



INTERNAL AUDIT DIVISION

AUDIT REPORT 2013/103

Audit of United Nations Police operations in the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo

Overall results relating to the effective management of the United Nations Police operations in the Democratic Republic of the Congo were initially assessed as partially satisfactory. Implementation of one important recommendation remains in progress

FINAL OVERALL RATING: PARTIALLY SATISFACTORY

**26 November 2013
Assignment No. AP2012/620/01**

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AUDIT REPORT

Audit of the United Nations Police operations in the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo

I. BACKGROUND

1. The Office of Internal Oversight Services (OIOS) conducted an audit of the management of United Nations Police (UNPOL) operations in the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo (MONUSCO).
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. MONUSCO was mandated to advise and assist the Government of the Democratic Republic of the Congo in reforming the security sector. The implementation of this mandate included: training and monitoring the national police of the Democratic Republic of the Congo to improve its capacity to protect the population and to take over the Mission's security role; and consolidating State authority by deploying Congolese civil administration particularly the police, territorial administration and rule of law institutions in areas freed from armed groups. The Training and Coordination Unit and the Congolese National Police Reform Unit of UNPOL were responsible for managing the National Police capacity building programme. The Formed Police Units of UNPOL were responsible for assisting the national police in controlling crowds and protecting civilians.
4. MONUSCO UNPOL was headed by a Police Commissioner at the D-2 level who was assisted by a Deputy Commissioner. UNPOL had 391 approved posts for uniformed police, 1,050 Formed Police Unit posts, and nine civilian posts. The Headquarters structure was comprised of four components: Operations; Reform; Training; and Administration and Support. The approved budgets for UNPOL for fiscal years 2010/11 and 2011/12 were \$47.8 million \$44.6 million, respectively.
5. Comments provided by MONUSCO are incorporated in italics.

II. OBJECTIVE AND SCOPE

6. The audit was conducted to assess the adequacy and effectiveness of MONUSCO governance, risk management and control processes in providing reasonable assurance regarding the **effective management of United Nations Police operations in the Democratic Republic of the Congo**.
7. The audit was included in the OIOS 2012 risk-based work plan due to the operational and reputational risks of non-achievement of the UNPOL mandate in MONUSCO.
8. The key controls tested for the audit were: (a) risk management and strategic planning; (b) project management; and (c) coordinated management. For the purpose of this audit, OIOS defined these key controls as follows:

(a) **Risk management and strategic planning** - controls that provide reasonable assurance that risks relating to UNPOL operations are identified and assessed and that action is taken to mitigate or anticipate the risks.

(b) **Project management** - controls that provide reasonable assurance that there is sufficient project management capacity to implement UNPOL activities, and tools and systems to monitor and report on its performance.

(c) **Coordinated management** - controls that provide reasonable assurance that potential overlaps in the performance of UNPOL functions are mitigated, and that issues affecting or involving other United Nations partners and actors are identified, discussed and resolved in a timely manner and at appropriate forum.

9. The key controls were assessed for the control objectives shown in Table 1. One control objective (shown in Table 1 as “Not assessed”) was not relevant to the scope defined for this audit.

10. OIOS conducted this audit from March 2012 to June 2013. The audit covered the period from 1 July 2010 to 31 December 2012 and included a visit to Goma.

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

III. AUDIT RESULTS

12. The MONUSCO governance, risk management and control processes examined were assessed as **partially satisfactory** in providing reasonable assurance regarding the **effective management of the United Nations Police operations in the Democratic Republic of the Congo**. OIOS made three recommendations to address the issues identified. MONUSCO UNPOL, within certain constraints, was providing adequate support to the Government for building the capacity of the Congolese National Police. However, there was a need to improve UNPOL participation in the *Comités Techniques Conjointes* (Joint Technical Committee) in Goma to enhance the implementation of the International Security and Stabilization Support Strategy and Stabilization and Reconstruction Plan. OIOS noted other issues that were beyond the control of the Mission, such as the slow implementation of the UNPOL strategic plan as relevant statutes had not been enacted by the Government.

13. The initial overall rating was based on the assessment of key controls presented in Table 1 below. The final overall rating is **partially satisfactory** as implementation of one important recommendation remains in progress.

Table 1: Assessment of key controls

Business objective	Key controls	Control objectives			
		Efficient and effective operations	Accurate financial and operational reporting	Safeguarding of assets	Compliance with mandates, regulations and rules
Effective management of the United Nations Police operations in the Democratic Republic of the Congo	(a) Risk management and strategic planning	Partially satisfactory	Partially satisfactory	Not assessed	Partially satisfactory
	(b) Project management	Partially satisfactory	Partially satisfactory	Not assessed	Partially satisfactory
	(c) Coordinated management	Partially satisfactory	Partially satisfactory	Not assessed	Partially satisfactory
FINAL OVERALL RATING: PARTIALLY SATISFACTORY					

A. Risk management and strategic planning

Strategic planning for United Nations police had been incorporated in the concept of operations

14. MONUSCO UNPOL, in conjunction with the Police Division at the Department of Peacekeeping Operations (DPKO), had developed a strategic plan for the Mission’s police operations. This included support for the Government of the Democratic Republic of the Congo to build a professional, well trained and properly equipped Congolese National Police with a view to enabling it to provide community-oriented and democratic policing services. UNPOL had also performed a risk assessment to identify key risks to the implementation of the strategic plan and had developed action plans to mitigate these risks. Regular reports on progress in the implementation of the plans were reviewed by the Mission’s senior management and the Police Division, DPKO.

15. However, the strategic plan only covered the period from 2009 to 2011 and MONUSCO had not updated it for 2012 and beyond. Consequently, strategic risks and attendant action plans for subsequent periods had not been adequately documented to direct UNPOL in implementing its medium and longer-term goals.

(1) MONUSCO, in conjunction with the Department of Peacekeeping Operations, should develop and promulgate a strategic plan for police operations, which establishes the medium and longer-term goals and actions required to achieve its mandate.

MONUSCO accepted recommendation 1 and stated that it had carried out a review of the concept of operations in conjunction with the Police Division, DPKO. This strategic plan was pending approval and would be promulgated once approved. Recommendation 1 remains open pending receipt of a copy of the MONUSCO UNPOL approved strategic plan.

Although there were certain constraints, MONUSCO provided adequate support to police operations

16. The Government of the Democratic Republic of the Congo reform of National Police started in September 2007 with the establishment of the Police Reform Steering Committee, known as Comité de Suivi de la Reforme de la Police. The Police Reform Steering Committee was chaired by the Minister of Interior and comprised officials of the Government and representatives from civil society groups. The

Special Representative of the Secretary-General who was an invitee was represented by the Deputy Special Representative of the Secretary-General Rule of Law and/or the United Nations Police Commissioner. Also invited were the Resident Representative of the United Nations Development Programme and representatives of 13 international donor countries supporting the reform. The following was noted:

- MONUSCO UNPOL was represented in all of the nine working groups established by the Executive Secretariat of the Police Reform Steering Committee, covering various areas including: legislative and regulatory framework; training; human resources; budget and finance; logistics and infrastructure; and human rights. MONUSCO UNPOL attended and participated in all meetings of the Police Reform Steering Committee working groups, and was also effective in assisting the Steering Committee in its oversight role of ensuring that relevant elements of the Government of the Democratic Republic of the Congo 15-year reform plan were being implemented by the Congolese National Police.
- MONUSCO, with the assistance of 13 donor countries, developed the International Security and Stabilization Support Strategy in 2009 whose objectives included the establishment of state authority, deployment of Congolese National Police throughout the country and building of police stations, courts and prisons. The International Security and Stabilization Support Strategy underpinned the direction of international support to the Government of the Democratic Republic of the Congo's Stabilization and Reconstruction Plan, and enhanced coordination among stakeholders.
- Congolese National Police reforms were slower than planned due to delays by the Government in establishing a legal framework and enacting statutes, as well as the continued unrest in eastern Democratic Republic of the Congo. For instance, it was not until August 2011 that the first statute (i.e. the organic law for Congolese National Police) was enacted. The second statute concerning Congolese National Police recruitment, career development, and remuneration was passed by both houses of parliament in October 2011, and gained Presidential assent on 1 June 2013.

17. Nonetheless, MONUSCO UNPOL, within the constraints noted above, provided adequate support to the Government particularly in establishing state authority through the deployment of Congolese National Police throughout the country and in: (a) constructing police stations, courts and prisons; (b) providing training to Congolese National Police; and (c) developing rule of law institutions and territorial administration.

The Mission's police operation work plans were adequately monitored and reported on

18. MONUSCO UNPOL developed annual work plans for the period under review, taking into consideration its three-year (2009-2011) strategic plan. Work plan outputs and indicators of achievement were adequately presented, monitored and reported on in the results-based budget performance reports. There were also regular situation reports, monthly and weekly programme reports identifying challenges and successes which were submitted as appropriate to the Police Commissioner, Senior Leadership Group, Senior Management Team, DPKO Police Division and the Great Lakes Integrated Operations Team at United Nations Headquarters. Joint mission evaluation reports on training activities were also regularly prepared.

19. MONUSCO training goals for the Congolese National Police, although not fully realized, fell short of the planned target for valid reasons, including insufficient funding, lack of available officers to be trained due to other priorities resulting from the insecurity in the east of the country.

20. Overall, OIOS assessed that MONUSCO UNPOL adequately monitored and implemented its work plans.

B. Project management

Agreements on roles and responsibilities for training were not available

21. Various partners were involved in the training provided by UNPOL to the Congolese National Police. These included the European Police, United Nations Development Programme and International Organization for Migration. However, MONUSCO did not have formal agreements with these entities setting out the roles and responsibilities relating to project management and funding programmes. The absence of formal agreements would result in gaps in assistance provided and duplication of effort, as well as diluted accountability, if planned deliverables were not achieved. UNPOL explained that there were appropriate documents in place; but the lack of a shared electronic filing system and regular rotation of staff, made it difficult to locate them.

22. For the delivery of training, in 2012, MONUSCO UNPOL developed draft agreements for two long-term training sessions for completion by donors, implementation agencies, the Congolese National Police and MONUSCO. One was signed by all parties; but the second agreement had not been finalized at the time of the audit although the training had already been undertaken.

(2) MONUSCO should finalize agreements setting out the roles and responsibilities of stakeholders for Congolese National Police training programmes and ensure that they are signed and properly archived for future reference.

MONUSCO accepted recommendation 2 and stated that agreements were signed and that a proper archive system had been set up to ensure that all agreements were filed for verification. Based on the action taken by MONUSCO, recommendation 2 has been closed.

Vacancies for UNPOL were well managed, but specialist skills were not always available

23. OIOS determined that UNPOL vacancies were well managed. As of September 2012, MONUSCO had 391 approved uniformed police posts of which 331 were filled, 1,050 Formed Police Unit posts of which 1,049 were filled, and nine civilian posts of which seven were filled. The deployment of UNPOL to the Mission was generally timely, with departing staff being replaced from rosters.

24. However, to be more effective UNPOL required specialized skills including in the areas of reform, capacity building and training, legal and finance, particularly at the strategic level in support of the International Security and Stabilization Support Strategy/Stabilization and Reconstruction Plan. Based on interviews with UNPOL, these specialized skills were not always available among the deployed officers because police contributing countries did not recommend officers with the required skills despite UNPOL specifying them in vacancy announcements. UNPOL also advised that they continually communicated their needs to the DPKO Police Division for discussion with permanent missions to the United Nations; but this had not yielded the required results. Even when the right-skilled personnel were selected, the frequency of rotations made their contribution short-lived. No recommendation was made as the issue was beyond the control of MONUSCO but OIOS encouraged MONUSCO to keep addressing this requirement with the DPKO Police Division.

C. Coordinated management

There was effective coordination with other units of MONUSCO

25. OIOS determined that there was effective coordination by UNPOL in ensuring that other MONUSCO sections delivered their part of training and capacity-building activities for the Congolese National Police. These units included the United Nations Joint Human Rights Office as well as the Gender, the Sexual and Gender Based Violence and the Child Protection sections. Additionally, UNPOL took part in the Joint Protection, Investigation and Assessment teams, and there were mechanisms developed by MONUSCO to enhance the protection of civilians.

There was inadequate participation in the Comités Techniques Conjointes (Joint Technical Committees)

26. Within the Stabilization and Reconstruction Plan framework, the Government and international partners requested the United Nations to support the coordination, management and delivery of international assistance. Additionally, the Secretary-General's report on MONUSCO (S/2011/298), dated 12 May 2011, stated that MONUSCO needed to continue to support the Government's Stabilization and Reconstruction Plan through the International Security and Stabilization Support Strategy in eastern Democratic Republic of the Congo. This support was to be done both at Mission Headquarters and at the provincial level through Joint Technical Committees, where the police component of the International Security and Stabilization Support Strategy/Stabilization and Reconstruction Plan was discussed and finalized.

27. Various MONUSCO substantive sections including the Stabilization Support Unit attended the Joint Technical Committees' meetings. However, UNPOL, though being a key player in security sector reforms, did not attend or participate in the Joint Technical Committee in Goma. UNPOL explained that there had been a temporary relapse in attendance following rotation of personnel in Goma.

(3) MONUSCO should ensure that the United Nations Police are represented and actively participate in all provincial Comités Techniques Conjointes (Joint Technical Committees) meetings so as to contribute more effectively to the stabilization process in the east.

MONUSCO accepted recommendation 3 and stated that MONUSCO Police is now represented in the Comités Techniques Conjointes in the South Kivu, Ituri District and North Kivu. Based on the action taken by MONUSCO, recommendation 3 has been closed.

IV. ACKNOWLEDGEMENT

28. OIOS wishes to express its appreciation to the Management and staff of MONUSCO 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 United Nations police operations in the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo

Recom. no.	Recommendation	Critical ¹ / Important ²	C/ O ³	Actions needed to close recommendation	Implementation date ⁴
1.	MONUSCO, in conjunction with the Department of Peacekeeping Operations, should develop and promulgate a strategic plan for police operations, which establishes the medium and longer-term goals and actions required to achieve its mandate.	Important	O	Receipt of a copy of the MONUSCO UNPOL approved strategic plan	31 December 2013
2.	MONUSCO should finalize agreements setting out the roles and responsibilities of stakeholders for Congolese National Police training programmes and ensure that they are signed and properly archived for future reference.	Important	C	Implemented	Implemented
3.	MONUSCO should ensure that the United Nations Police are represented and actively participate in all provincial Comités Techniques Conjointes (Joint Technical Committees) meetings so as to contribute more effectively to the stabilization process in the east.	Important	C	Implemented	Implemented

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.

³ C = closed, O = open

⁴ Date provided by MONUSCO

APPENDIX I

Management Response



INTEROFFICE MEMORANDUM

14 November 2013
Ref. SRSG/COS/880//2013

To: Ms. Eleanor T. Burns
Chief, Peacekeeping Audit Service
Internal Audit Division, OIOS

From: *IS* Ian Sinclair
Chief of Staff a.i.
MONUSCO

Subject: Assignment No. AP2012/620/01 - Audit of UNPOL operations in MONUSCO

1. Your interoffice memorandum reference IAD-13-7-5-7 (22) dated 30 October 2013 refers.
2. Attached please find Mission response in respect of the recommendations in the draft report of the above-mentioned audit.
3. Copies of the supporting documentation will be provided to the Resident Audit office.

Kind regards.

Cc Mr. Abdallah Wafy, DSRSG, Rule of Law, MONUSCO
Mr. Guy Siri, Director Mission Support, MONUSCO
Mr. Martin Lanyuy, OIC Office of the Police Commissioner, MONUSCO
Ms. Jacoba Genis, Audit Focal Point, MONUSCO
Ms. Anna Halasan, Professional Practices Section, Internal Audit Division, OIOS
Mr. Laud Botchwey, Chief Resident Auditor for MONUSCO, OIOS

Management Response

Audit of the United Nations Police operations in the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo

Rec. no.	Recommendation	Critical ⁵ / Important ⁶	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
1	MONUSCO, in conjunction with the Department of Peacekeeping Operations, should develop and promulgate a strategic plan for police operations, which establishes the medium and longer-term goals and actions required to achieve its mandate.	Important	Yes	Officer-in-Charge UNPOL	31 December 13	MONUSCO Police in collaboration with the Police Division has carried out a review of its Concept of Operations. The document which reflects MONUSCO Police long-term vision, strategies and actions was circulated to other Mission substantive Sections for comments/inputs. This strategic plan is pending approval at the Police Division in New York and will be promulgated once it has been approved.
2	MONUSCO UNPOL should finalize agreements setting out the roles and responsibilities of stakeholders for Congolese National Police training programmes and ensure that they are signed and properly archived for future reference.	Important	Yes	Officer-in-Charge UNPOL	Implemented	MONUSCO Police signed Agreements (PRODOCS) before training commenced setting out roles and responsibilities of stakeholders. A proper archive system has been set up and is available for verification by OIOS.

⁵ 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.

⁶ 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 United Nations Police operations in the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo

Rec. no.	Recommendation	Critical ⁵ / Important ⁶	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
3	MONUSCO should ensure that the United Nations police are represented and actively participate in all provincial Comités Techniques Conjointes (Joint Technical Committees) so as to contribute more effectively to the stabilization process in the east.	Important	Yes	Officer-in-Charge UNPOL	Implemented	MONUSCO Police is represented in the 'Comités Techniques Conjointes' in the South Kivu, Ituri District and North Kivu.