



## INTERNAL AUDIT DIVISION

### REPORT 2015/157

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Audit of the conduct and discipline function in the United Nations Mission in Liberia

Overall results relating to the effective management of the conduct and discipline function in the United Nations Mission in Liberia were initially assessed as partially satisfactory. Implementation of four important recommendations remains in progress

FINAL OVERALL RATING: PARTIALLY SATISFACTORY

2 December 2015  
Assignment No. AP2014/626/04

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# AUDIT REPORT

## Audit of the conduct and discipline function in the United Nations Mission in Liberia

### I. BACKGROUND

1. The Office of Internal Oversight Services (OIOS) conducted an audit of the conduct and discipline function in the United Nations Mission in Liberia (UNMIL).
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. The Conduct and Discipline Team (CDT) is responsible for receiving, assessing and referring allegations of misconduct to appropriate investigative bodies of the United Nations and Member States. CDT provides: (a) policy guidance and technical advice to the Head of Mission; and (b) assistance in developing preventive strategies for responding to personnel misconduct, and disseminating United Nations guidelines, policies and procedures on conduct and discipline.
4. CDT was faced with capacity constraints and therefore operational challenges during the Ebola epidemic in Liberia. As a result, CDT had to put certain tasks on hold during 2014/15 such as training and sensitization activities, as some CDT staff were on extended leave and others were assigned to assisting the Mission in dealing with the crisis.
5. CDT is headed by a Chief at the P-5 level and has six authorized posts including five international and one national post. CDT staff and operational budgets for 2013/14 and 2014/15 were \$1.2 million and \$1.3 million, respectively.
6. Comments provided by UNMIL are incorporated in italics.

### II. OBJECTIVE AND SCOPE

7. The audit was conducted to assess the adequacy and effectiveness of UNMIL governance, risk management and control processes in providing reasonable assurance regarding the **effective management of the conduct and discipline function in UNMIL**.
8. The audit was included in the 2014 risk-based work plan of OIOS because of risks relating to the management of conduct and discipline activities by CDT.
9. The key control tested for the audit was regulatory framework. For the purpose of this audit, OIOS defined this key control as the one that provides reasonable assurance that policies and procedures (i) exist to guide conduct and discipline activities in UNMIL; (ii) are implemented consistently; and (iii) ensure the reliability and integrity of financial and operational information.
10. The key control was 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.

11. OIOS conducted this audit in July and August 2015. The audit covered the period from 1 January 2014 to 30 June 2015.

12. 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

13. The UNMIL governance, risk management and control processes examined were initially assessed as **partially satisfactory**<sup>1</sup> in providing reasonable assurance regarding the **effective management of the conduct and discipline function in UNMIL**. OIOS made seven recommendations to address issues identified. UNMIL established a functional welfare and recreation system for staff and uniformed personnel, and submitted monthly/quarterly performance reports to the Department of Field Support (DFS). However, UNMIL needed to: (a) improve staff compliance with mandatory conduct and discipline training; (b) develop a public information strategy on sexual exploitation and abuse; (c) ensure the review of investigation reports by CDT was adequately documented; and (d) follow up on long outstanding open allegations.

14. The initial overall rating was based on the assessment of the key control presented in Table 1. The final overall rating is **partially satisfactory** as implementation of four 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
<b>Effective management of the conduct and discipline function in UNMIL</b>	Regulatory framework	Partially satisfactory	Partially satisfactory	Not assessed	Partially satisfactory
<b>FINAL OVERALL RATING: PARTIALLY SATISFACTORY</b>					

#### Regulatory framework

The Conduct and Discipline Team developed a work plan and monitored its implementation

15. United Nations best practices require sections/units to prepare regular work plans to guide the execution of tasks and achievement of objectives. The DFS Advisory on conduct and discipline in field missions (DFS Advisory) provides the tasks to be performed by CDT.

<sup>1</sup> 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.

16. A review of the CDT 2014/15 work plan indicated that it included all the required tasks, expected outputs, and parties responsible for implementation. CDT periodically reviewed the accomplishment of the work plan and took action where necessary. OIOS concluded that CDT implemented adequate controls over the development and implementation of its work plan.

Monitoring of staff compliance with mandatory induction training needed improvement

17. The DFS Advisory requires CDT, in collaboration with the Integrated Mission Training Centre, to ensure that all United Nations personnel receive induction training on conduct and discipline issues, including prevention of sexual exploitation and abuse.

18. A review of the Mission's training records for the audit period indicated that 58 of the 175 newly deployed civilian personnel and 52 of the 414 civilian police and military observer personnel did not attend the mandatory induction training. This resulted as UNMIL did not implement a mechanism to track and monitor staff compliance with mandatory training requirements. As a result, there was a risk of increased cases of misconduct due to civilians and uniformed personnel not being fully aware of the United Nations policy against sexual exploitation and abuse and prohibited conduct.

**(1) UNMIL should: (a) identify all civilian and military staff that have not participated in conduct and discipline training and ensure adequate induction training is provided and; (b) develop a monitoring mechanism to ensure that all civilian and uniformed personnel are regularly trained.**

*UNMIL accepted recommendation 1 and stated that the Integrated Mission Training Centre would monitor the arrival of new personnel to ensure participation in mandatory induction training on conduct and discipline. The Training Centre would communicate any gaps to concerned supervisors and managers who would be required to ensure that their staff attend the induction training. The Office of the Police Commissioner also developed a mechanism to ensure that all police personnel participate in the induction training. Recommendation 1 remains open pending receipt of evidence that UNMIL has provided all Mission personnel with relevant training on conduct and discipline; and developed a monitoring mechanism to ensure that all civilian and uniformed personnel are regularly trained.*

Need for a public information strategy on sexual exploitation and abuse

19. The Department of Peacekeeping Operations (DPKO) public information guidelines require UNMIL to develop a public information strategy to guide the creation of public information products related to sexual exploitation and abuse. The DFS Advisory requires CDT, in collaboration with the UNMIL Public Information Office, to implement outreach activities for the host population to raise awareness on issues related to conduct and discipline and to evaluate and assess the impact of such activities.

20. A review of outreach activities during the audit period indicated that UNMIL had not developed a public information strategy due to other operational priorities and staffing shortages due to the outbreak of the Ebola virus as well as the frequent turnover of key CDT personnel. However, CDT had: (a) an ongoing joint public information radio programme on sexual exploitation and abuse with local religious leaders and provided them with training; and (b) regular interaction and discussions with religious leaders to raise awareness on sexual exploitation and abuse reporting mechanisms, and the sexual and gender-based violence referral pathway. This was because the religious leaders had a greater interaction and influence over the local population.

21. In the absence of a public information strategy, there was an increased risk that UNMIL was not using the most appropriate public information tools to effectively and comprehensively communicate the United Nations policy against sexual exploitation and abuse and prohibited conduct.

**(2) UNMIL should allocate adequate resources to establish a public information strategy to guide the creation of public information products and outreach activities related to sexual exploitation and abuse.**

*UNMIL accepted recommendation 2 and stated that its public information strategy had been approved and due to be launched in December 2015 and campaign tools and materials were being developed. Recommendation 2 remains open pending receipt of evidence that the public information strategy has been developed and implemented.*

#### Welfare and recreation facilities were established and functional

22. The DFS Advisory requires: UNMIL to ensure that adequate welfare and recreation facilities are provided to United Nations personnel, and CDT to monitor the implementation of welfare and recreation facilities and offer advice to recreation committees on welfare activities.

23. Discussions with the welfare coordinator, visits to 8 out of 18 military contingents and formed police units and the two civilian personnel locations in Monrovia indicated that UNMIL established various welfare and recreation facilities and amenities for outdoor and indoor sport, social and cultural activities. CDT regularly visited sectors to check the adequacy of welfare and recreational facilities and to observe operations of these activities. OIOS concluded that UNMIL implemented adequate controls to ensure welfare and recreation facilities were provided for peacekeeping personnel.

#### Misconduct cases were not always recorded in the Misconduct Tracking System

24. The DFS Advisory requires CDT to record and track all allegations of misconduct in the Misconduct Tracking System and ensure that all case related information and documentation is recorded in the system.

25. A review of 27 out of 54 cases of misconduct reported to CDT during the audit period indicated that CDT did not record three allegations relating to theft of United Nations property reported by the Security Section. CDT had not reviewed the incident and investigation reports prepared by the Security Section and therefore Mission management had not taken any action on these cases. This resulted partly due to the frequent turnover of staff, including the Chief of CDT, and because CDT did not have a mechanism to ensure all reports from investigative bodies in the Mission were reviewed, tracked and monitored. Subsequent to the audit, CDT took action and recorded the three cases in the Misconduct Tracking System.

**(3) UNMIL should establish an appropriate mechanism to ensure all allegations reported and investigations conducted by the Mission's investigative bodies are reviewed and monitored by the Conduct and Discipline Team.**

*UNMIL accepted recommendation 3 and stated that it implemented a weekly control for investigation reports uploaded to the Special Investigation Unit's shared network folder. CDT would also meet with the Special Investigation Unit on a bi-monthly basis to follow up on cases under investigation. Based on the action taken by UNMIL and OIOS verification, recommendation 3 has been closed.*

Calls to the complaint receiving telephone hotline were not answered

26. The DFS Advisory requires CDT to establish an efficient, safe, confidential, transparent and accessible complaint reception mechanism.

27. A review of conduct and discipline reports, interviews with CDT personnel and physical verification of CDT facilities indicated that CDT established adequate channels for Mission personnel and the local population to report allegations. CDT also disseminated information about available reporting channels during awareness campaigns and training sessions and included the telephone hotline number and secure email address on posters and training materials.

28. However, four phone calls by OIOS to the telephone hotline in June, July and August 2015 were not answered or returned by CDT. CDT advised that due to the low call volume, it did not have dedicated staff to operate the hotline 24 hours/seven days a week, and since May 2015, the voicemail and missed call alert features of the hotline were not working due to a technical glitch. The lack of a fully functioning telephone hotline increases the risk of cases of misconduct not being reported or not reported in a timely manner.

**(4) UNMIL should resolve the technical glitch with the hotline to ensure that the voicemail and missed call alert features of the hotline are operational at all times.**

*UNMIL accepted recommendation 4 and stated that it resolved the technical problem and the hotline and messaging system were functioning effectively. Based on the action taken by UNMIL and OIOS verification, recommendation 4 has been closed.*

Complaints were assessed and referred to investigative bodies in a timely manner

29. The DFS Advisory requires CDT to assess within seven days complaints of misconduct using a prescribed checklist, and refer all new allegations to the appropriate investigation body within three days of completing the assessment.

30. A review of 8 of the 54 new allegations of misconduct reported to CDT in the period 1 January 2014 to 30 June 2015 indicated that CDT assessed complaints using the prescribed checklist and referred all eight cases to the appropriate investigation body within the required timeframe. OIOS concluded that UNMIL implemented adequate controls to ensure that misconduct allegations were assessed and referred to the appropriate investigative body in a timely manner.

Investigation reports were not reviewed in a timely manner and adequately documented

31. The DFS Advisory requires CDT to: (a) assist the Head of Mission to review and confirm that investigation reports comply with applicable United Nations standards, including evidentiary standards and requirements of due process and fairness; and (b) complete reviews within 15 days for reports of sexual exploitation and abuse and one month for reports of all other allegations, and document results in a prescribed template.

32. An analysis of 52 completed investigation reports, comprising 4 on sexual exploitation and abuse and 48 other forms of allegations indicated that CDT took an average of 178 days to review 26 investigation reports on other forms of allegations. All four sexual exploitation and abuse reports and the remaining 22 reports on other forms of allegations were reviewed within the stipulated timeframes.

33. A review of 11 of the 52 cases indicated that for 8 cases, CDT did not use the prescribed template but documented its review of the investigation reports using a memorandum addressed to the Head of Mission. However, the memorandum did not indicate whether the investigation reports complied with applicable United Nations standards, including evidentiary standards and requirements of due process and fairness.

34. The delay in review of investigation reports was partly due to resource constraints as explained in paragraph 4 above and also to the absence of a mechanism to track and monitor the investigation review process. As a result, UNMIL was not initiating disciplinary and administrative action in a timely manner, and cases remained open for prolonged periods. CDT also advised that the templates were not used because it duplicated information previously recorded in the Misconduct Tracking System.

**(5) UNMIL should put in place a procedure to review and monitor the investigation process to ensure they are completed in a timely manner and that all of the details required by the DFS Advisory are covered.**

*UNMIL accepted recommendation 5 and stated that DFS included a new task management module in the Misconduct Tracking System to facilitate the case management process and help CDT maintain oversight over the status of cases. Recommendation 5 remains open pending OIOS verification of the tracking and monitoring mechanism and receipt of evidence that CDT review of investigation reports is adequately documented.*

#### Monthly and quarterly reports were submitted in a timely manner

35. The DFS Advisory requires CDT to record and track all allegations of misconduct and prepare and submit monthly/quarterly reports, within 30 days after the end of each quarter, on its conduct and discipline activities to DFS with copies to the Head of Mission and other senior Mission personnel.

36. A review of all monthly/quarterly reports prepared by CDT from January 2014 to June 2015 indicated that the reports contained all the required information including: various meetings held by CDT, preventive measures undertaken during the reporting period, and training and awareness-raising activities conducted by CDT. CDT submitted the required reports to DFS, the Head of Mission and other senior personnel in a timely manner. OIOS concluded that CDT implemented adequate controls to ensure timely reporting of conduct and discipline related activities.

#### Follow up on cases referred to investigative bodies needed to be improved

37. The DFS Advisory requires CDT to follow up on allegations under investigation in the following frequency: (a) every three months for investigations conducted by the Mission's investigative bodies; (b) every three months for investigations on sexual exploitation and abuse; (c) every six months for investigations on other types of allegations conducted by the Investigation Division of OIOS; and (d) every six months for investigations conducted by Member States through DFS.

38. An age analysis of open allegations in the Misconduct Tracking System as of 30 June 2015 indicated that there were 207 outstanding cases, of which 185 were more than one year old. A review of 40 of the 207 open allegations indicated that investigation actions were pending from various troop contributing countries, police contributing countries, UNMIL offices and other offices at United Nations Headquarters. However, CDT did not adequately follow up on cases under investigation due to inadequate capacity and frequent turnover of staff on the Team.



39. Inadequate follow up on the status of cases increased the risk of delays in administering necessary disciplinary measures and closing the cases thereby diminishing the effectiveness of the conduct and discipline process. Further, delays in resolving and closing allegations could give the impression of lack of concern and action by the United Nations to the affected victims and also promote a sense of impunity.

**(6) UNMIL should implement a plan to strengthen the capacity of the Conduct and Discipline Team to ensure the Team adequately follows up with concerned offices to resolve and close allegations in a timely manner.**

*UNMIL accepted recommendation 6 and stated that it would assign a CDT officer to assist with case management. Recommendation 6 remains open pending receipt of evidence that the capacity of CDT has been strengthened and case management improved.*

Misconduct cases were closed without taking all the necessary actions

40. The DFS Advisory requires CDT to: (a) close unsubstantiated cases, after the Head of Mission has reviewed and endorsed the investigation findings; (b) close substantiated cases after appropriate disciplinary or administrative action has been taken; and (c) ensure that all relevant supporting documentation including closure notices are signed off by the Chief of CDT and uploaded in the Misconduct Tracking System.

41. A review of 27 out of 625 cases closed during the audit period indicated that CDT closed all substantiated cases only after appropriate administrative or disciplinary action had been taken. However, two unsubstantiated cases were closed without the endorsement of the Head of Mission. CDT also did not complete the required closure notice template for 2 of the 27 cases.

42. The above was due to inadequate review and supervision over the case closure process by the Chief of CDT. The lack of documentation on closed cases and the Head of Mission's endorsement of unsubstantiated cases increased the risk of cases not being properly processed.

**(7) UNMIL should implement a mechanism to ensure adequate supervision and review of cases to confirm that all required supporting documentation is entered in the misconduct tracking system prior to closing a case.**

*UNMIL accepted recommendation 7 and stated that CDT started following the case closure procedures outlined in the DFS Advisory. Based on the action taken by UNMIL and OIOS verification, recommendation 7 has been closed.*

Sexual exploitation and abuse victim assistance mechanism was established

43. The DFS advisory requires CDT to: (i) participate in the in-country network of the United Nations Country Team on the implementation of a victim assistance mechanism; and (ii) conduct and maintain up-to-date mapping of services and assistance available to victims of sexual exploitation and abuse.

44. The sexual exploitation and abuse victim assistance mechanism in Liberia was implemented through a government-led National Gender-Based Violence Taskforce comprising of representatives from the United Nations Country Team, international and local non-governmental organizations and governmental agencies. In April 2014, CDT in conjunction with the National Gender-Based Violence Taskforce completed the mapping of assistance and support services available to victims of sexual exploitation and abuse. A review of all four CDT quarterly reports and minutes of the in-country network

indicated that CDT actively participated in raising awareness to the local communities of the existence of the victims assistance programme and in meetings of the Taskforce.

45. However, a recent OIOS inspection and evaluation report (IED-15-001), dated 12 June 2015 highlighted that only 3 of 46 victims recorded by the Mission had been referred to mapped services. To deal with this systemic issue, OIOS/IED recommended that DPKO/DFS propose a funded comprehensive strategy to provide appropriate assistance and support to victims of sexual exploitation and abuse. Based on this, no recommendation was made in this report.

#### **IV. ACKNOWLEDGEMENT**

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

*(Signed)* David Kanja  
Assistant Secretary-General, Acting Head  
Office of Internal Oversight Services

## STATUS OF AUDIT RECOMMENDATIONS

## Audit of the conduct and discipline function in the United Nations Mission in Liberia

Recom. no.	Recommendation	Critical <sup>2</sup> / Important <sup>3</sup>	C/ O <sup>4</sup>	Actions needed to close recommendation	Implementation date <sup>5</sup>
1	UNMIL should: (a) identify all civilian and military staff that have not participated in conduct and discipline training and ensure adequate induction training is provided, and; (b) develop a monitoring mechanism to ensure that all civilian and uniformed personnel are regularly trained.	Important	O	Receipt of evidence that UNMIL has provided all Mission personnel with relevant training on conduct and discipline; and developed a monitoring mechanism to ensure that all civilian and uniformed personnel are regularly trained.	31 January 2016
2	UNMIL should allocate adequate resources to establish a public information strategy to guide the creation of public information products and outreach activities related to sexual exploitation and abuse.	Important	O	Receipt of evidence that the public information strategy has been developed and implemented.	31 December 2015
3	UNMIL should establish an appropriate mechanism to ensure all allegations reported and investigations conducted by the Mission's investigative bodies are reviewed and monitored by the Conduct and Discipline Team.	Important	C	Action taken	Implemented
4	UNMIL should resolve the technical glitch with the hotline to ensure that the voicemail and missed call alert features of the hotline are operational at all times.	Important	C	Action taken	Implemented
5	UNMIL should put in place a procedure to review and monitor the investigation process to ensure they are completed in a timely manner and that all of the details required by the DFS Advisory are covered.	Important	O	OIOS verification of the tracking and monitoring mechanism and receipt of evidence that CDT review of investigation reports is adequately documented.	28 February 2016

<sup>1</sup> 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.

<sup>2</sup> 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.

<sup>3</sup> C = closed, O = open

<sup>4</sup> Date provided by UNMIL in response to recommendations.

## STATUS OF AUDIT RECOMMENDATIONS

## Audit of the conduct and discipline function in the United Nations Mission in Liberia

Recom. no.	Recommendation	Critical <sup>2</sup> / Important <sup>3</sup>	C/ O <sup>4</sup>	Actions needed to close recommendation	Implementation date <sup>5</sup>
6	UNMIL should implement a plan to strengthen the capacity of the Conduct and Discipline Team to ensure the Team adequately follows up with concerned offices to resolve and close allegations in a timely manner.	Important	O	Receipt of evidence that the capacity of CDT has been strengthened and case management improved.	28 February 2016
7	UNMIL should implement a mechanism to ensure adequate supervision and review of cases to confirm that all required supporting documentation is entered in the misconduct tracking system prior to closing a case.	Important	C	Action taken.	Implemented

# **APPENDIX I**


## **Management Response**



*Special Representative of the Secretary-General  
and Coordinator of United Nations Operations in Liberia*

Date: 30 November 2015

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

From: Farid Zarif   
SRSG, United Nations Mission in Liberia

Subject: **Assignment No. AP2014/626/04 – UNMIL’s response to the draft report on the audit of the recruitment of the conduct and discipline function at the United Nations Mission in Liberia**

Thank you for providing us with the opportunity to comment on the above-referenced audit.

Please see the comments of the mission to the audit in the attached matrix, as requested in your memorandum dated 16 November 2015. The annexes referenced therein will be provided to the Chief Resident Auditor in soft copy.

Best regards.

cc:

Mr. Hubert Price, Director of Mission Support, UNMIL  
Ms. Denise Wilman, Chief of Staff, UNMIL  
Ms. Mumbi Mathangani, Chief, Conduct and Discipline Team, UNMIL  
Ms. Moya Magilligan, Audit Focal Point, UNMIL  
Mr. James Suglo, Chief Resident Auditor, UNMIL  
Ms. Cynthia Avena-Castillo, Professional Practices Section, Internal Audit Division, OIOS

## Management Response

## Audit of conduct and discipline function in the United Nations Mission in Liberia

Rec. no.	Recommendation	Critical <sup>1</sup> / Important <sup>2</sup>	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
1	UNMIL should: (a) identify all civilian and military staff that have not participated in conduct and discipline training and ensure adequate induction training is provided, and; (b) develop a monitoring mechanism to ensure that all civilian and uniformed personnel are regularly trained.	Important	Yes	Chief, IMTC and Conduct and Discipline Officer responsible for training	31 January 2016	The IMTC monitors all newly arrived personnel to ensure that they participate in induction training which includes a session on conduct and discipline. Any gaps are communicated to supervisors and managers who are required to ensure that their personnel attend induction training. CDT continues to offer special induction sessions to ensure that all personnel participate in the induction training on conduct and discipline. CDT also offers refresher training in all the sectors every six months. Together with the Military Training Cell, CDT offers induction training to all military personnel in the Mission. A special training programme has also been designed for Training of Trainers for the military on SEA CDT. The Office of the Police Commissioner has developed a mechanism for ensuring that all police personnel participate in induction training. For these

<sup>1</sup> 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.

<sup>2</sup> 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 conduct and discipline function in the United Nations Mission in Liberia

Rec. no.	Recommendation	Critical <sup>1</sup> / Important <sup>2</sup>	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
						reasons, UNMIL respectfully submits that this recommendation has been implemented. (Supporting documentation has been submitted to the OIOS Resident Audit Office in UNMIL.)
2	UNMIL should allocate adequate resources to establish a public information strategy to guide the creation of public information products and outreach activities related to sexual exploitation and abuse.	Important	Yes	Chief, PIO	31 December 2015	CDT in close collaboration with the Anti-SEA Task Force and key local actors has developed a campaign strategy that will be launched on 9 December 2015. With the support of PIO, CDT is currently developing campaign tools, including brochures, ribbons, posters and T-Shirts, amongst others. The Campaign is being implemented as a joint campaign with the Liberia Ministry of Gender, Children and Social Protection to optimize effectiveness and ensure sustainability. (Supporting documentation has been submitted to the OIOS Resident Audit Office in UNMIL.)
3	UNMIL should establish an appropriate mechanism to ensure all allegations reported and investigations conducted by the Mission's investigative bodies are reviewed and monitored by the Conduct and Discipline Team.	Important	Yes	Conduct and Discipline Officer responsible for Case Management	Implemented	CDT has implemented a weekly control of the investigation reports uploaded in the SIU shared drive folder. In addition, CDT meets with SIU, on a bi-monthly basis in order to follow up on cases that are under investigation. CDT is



## Management Response

## Audit of conduct and discipline function in the United Nations Mission in Liberia

Rec. no.	Recommendation	Critical <sup>1</sup> / Important <sup>2</sup>	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
						also reviewing all the aging complaints entered in the MTS as well as those on SIU share drive with a view to taking appropriate action.
4	UNMIL should resolve the technical glitch with the hotline to ensure that the voicemail and missed call alert features of the hotline are operational at all times.	Important	Yes	Chief CITS and Chief CDT	Implemented	The technical problems that the SEA hotline experienced in August have been resolved. The hotline is now functioning efficiently and also displays the callers' information which is transmitted by email to the responsible CDT officer if the call is unanswered. These emails are accessible on the officers' smartphones and therefore accessible outside of regular office hours. The officer then returns the calls based on information given in the email. In regards to this, for example, on 14 September a report of an alleged sexual abuse was received through the hotline. The matter is undergoing investigation by OIOS.
5	UNMIL should put in place a procedure to review and monitor the investigation process to ensure they are completed in a timely manner and that all of the details required by the DFS Advisory are covered.	Important	Yes	Chief, CDT	28 February 2016	In March 2015, CDU developed a new feature in MTS, the task management module that is designed to help CDTs and CDU/HQ staff to have an oversight of the status of all cases

## Management Response

## Audit of conduct and discipline function in the United Nations Mission in Liberia

Rec. no.	Recommendation	Critical <sup>1</sup> / Important <sup>2</sup>	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
						and the responsible officer for each case. This is expected to facilitate the case management process and provide a transparent path for following a case from its initial entry in MTS to its completion and closure. On 2 October 2015, three staff members of CDT received WebEx training on the (MTS) task management module. On 21 October, CDT implemented the module on active cases. Moving forward, the system will generate automatic emails to remind the staff member responsible for a specific case of the task/s that are due.
6	UNMIL should implement a plan to strengthen the capacity of the Conduct and Discipline Team to ensure the Team adequately follows up with concerned offices to resolve and close allegations in a timely manner.	Important	Yes	DMS	28 February 2016	An additional Conduct and Discipline Officer will be posted to CDT to support CDT in, <i>inter alia</i> , case management functions. UNMIL plans to deploy a Conduct and Discipline Officer on a Temporary Duty Assignment (TDY) to assist with review, digitization and closure of cases in November 2015. Identification of the said officer is in progress.
7	UNMIL should implement a mechanism to ensure adequate supervision and review of cases to confirm that all required supporting documentation is entered in the	Important	Yes	Chief CDT	Implemented	CDT is currently following the procedure outlined in the DFS Advisory. In this connection, when closing a case in MTS, CDT

## Management Response

## Audit of conduct and discipline function in the United Nations Mission in Liberia

Rec. no.	Recommendation	Critical <sup>1</sup> / Important <sup>2</sup>	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
	misconduct tracking system prior to closing a case.					documents the actions taken in the Closure, obtains the required signature, uploads it in the MTS before closing the case. For these reasons, UNMIL respectfully submits that this recommendation has been implemented. (Supporting documentation has been submitted to the OIOS Resident Audit Office in UNMIL.)