals, objectives and priorities.

13. The MINUSMA police component had developed a three-year strategic plan (2014-2016) to assist the MSF in restoring law and order; stabilize the north of Mali; and protect civilians under imminent threat of physical violence through institutional development. The plan was based on Security Council resolution 2100 (2013) and subsequent resolutions on the mandate of the Mission. The police component's strategic objectives and priorities were in line with the Mission's mandate. At the time of the audit, a draft strategic plan for the period 2016-2018 had been prepared but was yet to be finalized.

14. OIOS concluded that the MINUSMA police component established adequate procedures to ensure that strategic plans were developed, reflecting goals, objectives and priorities based on mandated tasks.

Review and monitoring of MOU implementation needed improvement

15. In accordance with the DPKO/DFS Guidelines on police capacity-building and development, MINUSMA entered into a MOU with the Malian Ministry of Interior and Security, which obtained commitment on the implementation of a long-term plan and matching strategy for public safety and police development. The MOU defined the roles and mutual responsibilities of the host government and MINUSMA and contained target dates for completion of identified activities, expected outcomes and performance indicators. The MOU required the establishment of a steering committee to convene regularly (at least monthly or bi-monthly) to monitor, review and evaluate the implementation of agreed activities. The committee comprised the Minister of Interior and Security or his/her designated representative(s), the MINUSMA Special Representative of the Secretary-General or his designated representative(s), a

representative each from all the four MSF, and the head of the MINUSMA police component or his/her designated representative.

16. The composition of the committee and its mandated tasks had been clearly outlined in the MOU; however, the steering committee had not met to perform its mandated tasks. There were interactions at different levels, such as informal meetings of heads of the MSF and members of the MINUSMA senior management to discuss issues related to MOU activities. However, minutes of such informal meetings were not formalized; neither were these informal meetings used as a forum to monitor, review and evaluate the implementation of the agreed commitments and to report on the status of progress in achieving established goals.

17. The above resulted because the MINUSMA police component had not taken the initiative through its role as the secretariat of the steering committee to organize periodic meetings to monitor, review and evaluate the MOU implementation. As a result, there was a risk that challenges encountered or the failure of either party to discharge their obligations might not be promptly identified and addressed.

(1) MINUSMA should ensure that the meetings of the steering committee, established under the Memorandum of Understanding with the Government of Mali, are coordinated and held as required and as a basis for regular and systematic monitoring, review and evaluation of the achievement of agreed commitments relating to public safety and police development.

MINUSMA accepted recommendation 1 and stated that the steering committee held a meeting on 30 August 2017 to assess the implementation of the current MOU and future strategic plans; and that a next meeting of the committee would be held once the United Nations Police received the assessment of the Malian partners. Recommendation 1 remains open pending OIOS verification that the steering committee or other formal forum holds regular meetings to review, evaluate and report on the implementation of agreed commitments under the MOU.

There was no assessment to determine scope and involvement of the United Nations Police in a vetting programme for the MSF

18. The DPKO policy on support for police and other law enforcement officials requires that MINUSMA assist the Malian authorities in establishing targeted vetting and training programmes to ensure minimum standards of competence and integrity in law enforcement service. The DPKO Guidelines on police capacity-building and development further define vetting as a precondition to restoring trust and further preventing abuse.

19. The MINUSMA police component provided training to build MSF capacity, co-located its personnel with members of the MSF and implemented a number of quick impact projects such as rehabilitation of MSF facilities and rehabilitation of and supply of equipment to MSF facilities in locations such as Bamako, Timbuktu, Gao, Menaka and Mopti. However, the Mission did not establish a mechanism for assessing and defining the scope for the vetting programme for the MSF and the involvement of the United Nations Police. This was due to the fragile nature of the state authority and the absence of criminal databases or reliable MSF records in the areas where the United Nations Police were deployed. The Police Commissioner stated that United Nations Police would continue to rely on the MINUSMA Human Rights Division reports until the conclusion of the ongoing Malian security sector reforms that would formalize the vetting programme. There was a risk that individuals with capacity and integrity deficits were not excluded from the MSF thereby undermining progress in establishing public trust of the MSF especially in parts of the country where state authority was either just being established or yet to be established. In light of the explanation and assurance provided by the Police Commissioner that the vetting programme would

be incorporated into the ongoing security sector reform of the host country, OIOS is not making a recommendation at this time.

Need to improve compliance with human rights due diligence policy

20. The human rights due diligence policy (HRDDP) on United Nations support to non-United Nations security forces requires the Police Commissioner to: (a) sensitize and inform senior MSF representatives of their obligations under HRDDP; (b) apply the HRDDP to all requests for support to non-United Nations security forces; and (c) carry out risk assessments prior to providing support. The Mission's MOU with the host government articulated the obligations of the MSF in ensuring respect for human rights in their activities. The Mission also: established a task force comprising representatives from the police and military components and the Human Rights Section to regularly discuss and coordinate human rights issues; and developed a training curriculum for MSF personnel that included modules on human rights issues.

21. However, MINUSMA did not perform human rights due diligence risk assessment prior to co-locating with MSF and providing operational support to MSF. There was also no risk assessment done in respect of the various patrols conducted by the United Nations Police. For example, no risk assessment/review was conducted post facto with respect to the adequacy of the support provided to the MSF related to terrorist attacks in Bamako or prior to the United Nations Police intervention during civilian demonstrations in Gao in 2016. The lack of risk assessment or post facto review was caused by the police component not properly establishing a coordination mechanism with the MINUSMA Human Rights Section to develop appropriate inputs for the risk assessment. This included information sharing and follow-up action to respond to human rights abuses and the subsequent verification and investigation by the Mission's human rights component. As a result, the United Nations was exposed to reputational risks resulting from inadequate assessment of support provided to the MSF who may have committed human rights violations.

(2) MINUSMA should establish procedures to ensure that human rights risk assessments are done prior to providing support to non-United Nations security forces and a post facto review is conducted in cases of immediate actions where it was not possible to do a risk assessment prior to the provision of support in order to ensure human rights issues are adequately considered.

MINUSMA accepted recommendation 2 and stated that the United Nations Police adhered to the HRDDP requirement and that the assessment was being done by the Human Rights Division and documented in the project proposal form. Recommendation 2 remains open pending OIOS verification that risk assessments are performed and documented for all support provided by the United Nations Police to the MSF.

Gender mainstreaming was being considered in police activities

22. DPKO/DFS Guidelines require the Police Commissioner to ensure gender mainstreaming in all activities of United Nations Police. The guidelines also require that the protection of civilians strategy considers gender perspectives.

23. The police component had a Gender Unit with a mandate that focused mainly on the promotion of gender and the protection of women and children; and was responsible for developing and delivering gender-related training programmes. The need for gender equality in the MSF was also a commitment in the MOU between the police component and the MSF as part of the advocacy for gender-related issues. The police component tracked and reported separately on gender information. For example, the bi-annual report for the period 1 July 2016 to 31 December 2016 showed that 414 women were part of the capacity-

building activities of 2,928 MSF personnel and 327 of the 2,685 new recruits that received basic induction training were females.

24. OIOS concluded that MINUSMA was implementing procedures to ensure gender mainstreaming was systematically considered in the police component's activities.

B. Capacity-building activities

Strategy for co-location and evaluation of its impact needed improvement

25. The DPKO/DFS policy on United Nations Police in peacekeeping operations and special political missions require MINUSMA to conduct an assessment prior to deciding on capacity-building interventions and regularly, systematically and objectively monitor and evaluate the activities implemented to determine their relevance, efficiency, effectiveness, impact and/or sustainability. The MOU requires MINUSMA to co-locate its police officers with the MSF in Kidal, Timbuktu, Gao and Mopti.

26. The MINUSMA police component included in its annual work plan the deployment, on a priority basis, of police officers to eight MSF specialized units in Bamako for serious and organized crimes. In addition to the 10 police officers deployed to the MSF in Bamako, a further 21 officers were co-located with MSF personnel in Timbuktu, Mopti, Gao and Assongo. However, the criteria used by MINUSMA and MSF for determining locations and/or MSF facilities to co-locate was not defined, and the deployment of 10 of the 31 individual police officers (33 per cent) to Bamako and 1 officer to Assongo was not stipulated in the MOU. Additionally, officers were not deployed to Kidal, a location specified in the MOU.

27. This resulted as MINUSMA did not conduct a formal assessment and establish clearly defined criteria before deciding on capacity-building interventions. The Mission also did not ensure that interventions were in accordance with commitments agreed to in the MOU. OIOS also noted that MSF facilities in certain regions that required co-location lacked basic infrastructure like office space, communication and technological facilities, which could impact on productivity. Also, the failure to co-locate in Kidal resulted as the MSF was not able to establish its presence in this region due to security considerations as state authority was not yet established.

28. Due to lack of formal assessment and clearly defined criteria for determining the relevance, efficiency, effectiveness, impact and/or sustainability of co-location activities, there was a risk that capacity-building interventions are not fully effective.

(3) MINUSMA should formally document its assessment of capacity-building activities related to the co-location programme with the Malian Security Forces, and develop and implement criteria for locations or facilitates selected.

MINUSMA accepted recommendation 3 and stated that, on 30 August 2017, the Police Commissioner issued a directive to all United Nations Police pillar chiefs, commanders and police officers elaborating on the support protocol to the MSF aimed at addressing co-location capacity-building issues. Recommendation 3 remains open pending OIOS verification that the Mission has implemented procedures for the evaluation of its capacity-building programme and developed criteria for selection of co-location sites.

C. Police patrols

Need for realistic patrol performance targets and resources to achieve them

29. The MINUSMA police component is required to conduct joint patrols and operations with the Malian police.

30. The Mission's 2014/15 and 2015/16 budgets required the police component to perform 245,000 and 280,000 person-hours respectively of joint patrols with the MSF. However, the police component only completed 142,030 (58 per cent) and 79,740 (28 per cent) patrol person-hours for 2014/15 and 2015/16 respectively. This occurred because the MSF lacked necessary equipment and personnel to undertake joint patrols.

31. The police component achieved 7,725 (135 per cent) hours and 48,510 (663 per cent) hours respectively of its target of 5,700 and 6,000 operational backup activities such as escort duties for visiting dignitaries in support of the MSF in 2014/15 and 2015/16. In the 2014/15 performance report, the explanation for the significant excess hours compared to the budget was due to the extensive use of FPUs for escort duties due to the inability of the MSF to cope with escort demands. In the 2015/16 performance report, the operational backup hours were attributed to crowd control, the maintenance of law and order and securing demonstrations together with escort duties with Malian authorities for official trips and humanitarian actors or MINUSMA authorities to regions and remote villages. Additionally, in each fiscal year 2014/15 and 2015/16, 52,500 person hours were budgeted to patrol unstable areas, with the actual performance exceeding targets in both years with 66,120 person-hours (25 per cent) and 272,040 person-hours (418 per cent) respectively. In 2014/15, the performance report indicated that the increase was due to the need to compensate for the reduction in the joint patrols and the inadequate capacity of the MSF because of significant delays in their deployment. In the 2015/16 performance report, the increase in FPU person-hours were attributed to crowd control, increased operational activities of the United Nations Police and FPUs because the MSF lacked the equipment and personnel to carry out the joint patrols.

32. OIOS noted that, although actual patrols for 2014/15 significantly exceeded the numbers budgeted and included targets that were systematically not achievable, the police component did not appropriately adjust budget projections for 2016/17 and 2017/18. The budgets still included targets for joint patrols in a location where there was no MSF presence; 6,000 and 8,400 hours respectively were budgeted for operational backup hours; while 8,640 and 7,200 hours respectively were budgeted for patrols to unstable areas. The police component was also budgeting hours for joint patrols based on the assumption that all FPUs in every region would achieve the same number of patrol hours per day even though past performance significantly differed from one region to another. For instance, the total number of patrols for each of the five regions based on the bi-annual reports for 2015/16 was 52 patrols for Bamako; 2,545 in Gao; 1,284 patrols in Kidal; 3,044 in Mopti; and 4,106 in Timbuktu.

33. The police component explained that the above situation occurred because of inadequate guidance and training on budgeting and related monitoring by the Office of Mission Support. The issue was exacerbated by the lack of continuity in the planning function within the police component due to the annual rotation policy.

<p>(4) MINUSMA should provide adequate guidance and training on budgeting and related monitoring to the police component to ensure the establishment and achievement of realistic patrol performance targets.</p>
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MINUSMA accepted recommendation 4 and stated that in April 2017, it had arranged training on budget planning activities and would continue to organize training on budgetary planning activities for the police officers responsible for budget preparation to ensure the establishment of realistic patrol performance targets and accurate reporting. Recommendation 4 remains open pending receipt of evidence that the Mission has provided the concerned officers with adequate training on budget and monitoring activities.

Implementation of recommendations from internal evaluation needed improvement

34. The DPKO/DFS policy on United Nations Police in peacekeeping operations and special political missions requires the MINUSMA police component to evaluate regularly the delivery of mandated tasks. The policy further requires all capacity-building activities to be subjected to regular, systematic and objective evaluation to determine relevance, efficiency, effectiveness, impact and/or sustainability of United Nations capacity-building efforts. The policy further states that a matrix of the recommendations with proposed timeframes and persons/units/sections responsible for action shall be included at the end of the evaluation report and that a follow-up evaluation on the status of implementation of the report recommendations should take place no later than three months after the date of the publication of the report.

35. The MINUSMA police component had an Internal Evaluation Unit under the office of the Police Commissioner. The evaluations performed during the audit period resulted in the issuance of 79 recommendations; however, a mechanism had not been developed for systematically tracking and reporting the status of the evaluation recommendations. This occurred because the Unit did not prioritize follow-up activities mainly due to inadequate staffing; the Unit had only two staff. The inadequate staffing had also contributed to lack of clear criteria for selecting and prioritizing areas for evaluation. As a result, there was a risk that police operations were not always focused on relevant and high-impact areas.

(5) MINUSMA should take steps to ensure timely follow-up on implementation of recommendations from evaluations conducted and that criteria for prioritizing evaluations to be conducted are established.

MINUSMA accepted recommendation 5 and stated that although follow-ups on recommendations from evaluations were being done, the process was not always formalized. A template of the follow-up matrix was being revised and a regular update of the status of recommendations would be conducted every three months. Additionally, the selection and prioritization of the evaluations to be made, including the selection criteria, would be included in the annual plan for 2018. Recommendation 5 remains open pending receipt of evidence that MINUSMA has implemented procedures to regularly follow up and report implementation of evaluation recommendations, and established criteria for prioritizing evaluations.

Need for improved performance management of individual police officers

36. DPKO standard operating procedures for performance appraisals of United Nations police officers require the police component to: (a) finalize a work plan for each officer within one week of deployment; and (b) conduct performance evaluations for each officer every six months.

37. The MINUSMA police component was not preparing individual work plans for their police and periodically appraising their performance. Instead, performance appraisals were conducted only when the tour of duty of an officer was being reviewed for possible extension. This happened as the Police Chief of Staff had not communicated the need for the management team to ensure that each individual police officer develops annual work plans against which their performance is periodically assessed and documented. As

a result, there was an increased risk that top performers were not properly recognized as potential additions to the talent pool and poor performers were not excluded from future deployments.

(6) MINUSMA should issue instructions reminding police officers and their supervisors of the requirement to prepare individual work plans to ensure performance is systematically appraised and reported on.

MINUSMA accepted recommendation 6 and stated that a directive was being drafted for implementation of individual work plans including timelines for periodic evaluations. Recommendation 6 remains open pending receipt of a copy of the directive and evidence of its implementation.

Procedures for assessing operational readiness of FPU needed to be strengthened

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

39. The FPU Coordination Unit conducted monthly operational readiness inspections of FPU. However, the Coordination Unit did not test FPU operational members on weapons handling and shooting skills once every six months as required. The Police Commissioner explained that there was a need to conserve ammunition due to the low stocks with the FPU.

(7) MINUSMA should follow up with the Police Division at the United Nations Headquarters on the need for police-contributing countries to ensure that Formed Police Units (FPU) hold sufficient stocks of ammunition for testing weapons handling and shooting skills of FPU.

MINUSMA accepted recommendation 7 and stated that at the Mission level, since the last rotation of FPU in September 2017, all FPU now had sufficient stocks of ammunition to fulfil the weapons handling and shooting skills testing requirements. Recommendation 7 remains open pending OIOS verification that FPU have sufficient stocks of ammunition.

D. Resource generation and deployment

There was a need to align the deployment of police officers with the MOU

40. The DPKO/DFS guidelines on police administration in United Nations peacekeeping operations and special political missions require the MINUSMA police component to have a deployment plan which: (a) outlines comprehensive and phased deployment of all police personnel; (b) supports the mission objective of developing and strengthening the operational capacity of the national rule of law institutions by providing for the co-location of individual police officers as police advisers in national security institutions throughout the host state; (c) details the functions, number and proposed locations of individual police officers and FPU; and (d) requires the Police Chief of Staff to ensure the most efficient and effective use of personnel.

41. Review of the police component's 2016/17 deployment plan, the Mission's police concept of operations and the MOU signed between the Mission and the Government of Mali showed that the deployment plan outlined a comprehensive and phased deployment of the authorized strength of 1,920

police personnel (345 police officers and 1,575 FPU). However, there was a shortfall in deployment, with only 292 individual police officers compared to the requirement for 345; and 981 FPU personnel compared to the requirement for 1,575 were deployed. This was due to (a) delays by MINUSMA in constructing accommodation camps in some parts of the country, impacting deployment; and (b) difficulties experienced in getting suitable candidates from police-contributing countries and the lengthy recruitment process, an area OIOS is currently reviewing.

42. MINUSMA's deployment of individual police officers and FPUs was also not optimal. The following was noted:

- Of the 292 individual police officers deployed, 62 (18 per cent of the authorized strength) were assigned to administrative support functions compared to the requirement to assign no more than 10 per cent of the authorized strength of 345;
- Some locations and units were understaffed while others had more than the authorized staffing levels. For instance: (a) the development pillar for administrative/logistics function had one approved post, but four officers were assigned; (b) trainer (expertise) function had 20 approved posts but 26 officers were assigned; and (c) one sub-regional field team had 14 posts but 19 officers were assigned. In another location, only 11 of the 25 authorized posts were encumbered;
- The deployment of female police officers was 42 individual police officers and 44 FPUs which represented 15 and 4 per cent, respectively, of the total deployment as against a target of 20 per cent;
- Of the authorized 11 FPUs, only 7 had been deployed;
- Some 34 of 38 headquarters and regional posts in specialized units, i.e., serious organized crime, counter-terrorism and security coordinator and crisis management, were vacant;
- Although the MOU had not envisaged the deployment for co-locating individual police officers in Bamako, resources had been allocated to the specialized police unit created to support the MSF in addressing transnational organized crime and counter-terrorism, which was raised in Security Council resolution 2164 (2014). Eight individual police officers from the transnational organized crime and counter-terrorism specialized unit were co-located in Bamako for this purpose.

43. The above resulted because of: (a) changes in priorities with regard to better addressing transnational organized crime and counter-terrorism; and (b) delays by the Government of Mali in establishing state authority in some locations, which meant that there was no MSF presence to co-locate with.

44. The delays and mismatches in deployment reduced the ability of the Mission to achieve its mandate relating to providing capacity-building support to the MSF.

(8) MINUSMA should: (a) expedite the construction of accommodation camps to facilitate the deployment of United Nations police officers; and (b) ensure that deployments inconsistent with the memorandum of understanding are formalized and communicated to the Malian Government.

MINUSMA accepted recommendation 8 and stated that the construction of accommodation camps had been completed in some areas and was ongoing in others, and that the renewal of the MOU was

being discussed. Recommendation 8 remains open pending receipt of evidence of deployment of police officers and formed police units in line with the MOU.

Language skills requirement for senior FPU officials were not always met

45. The DFS standard operating procedures on assessment of operational capability of FPUs require: (a) the FPU principal officers (the FPU Commander, Deputy Commander, Platoon Commanders, Operations Officer, Liaison Officer, Logistics Officer and Duty Officer) to speak fluently, read easily and write clearly in the working language of the Mission; and (b) a minimum of 50 per cent of these officers to have proven skills in the working language of the Mission and the other 50 per cent must have proven English skills.

46. In two of the five FPUs visited, the language requirements for French had not been met; the principal officers did not have the required French language skills. The Mission faced challenges with meeting the language skill requirements, which was outside the Mission's control as the United Nations depended on the resources that police-contributing countries make available to DPKO.

47. As a mitigating measure, the Mission provided FPUs with language assistants and ensured that French speaking police officers were available to provide support to FPUs, as needed. OIOS observed a patrol involving one of the concerned FPUs and noted that the team included a language assistant and two French speaking individual police officers. Considering the challenges and steps taken by the Mission to address challenges in meeting the language skills requirement for FPUs, OIOS is not raising a recommendation at this time.

Procedures for tasking FPU need to be strengthened

48. The DPKO/DFS policy on FPU in United Nations peacekeeping operations requires all FPU functions to be carried out based on reliable intelligence or information and a subsequent threat assessment, drawing on information from other relevant Mission components. The policy requires that tasking orders are provided in written form, containing details such as: (a) the operational situation; (b) foreseen scenarios; (c) threat assessment; (d) other actors involved and rules of cooperation or support; (e) specific tasks to be performed by the FPU; (f) minimum human resources and equipment requirements; and (g) communication, reporting and accountability.

49. Task orders were being issued to FPUs; however, the templates for task orders did not require the provision of the above-mentioned seven requirements especially the threat assessments and foreseen scenarios. There was also no register or systematic collation of task orders issued to account for all task orders.

50. The above occurred because MINUSMA had not prioritized the need to account for all task orders issued. As a result, activities may be conducted without being authorized and without ensuring compliance with United Nations procedures and policies, increasing reputational risks for the Organization. For example, the support provided to the MSF during terrorist attacks in Bamako in 2016 and 2017 was based on a verbal request from the Malian Ministry of Security and was not formalized.

(9) MINUSMA should (a) review the template for task orders to ensure that it provides for the seven considerations required for tasking; and (b) implement a system for proper accounting of task orders.

MINUSMA accepted recommendation 9 and stated that the template for task orders had been changed to reflect the seven requirements for tasking and that the MINUSMA United Nations Police would

implement a tracking system to ensure all tasking orders were recorded and accounted for. Recommendation 9 remains open pending receipt of evidence of implementation of the new task order template and the procedures for recording and monitoring of task orders.

Procedures for use and handling of weapons by individual police officers needed to be formalized

51. The DPKO/DFS guidelines on police administration in United Nations peacekeeping operations and special political missions state that in missions where individual police officers are mandated to carry arms, there is a need to establish an armament to manage and safeguard weapons. The Police Commissioner is required to issue instructions to ensure police officers are fully aware of where and when they can carry firearms, when and how they are permitted to use them, proper methods of carrying arms and the appropriate use of force. Police officers also need to be aware of procedures for safe storage and the need to disarm weapons upon entry to Mission premises.

52. The Police Commissioner issued the required guidelines in February 2014 on the handling of weapons and arms; but needed to be updated, as there was insufficient guidance in certain areas. There were inadequate controls to ensure that when officers were on leave or compensatory time off their firearms were tracked and properly stored. OIOS visit to a regional office indicated that the Logistics Officer had no records for seven individual officers that were on compensatory time off. The Logistics Officer explained that officers from certain countries preferred their weapons stored with their military contingents; hence, he had no control over such weapons.

53. The above resulted because there were no guidelines regarding the use and handling of weapons by individual police officers; the storage of the weapons when individual police officers proceed on leave or compensatory time off; or individual police officers disarming weapons upon entering mission premises. The absence of guidelines exposed the Mission to a risk of loss or inappropriate handling of weapons.

(10) MINUSMA should update the guidelines for the handling and storage of weapons of individual police officers especially with respect to: when and where they should be carried or used; disarming upon entry into the Mission premises; and control of individual police officers' weapons when they proceed on leave.

MINUSMA accepted recommendation 10 and stated the Police Commissioner's directive on weapons handling had been updated. Recommendation 10 remains open pending OIOS verification of the implementation of the updated directive on handling and storage of weapons.

E. Knowledge management

The knowledge management practices within the police component needed improvement

54. The DPKO/DFS guidelines on police administration in United Nations peacekeeping operations and special political missions require that information concerning the police component's activities is progressively collected, shared, analyzed and disseminated to develop the component's institutional knowledge. The guidelines require procedures to be put in place to ensure that the Police Commissioner and his/her Deputy complete their mandatory end-of-assignment reports and all outgoing police personnel prepare handover notes prior to transferring or separating from the Mission.

55. The police component reported on its activities on a periodic basis through daily situation reports, flash reports, and weekly, monthly and bi-annual reports. The previous Police Commissioner submitted an end-of-assignment report upon completion of his assignment and this was uploaded to the DPKO/DFS

policy and practices database as required. However, interviews with 20 individual police officers confirmed that police personnel did not provide handover notes prior to transferring or separating from the Mission.

56. The above resulted as the police component did not implement procedures to ensure that individual police officers prepared handover notes for their successors. Without adequate handover procedures, there was a risk that incoming individual police officers are not adequately prepared to take up new roles that they are given and the opportunity to use lessons learned from previous incidences might be lost given regular rotation of key members of the police component.

(11) MINUSMA should develop and implement a mechanism to ensure that individual police officers, upon completion of their assignments, prepare handover notes for their successors.

MINUSMA accepted recommendation 11 and stated that a guidance document for individual police officers to prepare handover notes for their successors upon completion of their assignments was being developed. Recommendation 11 remains open pending receipt of a copy of guidance on the preparation of handover notes and its implementation.

V. ACKNOWLEDGEMENT

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

(Signed) Eleanor T. Burns
Director, Internal Audit Division
Office of Internal Oversight Services

STATUS OF AUDIT RECOMMENDATIONS

Audit of Audit of police operations in the United Nations Multidimensional Integrated Stabilization Mission in Mali

Rec. no.	Recommendation	Critical ¹ / Important ²	C/ O ³	Actions needed to close recommendation	Implementation date ⁴
1	MINUSMA should ensure that the meetings of the steering committee, established under the Memorandum of Understanding with the Government of Mali, are coordinated and held as required and as a basis for regular and systematic monitoring, review and evaluation of the achievement of agreed commitments relating to public safety and police development.	Important	O	OIOS verification that the steering committee or other formal forum holds regular meetings to review, evaluate and report on the implementation of agreed commitments under the MOU.	30 August 2017
2	MINUSMA should establish procedures to ensure that human rights risk assessments are done prior to providing support to non-United Nations security forces and a post facto review is conducted in cases of immediate actions where it was not possible to do a risk assessment prior to the provision of support in order to ensure human rights issues are adequately considered.	Important	O	OIOS verification that risk assessments are performed and documented for all support provided by the United Nations Police to the Malian Security Forces.	30 September 2017
3	MINUSMA should formally document its assessment of capacity-building activities related to the co-location programme with the Malian Security Forces, and develop and implement criteria for locations or facilities selected.	Important	O	OIOS verification that the Mission has established and implemented procedures for the evaluation of its capacity-building programme.	30 August 2017
4	MINUSMA should provide adequate guidance and training on budgeting and related monitoring to the police component to ensure the establishment and achievement of realistic patrol performance targets.	Important	O	Receipt of evidence that the Mission has provided the reporting officers with adequate training on budget related activities.	30 June 2018
5	MINUSMA should take steps to ensure timely follow-up on implementation of recommendations	Important	O	Receipt of evidence that MINUSMA has implemented procedures to track and report on	31 January 2018

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 MINUSMA in response to recommendations.

STATUS OF AUDIT RECOMMENDATIONS

Audit of Audit of police operations in the United Nations Multidimensional Integrated Stabilization Mission in Mali

Rec. no.	Recommendation	Critical ¹ / Important ²	C/ O ³	Actions needed to close recommendation	Implementation date ⁴
	from evaluations conducted and that criteria for prioritizing evaluations to be conducted are established.			the implementation of evaluation recommendations.	
6	MINUSMA should issue instructions reminding police officers and their supervisors of the requirement to prepare individual work plans to ensure performance is systematically appraised and reported on.	Important	O	Receipt of evidence that the Mission has consistently prepared individual work plans for police officers.	30 November 2017
7	MINUSMA should follow up with the Police Division at the United Nations Headquarters on the need for police-contributing countries to ensure that Formed Police Units (FPUs) hold sufficient stocks of ammunition for testing weapons handling and shooting skills of FPUs.	Important	O	OIOS verification that FPUs have sufficient stocks of ammunition.	30 September 2017
8	MINUSMA should: (a) expedite the construction of accommodation camps to facilitate the deployment of United Nations police officers; and (b) ensure that deployments inconsistent with the memorandum of understanding are formalized and communicated to the Malian Government.	Important	O	Receipt of evidence of deployment of police officers and formed police units in line with the memorandum of understanding.	31 July 2018
9	MINUSMA should (a) review the template for task orders to ensure that it provides for the seven considerations required for tasking; and (b) implement a system for proper accounting of task orders.	Important	O	Receipt of evidence of implementation of the new task order template and the procedures for recorded and monitoring of task orders.	31 January 2018
10	MINUSMA should update the guidelines for the handling and storage of weapons of individual police officers especially with respect to: when and where they should be carried or used; disarming upon entry into the Mission premises; and control of individual police officers' weapons when they proceed on leave.	Important	O	OIOS verification of the implementation of the updated directive on handling and storage of weapons.	31 August 2017
11	MINUSMA should develop and implement a mechanism to ensure that individual police officers,	Important	O	receipt of a copy of guidance on the preparation of handover notes and its implementation.	31 October 2017

STATUS OF AUDIT RECOMMENDATIONS

Audit of Audit of police operations in the United Nations Multidimensional Integrated Stabilization Mission in Mali

Rec. no.	Recommendation	Critical¹/ Important²	C/ O³	Actions needed to close recommendation	Implementation date⁴
	upon completion of their assignments, prepare handover notes for their successors.				

APPENDIX I

Management Response

Management Response

Audit of police operations in the United Nations Multidimensional Integrated Stabilization Mission in Mali

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
1	MINUSMA should ensure that the meetings of the steering committee, established under the Memorandum of Understanding with the Government of Mali, are coordinated and held as required and as a basis for regular and systematic monitoring, review and evaluation of the achievement of agreed commitments relating to public safety and police development.	Important	Yes		Fully implemented on 30 August 2017	<p>The steering committee held a meeting on 30 August 2017 to assess the implementation of the current Memorandum of Understanding (MOU) and the future Strategic Plans. The meeting involved MINUSMA representatives and the Malian National Police, National Gendarmerie, National Guard, and Civil Protection. The meeting minutes are provided to the Resident Auditor.</p> <p>The next meeting of the committee will be scheduled once UNPOL/ MINUSMA receives the assessment of the Malian partners as indicated in the meeting minutes of 30 August 2017.</p>
2	MINUSMA should establish procedures to ensure that human rights risk assessments are done prior to providing support to non-United Nations security forces and a post facto review is conducted in cases of immediate actions where it was not possible to do a risk assessment prior to the provision of support in order to	Important	Yes		Fully implemented on 30 September 2017	The MINUSMA Police Component adheres to the Human Rights Due Diligence Policy (HRDDP) requirement for assessing and documenting human rights risk assessment in providing support to non-UN security forces. The assessment, which is being done by the Human Rights Division, is documented in the project proposal form. A signed form is provided to the Resident Auditor.

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.

Management Response

Audit of police operations in the United Nations Multidimensional Integrated Stabilization Mission in Mali

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
	ensure human rights issues are adequately considered.					MINUSMA Police Component will ensure that the post facto reviews, if any, will be documented and saved in a portfolio of evidence.
3	MINUSMA should formally document its assessment of capacity-building activities related to the co-location programme with the Malian Security Forces, and develop and implement criteria for locations or facilitates selected.	Important	Yes		Fully implemented on 30 August 2017	On 30 August 2017 MINUSMA Police Commissioner issued a directive to all UNPOL Pillar Chiefs, Commanders, and Police Officers, elaborating on the support protocol to the Malian Security Forces aimed in particular at co-location and addressing the capacity building topic. The directive is provided to the Resident Auditor.
4	MINUSMA should provide adequate guidance and training on budgeting and related monitoring to the police component to ensure the establishment and achievement of realistic patrol performance targets.	Important	Yes	Police Commissioner	30 June 2018	In April 2017, the Police Component organized training on budgetary planning activities for the police officers responsible for budget preparation. The training plan and presentations are provided to the Resident Auditor. MINUSMA Police Component will continue to organize training on budgetary planning activities for the police officers responsible for budget preparation to ensure the establishment and achievement of realistic patrol performance targets, according to the latest directive from MINUSMA Chief of Operations, dated 20 December 2016 and provided to the Resident Auditor, regarding the clear definition of patrols (type, number of UNPOLs, duration, etc.) to ensure accurate reporting.

Management Response

Audit of police operations in the United Nations Multidimensional Integrated Stabilization Mission in Mali

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
5	MINUSMA should take steps to ensure timely follow-up on implementation of recommendations from evaluations conducted and that criteria for prioritizing evaluations to be conducted are established.	Important	Yes	Police Commissioner	31 January 2018	<p>UNPOL has conducted a review and follow-up on the status of implementation of the recommendations from evaluations conducted but not always formalized in specific documents (<i>the evaluation and update are normally done verbally in briefings</i>). The evaluation is provided to the Resident Auditor.</p> <p>The template of the follow-up matrix is currently under revision, and a regular update of the status of recommendations will be done every three (03) months.</p> <p>As for the selection and prioritization of the evaluation to be made, the selection criteria will be included in the annual plan for 2018, which will cover the period 01 January – 31 December 2018.</p>
6	MINUSMA should issue instructions reminding police officers and their supervisors of the requirement to prepare individual work plans to ensure performance is systematically appraised and reported on.	Important	Yes	Police Commissioner	30 November 2017	MINUSMA is currently drafting a Directive to be issued by the Police Commissioner for implementation of individual work plans including timelines for periodic evaluation. Once the directive is signed, it will be circulated and implemented as appropriate.
7	MINUSMA should follow up with the Police Division at the United Nations Headquarters on the need for police contributing countries to ensure that Formed Police Units (FPUs) hold sufficient stocks of ammunition for	Important	Yes		Fully implemented on 30 September 2017	<p>This recommendation should be raised at UNHQ level, to the Police Division and the Permanent Missions.</p> <p>As for implementation in MINUSMA, the issue which had emerged regarding ammunition stocks has already been resolved during the last rotation. Since then, all</p>

Management Response

Audit of police operations in the United Nations Multidimensional Integrated Stabilization Mission in Mali

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
	testing weapons handling and shooting skills of FPUs.					FPUs have sufficient stocks of ammunition and no shortage in ammunition stocks has been reported or observed.
8	MINUSMA should: (a) expedite the construction of accommodation camps to facilitate the deployment of United Nations police officers; and (b) ensure that deployments inconsistent with the memorandum of understanding are formalized and communicated to the Malian Government.	Important	Yes	Chief Engineer/ Police Commissioner	In progress	(a) Construction of accommodation camps that facilitates UNPOL deployment has been completed in Goundam and Douentza. Constructions in Timbuktu, Mopti, Gao, and Kidal is on-going. (b) Discussions for the renewal of the MOU is in progress. The new MOU will grant all UNPOL personnel in Bamako, all the regions and sub-regions to carry out specific activities (co-location, mentoring, advising, etc.) and it will be communicated to the Malian Government.
9	MINUSMA should (a) review the template for task orders to ensure that it provides for the seven considerations required for tasking; and (b) implement a system for proper accounting of task orders.	Important	Yes	Police Commissioner	31 January 2018	(a) The template for task orders has been amended, and now it reflects the seven (07) considerations required for tasking. The revised template is provided to the Resident Auditor. (b) MINUSMA UNPOL will implement a tracking document to ensure that all tasking orders are recorded and accounted for.
10	MINUSMA should update the guidelines for the handling and storage of weapons of individual police officers especially with respect to: when and where they should be carried or used;	Important	Yes	Police Commissioner	Fully implemented on 31 August 2017	The Mission has updated the Police Commissioner's guidelines for the handling and storage of weapons and disseminated it for implementation by the police officers. The amended guidelines are provided to the Resident Auditor.

Management Response

Audit of police operations in the United Nations Multidimensional Integrated Stabilization Mission in Mali

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
	disarming upon entry into the Mission premises; and control of individual police officers' weapons when they proceed on leave.					
11	MINUSMA should develop and implement a mechanism to ensure that individual police officers, upon completion of their assignments, prepare handover notes for their successors.	Important	Yes	Police Commissioner	31 October 2017	The Mission is developing a guidance document for individual police officers to prepare handover notes for their successors upon completion of their assignments.