



INTERNAL AUDIT DIVISION

REPORT 2018/013

Audit of recruitment of United Nations Police

Although comprehensive processes and controls are in place, improved assessment techniques and more regular monitoring, reporting and quality assurance of performance would enhance the efficient, timely and accountable recruitment of United Nations Police

19 March 2018
Assignment No. AP2016/600/02

Audit of recruitment of United Nations Police

EXECUTIVE SUMMARY

The Office of Internal Oversight Services (OIOS) conducted an audit of recruitment of United Nations Police in the Department of Peacekeeping Operations (DPKO). The objective of the audit was to assess the adequacy and effectiveness of processes at Headquarters regarding the efficient, timely and accountable recruitment process for United Nations Police. The audit covered the period from January 2015 to February 2017 and included the following areas: strategic workforce planning and needs assessment; recruitment and assessment policies and procedures; financial and human resources and organization; information management and systems; and quality assurance and oversight.

DPKO developed relevant policies and procedures, instituted mechanisms to assess candidates and train staff involved in conducting assessments, and established information systems supporting the recruitment function. However, further revision and improvements to assessment tools and techniques, clarification of organizational structures and roles and responsibilities, as well as more regular monitoring, reporting and quality assurance of performance would enhance the efficient, timely and accountable recruitment of United Nations Police.

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

- Develop a strategic plan to enhance the pool of police contributing countries;
- Include, within its action plan for achieving greater representation of women, additional information on gender balance across different types of United Nations Police positions and the rates of nomination by Member States of women to fill policing requirements;
- Introduce further mechanisms to ensure that the number of candidates accepted for Member State-based Assessments for Mission Service (SAAT visits) are better matched with eventual deployment needs;
- Establish clear timelines for the review and revision of standard operating procedures governing the work of the Selection and Recruitment Section of the Police Division;
- Engage with other relevant parts of the Secretariat to develop overarching guidance on the recruitment and terms of engagement of seconded uniformed personnel;
- Update the techniques used for assessing candidates for United Nations Police;
- Explore the possibility of increasing Police Division Headquarters staff participation in SAAT visits;
- Review the allocation of responsibility for filling and extending contracts of personnel seconded to Headquarters positions in the Police Division;
- Develop performance targets for key recruitment process timelines;
- Establish a clear timeline for the enhancement of the recruitment system, HERMES; and
- Enhance independent oversight and evaluation of recruitment and other activities by the Police Division Standards Compliance and Audit Officer.

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

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Audit of recruitment of United Nations Police

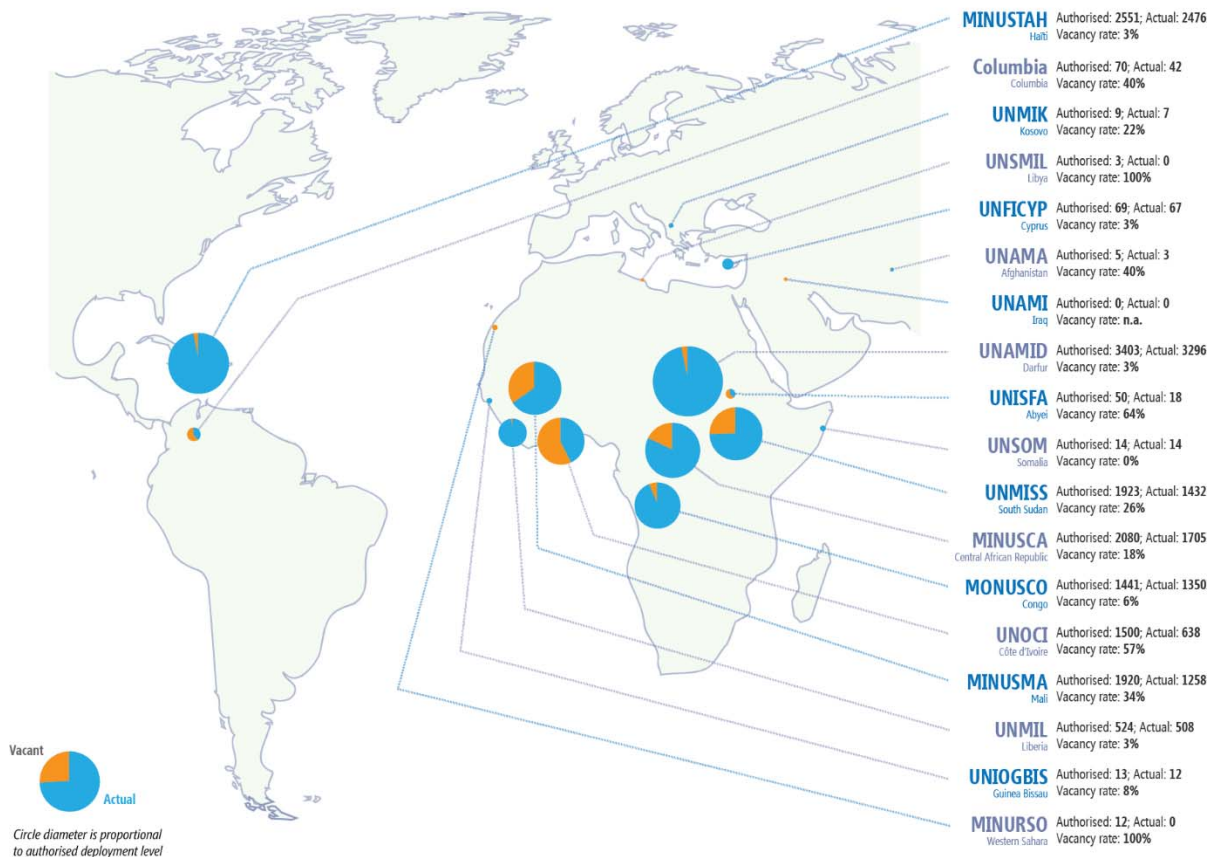
I. BACKGROUND

1. The Office of Internal Oversight Services (OIOS) conducted an audit of recruitment of United Nations Police.

2. According to the report of the Secretary-General on United Nations Policing (S/2016/952), the mission of the United Nations Police is to enhance international peace and security by supporting Member States in conflict, post-conflict and other crisis situations to realize effective, efficient, representative, responsive and accountable police services that serve and protect the population.

3. As at December 2016, 12,826 police were deployed across 12 peacekeeping and 6 special political missions. The majority (8,524 or 66 per cent) of these police were part of formed police units (FPUs), with the remaining 4,302 deployed as individual police officers (IPOs). In addition, 87 police posts (including seconded police commissioners, police coordinators, special assistants and trainers) exist in 20 missions.

Figure 1 Level and location of United Nations Police FPU and IPO deployment, as at December 2016*



* An additional 87 police professional staff posts are deployed across 20 peace operations.

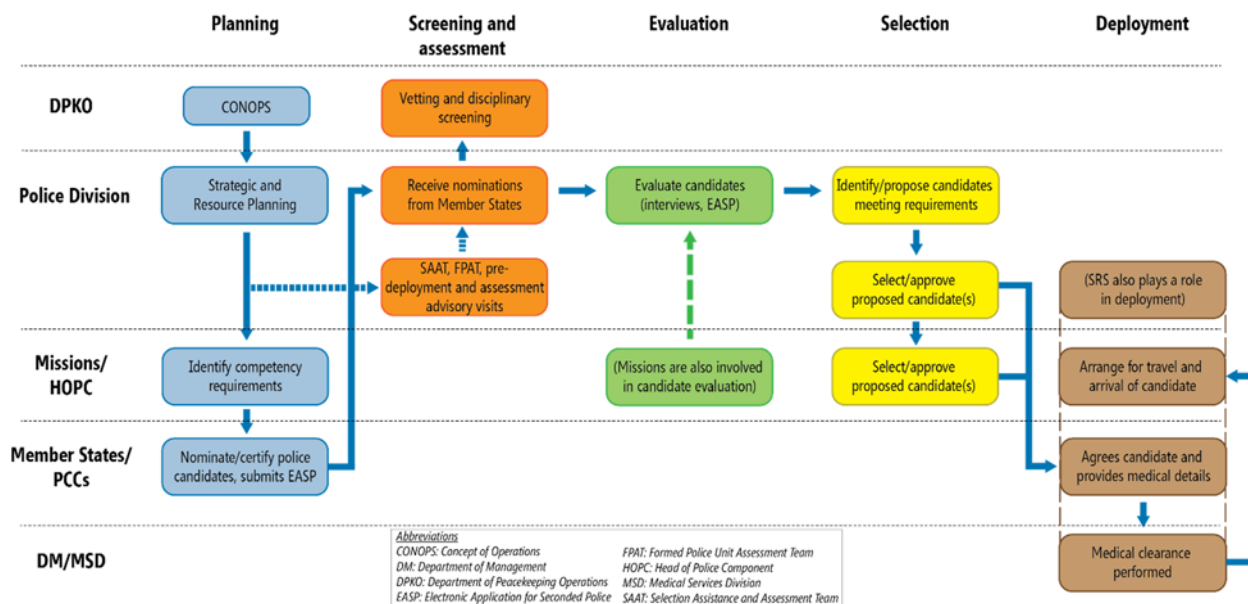
Source: Developed by OIOS based on data provided by DPKO.

4. The Police Division's Selection and Recruitment Section (SRS), within the Department of Peacekeeping Operations (DPKO) is responsible for the recruitment and deployment of police personnel to

the field, including soliciting invitations from Member States for qualified candidates, assessing candidates' competencies through interviews and aptitude testing, and facilitating clearances and candidate vetting.

5. In 2016, SRS processed 3,164 applications for vacant or renewing IPOs, and 58 FPU's (involving the assessment of 9,357 personnel).

Figure 2 Overview of steps in United Nations Police recruitment



Source: Developed by OIOS based on information provided by DPKO.

6. Comments provided by DPKO are incorporated in italics.

II. AUDIT OBJECTIVE, SCOPE AND METHODOLOGY

7. The objective of the audit was to assess the adequacy and effectiveness of processes at Headquarters regarding efficient, timely and accountable recruitment for United Nations Police.

8. This audit was included in the 2016 work plan due to the operational and reputational risks related to the recruitment process and to address a request by the former Secretary-General made in his response (S/2016/952) to the external review of the Police Division¹.

9. OIOS conducted this audit from February to August 2017. The audit covered the period from January 2015 to February 2017. Based on an activity-level risk assessment, the audit covered higher and medium risk areas in the recruitment processes for United Nations Police, which included: strategic workforce planning and needs assessment; recruitment and assessment policies and procedures; financial and human resources and organization; information management and systems; and quality assurance and oversight.

10. The audit methodology included: (a) interviews of key personnel within Police Division and other parts of the United Nations Secretariat; (b) reviews of relevant documentation, including policies,

¹ External Review of the Functions, Structure and Capacity of the United Nations Police Division, 31 May 2016.

guidelines, standard operating procedures and other instructions relating to recruitment of United Nations Police; (c) analytical reviews of data on recruitment actions and other related activities; and (d) testing of recruitment processes and results for a sample of United Nations Police recruitment actions through physical observation and walk-through of recruitment exercises. OIOS also observed the assessment of candidates for mission service conducted by a Selection Assessment and Assistance Team (SAAT) within a Member State (a SAAT visit).

11. Throughout the audit, Police Division identified a number of initiatives that it had recently taken to enhance the effectiveness and transparency of recruitment processes. These initiatives were considered by OIOS in preparing this report, and some of them are discussed within.

12. The audit did not examine recruitment processes performed at mission-level within United Nations peace operations (including procedures surrounding deployment and in-mission utilization of police personnel). Also, in order to avoid overlap with the concurrent evaluation of FPU's being conducted by DPKO, the audit focused primarily on recruitment of IPOs and personnel serving against professional posts.

13. The audit was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.

III. AUDIT RESULTS

A. Strategic workforce planning and needs assessment

Adequate mechanisms were in place for assessing and anticipating needs of United Nations Police

14. The SRS standard operating procedure (SOP) provides that one of the primary roles of SRS is to identify current and projected deployment needs and required policing competencies.

15. SRS worked closely with missions to obtain information on and analyze mission policing needs. Although, at the mission level, Police Division was not always invited to participate in strategic or civilian capacity reviews, or could not participate because of a lack of budget, SRS nevertheless conducted regular recruitment campaigns. SRS sought information from missions on anticipated requirements for specific police skills and used this information to invite PCCs to provide potential officers for assessment for deployment as IPOs or as civilian police experts. SRS also participated in planning and budgeting processes for new missions and for extensions and changes to existing mission mandates, providing input on aligning mission budgets with policing requirements. OIOS concluded that the Police Division, within its available resources, implemented mechanisms to identify and respond to anticipated mission needs for United Nations Police.

Further effort was required to diversify the pool of PCCs

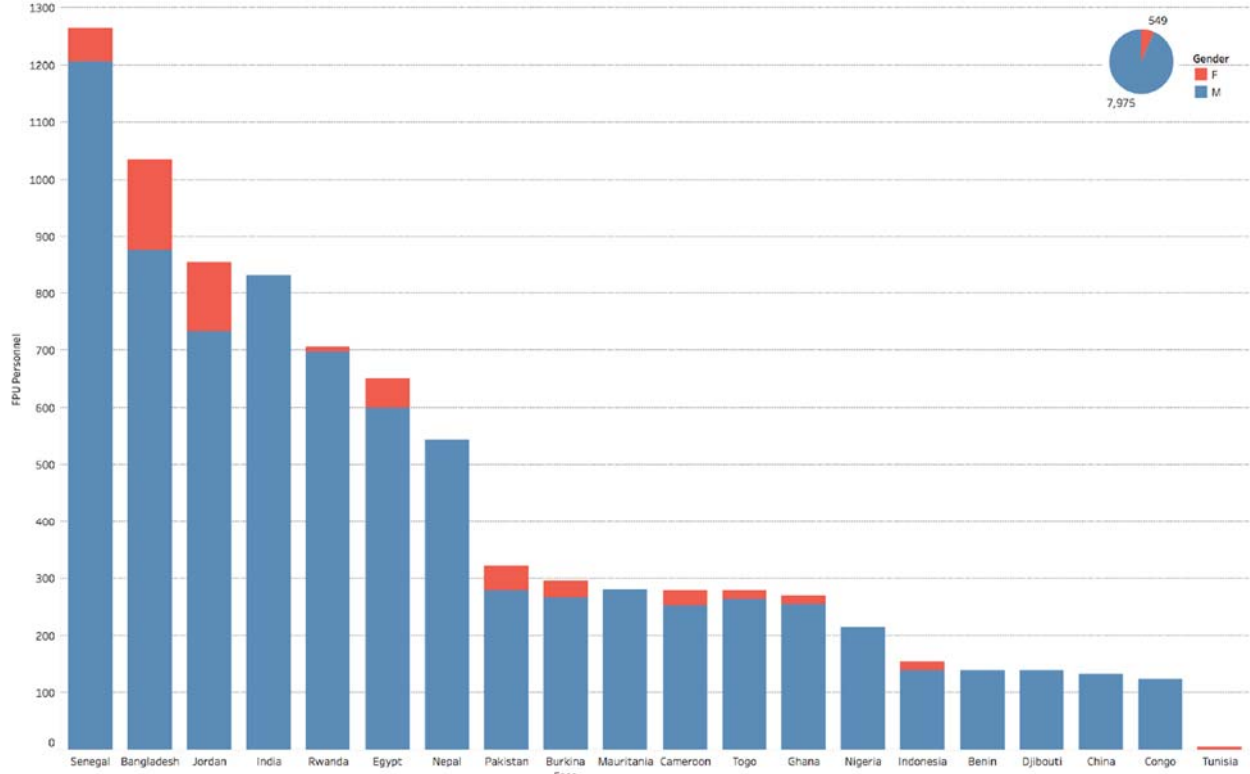
16. The March 2014 United Nations Police Vision and Multi-Year Strategy (United Nations Police Towards 2020: Serve and Protect to Build Peace and Security) requires that the Police Division increase outreach to diversify contributions from across all Member States. The 2016 external review of the functions, structure and capacity of the Police Division also noted that the Division must continue to work with PCCs to ensure that a wider range of countries offer police expertise to the United Nations.

17. The Police Division had undertaken a number of initiatives to improve the pool of active PCCs. For example, Police Division held formal and informal workshops and meetings with Member States on the skills required by missions for policing activities. The Division also developed comprehensive guidance

for Member States on the requirements and processes for the selection and assessment of United Nations Police personnel. Police Division was expanding the use of its Internet portal to provide information to prospective contributors of the specific policing skills required by missions and New York Headquarters.

18. However, the United Nations continues to rely heavily on contributions from a small number of PCCs. The bulk of FPU personnel come from Africa and Asia. As at December 2016, seven countries contributed 5,885 (69 per cent) of the total 8,524 FPU personnel. A further 13 countries contributed the remaining 31 per cent (see Figure 3).

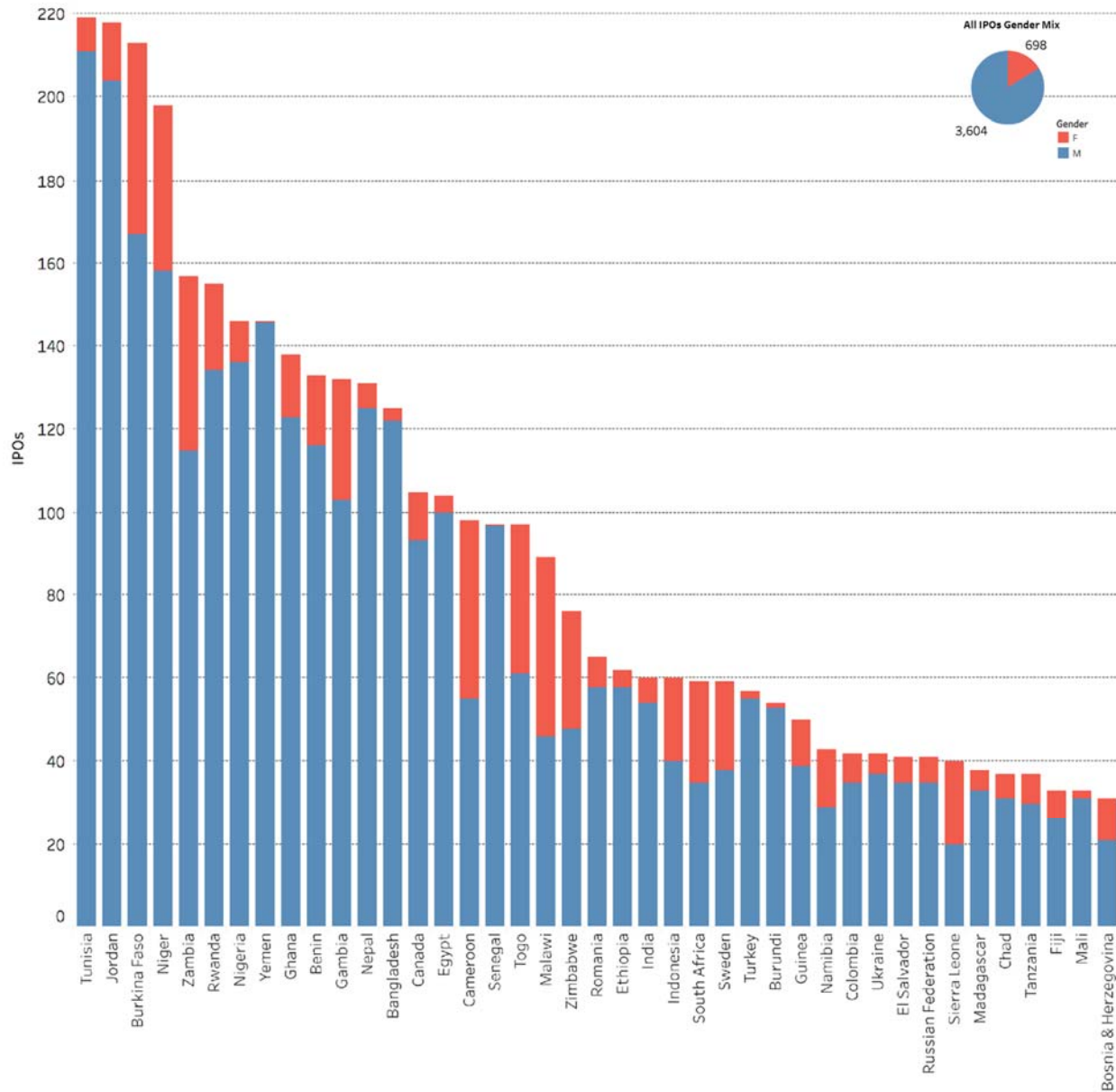
Figure 3 Country contributions and gender balance of FPU personnel



Source: Developed by OIOS based on data provided by DPKO.

19. IPO contributions come from a comparatively broader geographic pool, although the top 12 contributors (from a total of 88 contributors), representing 2,111 (or 49 per cent) of the total 4,302 IPO personnel, were still from Africa and Asia (see Figure 4). By way of contrast, 6 of the top 12 contributors in January 2000 were from Europe.

Figure 4 Country contributions and gender balance of individual police officer personnel



Source: Developed by OIOS based on data provided by DPKO.

20. The Police Division had increased its outreach to Member States to improve diversity of the PCCs. The continued implementation of the Peacekeeping Capability Readiness System and the planned redesign of the FPU concept (with smaller, more defined police expert and specialized teams) also promise to encourage more diverse PCC contributions. However, OIOS noted little formal information and analysis of the reasons for the current geographical makeup of United Nations Police, and the Police Division had no specific target for diversification. The results of such analyses can inform consultations in future Heads of Police Component conferences and United Nations Chiefs of Police Summits.

(1) DPKO should identify and analyze the current factors contributing to or inhibiting the provision of police personnel by a greater cross section of Member States, and use this information to inform the development of a strategic plan to enhance the pool of Police Contributing Countries.

DPKO accepted recommendation 1 and stated that DPKO would analyze the current factors affecting police contribution and develop a roadmap to achieve wider contribution. Recommendation 1 remains open pending receipt of the analysis and roadmap.

Further efforts are needed to meet targets for the representation of women within United Nations Police

21. In 2009, the United Nations launched an effort to increase the number of female police officers deployed to the United Nations, with a goal of raising their numbers to 20 per cent by 2014, up from 8 per cent. The goal was reaffirmed through Security Council resolution 2242 (2015), which mandates the United Nations to double its female police representation by 2020.

22. Accordingly, DPKO and the Department of Field Support (DFS) instituted the Policy on Gender Equality in United Nations Peacekeeping Operations (2010/25), which provides that Police Division shall advocate for the adoption of gender sensitive policies that support the increased recruitment and deployment of uniformed women to peacekeeping. The Policy also requires that civilian personnel recruitment, retention and promotion procedures be planned to advance gender balance. DPKO appointed a Gender Adviser at Headquarters and established gender advisers in 5 missions, aiming to increase the number of missions to 10 by the end of 2016. DPKO advised that as at June 2017, all peacekeeping missions have gender advisers, and there are more than 100 gender focal points in the field.

23. Despite various ongoing efforts within Police Division and some improvements, women's representation among United Nations police remains below the 20 per cent target. As at January 2018, women comprised 9.7 per cent of overall police positions in the field (albeit with a greater percentage of women in IPO roles than in FPU's).

24. The Police Division advised that the slower than anticipated progress in this area was linked to low rates of women in national police forces, especially in senior roles, resulting in a low number of nominations received from PCCs. Of the around 12,000 candidates nominated by Member States to participate in SAAT assessments during 2015 and 2016, 17 per cent were women, with about 16 per cent of them meeting the requirements for deployment. The Police Division has conducted SAAT visits specifically dedicated to assess female candidates, resulting in the deployment of 218 women officers. Nevertheless, DPKO needed to do more to increase the representation of women within United Nations Police.

(2) DPKO should include in its action plan for achieving the target for the representation of women within United Nations Police, specific activities and timelines, including publishing additional information on the gender balance across different types of United Nations Police positions, as well as on the rates of nomination by Member States of women to fill policing requirements.

DPKO accepted recommendation 2 and stated that Police Division had developed action plans that would be shared with Member States. Reaching the target will depend on Member States' commitment and nominations. Recommendation 2 remains open pending receipt of the action plans.

Number of candidates assessed at SAAT visits need to be better aligned to expected eventual deployment

25. The SOP on Assessment of Individual Police Officers for Service in United Nations Peacekeeping Operations and Special Political Missions (the SAAT SOP) provides that the number of candidates to be assessed during a SAAT visit should be in proportion to the Member State's current or imminent level of contribution of United Nations Police. The SAAT SOP also provides that Member States should apply pre-

selection processes to ensure that candidates submitted for assessment match the range of policing skills currently required by United Nations missions.

26. Of the 15 SAAT visits in 2016 involving the most candidates (8,456 in total, 529 on average), there was significant variation between the number of candidates submitted for assessment and those assessed as suitable. For example, in the case of one PCC involved in a SAAT for English-speaking officers, 466 candidates were submitted for assessment, with 282 assessed as suitable, yet only 12 personnel have been deployed from that PCC. In another case, 500 candidates were submitted for assessment, with 138 assessed as suitable, yet only 40 personnel have been deployed. This was mainly due to the misalignment between the skills possessed, including language skills, by those attending SAAT assessments and those required by missions, as well as limited capacity of missions to absorb additional staff and mission downsizing.

27. The average pass rate for SAAT visits in 2016 was low at 39.8 per cent. Although the SAAT SOP places the onus on the Member State to establish pre-assessment procedures that ensure candidates submitted for SAAT assessment already possess the skills necessary to successfully pass, Police Division continued to accept large numbers of candidates for SAAT testing that were eventually assessed as unsuitable, thus relaxing this requirement. Police Division advised that it was continuing its efforts to ensure that PCCs adequately pre-screen their candidates before submitting them for SAAT assessment.

28. The SAAT visits are time-intensive, and assessing more candidates than are required for actual deployment or that can pass the tests places unnecessary pressure on assessment teams, and results in rising numbers of assessed individuals with little chance of deployment during the two-year period that their assessment remains current.

(3) DPKO should work with Police Contributing Countries to introduce further mechanisms that ensure the number of candidates accepted for Member State-based Assessments for Mission Service are better matched with eventual deployment needs, including the number of personnel and the specific competencies (such as language skills) required by the missions to which candidates are likely to be deployed.

DPKO accepted recommendation 3 and stated that the SAAT SOP was under revision and that new selection mechanisms had been introduced to better assess the skillset requirements for field missions. New recruitment streams had also been identified and the assessment mechanisms were being enhanced to better align with the Strategic Guidance Framework. Recommendation 3 remains open pending notification of the mechanisms introduced to better match the number of candidates accepted for SAAT visits with eventual deployment needs.

B. Management of recruitment process

Resources should be prioritized to complete the planned reviews of recruitment and selection policies and procedures

29. DPKO had established a framework of policies, SOPs and directives for recruitment of United Nations Police, covering aspects of planning, assessment, gender and geographic targets, vetting and human rights screening, mission personnel administration, performance appraisal and extension. SOPs should be regularly reviewed and revised to remain valid and aligned with developments in United Nations policing and to ensure the assessment and selection of United Nations Police personnel are effective.

30. The Police Division in April 2017, following extensive consultation with Member States, issued a revised SOP on Assessment of Operational Capability of Formed Police Units for Service in United Nations

Peacekeeping Operations (the FPAT SOP) and is currently reviewing the SAAT SOP. This latter review was made possible with funding support of a Member State, which hosted a workshop of PCCs and other stakeholders in July 2017 to provide input into the review. However, inadequate budgeted resources, particularly for travel, limited the participation of Police Division staff in these review processes. The review of the SRS SOP was also facing delay due to similar lack of funds for adequate participation of Police Division staff and consultation with Member State and other stakeholders.

31. Additionally, there is no Organization-wide policy framework on the recruitment and use of seconded personnel. For example, although administrative instructions have been issued relating to the recruitment of staff, temporary personnel, individual contractors and consultants, no overarching rules (such as those related to breaks in service, payment of allowances and other benefits, eligibility for subsequent employment, and rules relating to independence and preventing conflicts of interest situations) exist for seconded personnel. This meant that the DPKO-developed guidance, including the SRS SOP, are the primary source of rules relating to the use of such personnel. (There were 169 seconded posts designated for active-duty military and police specialists in DPKO and DFS in the peacekeeping support account for 2016/17.)

(4) DPKO should establish clear timelines for the review and revision of standard operating procedures governing the work of the Selection and Recruitment Section of the Police Division, and prioritize appropriate human and financial resources to meet those timelines.

DPKO accepted recommendation 4 and stated that the SRS SOP and SAAT SOP were currently under review. Recommendation 4 remains open pending notification of the timelines for completing the reviews, and human and financial resources allocated to perform the review.

(5) DPKO should, as part of the review of the standard operating procedures governing the work of the Selection and Recruitment Section, engage with other relevant parts of the Secretariat to develop overarching guidance on the recruitment and terms of engagement of seconded uniformed personnel to ensure alignment with Organization's norms and standards, including those relating to independence and conflict of interest.

DPKO accepted recommendation 5 and stated that DPKO and DFS would, with the Office of Human Resources Management (OHRM), review and develop new guidance and SOPs to standardize the procedures for seconded uniformed personnel. Recommendation 5 remains open pending receipt of the guidance and SOPs.

Assessment procedures need to be reviewed and revised to ensure systematic and consistent assessment of candidates against established competencies and United Nations core values

32. The SRS SOP outlines the key steps to be performed by SRS in the recruitment and assessment of United Nations Police, including those for assessing candidate competencies through interviews and aptitude testing.

33. OIOS reviewed the recruitment process followed for four IPO campaigns during 2016 (involving the nomination of 281 candidates from 32 PCCs) and 11 recruitment campaigns for professional posts (involving the nomination of 170 candidates from 84 PCCs). In addition, as part of audit testing performed while observing a SAAT visit, OIOS reviewed 333 examination papers and conducted a detailed assessment of the results scoring for 50 candidates. During these reviews, OIOS noted that the requisite procedures were generally followed. However, the assessors did not consistently record results of the recruitment process in the information technology systems. For example, some important records such as the

composition of interview panels and detailed results of interviews and notes on the final decision were not easily accessible, since some of this information was only available through perusal of paper files or was inconsistently filed electronically on network storage. Police Division advised that it is beginning to utilize information technology systems such as HERMES and others to securely store and manage documentation resulting from the assessment process.

34. In 2016, the Police Division completed the development of an overall policy foundation for United Nations Police, referred to as the Strategic Guidance Framework for International Police Peacekeeping (the SGF). The SGF details key competencies within the four core pillars of United Nations Police: Administration; Capacity Building and Development; Command; and Operations. Qualified personnel will need to be assessed against the four core competencies. However, the Police Division had yet to update the existing assessment procedures and tools to ensure adequate evaluation of candidates' competencies against the four core pillars. The Police Division had also not developed pre-defined standard questions to probe candidate skills against United Nations core competencies. OIOS also noted that there were varying levels of experience of the interviewers participating in interview panels, which contributed to possible lack of consistency and comparability of interview results across different assessment exercises and between those conducted at Headquarters and in the field. Police Division advised that it had requested field missions to ensure that IPOs involved in interview panels attend the same competency-based interview training that SRS staff members are required to complete.

35. The Police Division's current review of the SAAT SOP provides an opportunity to address the above-mentioned issues, as well as include an assessment of the written, aural and interview parts of the recruitment process to ascertain whether these aspects are adequately assessing candidates' competencies against the SGF requirements. DPKO also needs to consider the use of expanded assessment tools that systematically and consistently assess broader United Nations core values. Similar tools are already being used in the recruitment of staff within the United Nations Secretariat, including officers of the Security and Safety Service at United Nations Headquarters.

(6) DPKO should update the techniques used for assessing candidates for United Nations Police. This could include evaluating candidates against the core competencies specified in the Strategic Guidance Framework for International Police Peacekeeping and, in consultation with OHRM, exploring the expanded use of psychometric and character testing methodologies to better ensure that candidates demonstrate United Nations values.

DPKO accepted recommendation 6 and stated that the revised SAAT SOP would include new standard operating and assessment procedures related to United Nations competencies and the Strategic Guidance Framework. SRS would also coordinate with OHRM and explore the possibility of using new tools for the assessment of candidates. Recommendation 6 remains open pending receipt of evidence of actions taken to update the techniques used for assessing candidates for United Nations Police.

Police Division improved preventive measures against misconduct and potential fraud but needed personal declarations from IPOs

36. The SRS SOP requires that Member States certify that personnel nominated for service as United Nations Police have not been convicted of or investigated for serious crimes or violations of international human rights or humanitarian law.

37. Through controls implemented in Police Division's information technology system (HERMES), SRS routinely ensured that such certifications were received prior to recommending candidates for deployment. In addition, for candidates that had previously served in United Nations peace operations, SRS

reviewed prior performance assessments. SRS also implemented a system that facilitates automated checking for any history of misconduct.

38. The Police Division also recently amended the declaration required to be provided by all Member States when nominating personnel to include a further certification that there was no corruption or fraud in the nomination and extension procedures of police officers on secondment. SRS checks to ensure that such a declaration has been received from the Member State authority before clearing any candidate for deployment. However, no such personal declaration was sought from IPOs upon deployment. Such a declaration would emphasize the Organization's zero tolerance approach to fraud and corruption and provide an opportunity for individuals to report any knowledge of such activities and should be considered in the ongoing review of the SRS SOP. Police Division advised that it was working to include additional declarations regarding fraud and corruption from IPOs, and was also planning to conduct annual workshops with missions and Police Division recruiters to provide guidance and obtain feedback to continue to improve the recruitment process. In light of this, OIOS did not make a recommendation on this issue.

Enhanced guidance was needed on the assessment process as well as more involvement of Police Division staff in SAAT visits

39. The SAAT SOP covers issues related to the composition of assessment teams, including mechanisms for training and certifying SAAT instructors. Police Division runs annual workshops for individuals nominated to act as SAAT instructors. The SAAT Guidelines provide that whenever possible, members of a SAAT should include both SRS staff and serving United Nations police officers.

40. OIOS observed the administration of one SAAT visit in 2017, and noted that some details (such as whether to assess additional candidates not on the earlier-provided list, whether candidates could leave the examination room during testing, or how to maintain security and custody of testing materials) were left for decision during the assessment itself, contributing to some disorganization, which could potentially undermine the testing procedure. Although, the conduct of SAAT testing should remain flexible and adapted to the circumstances of the location, in OIOS' view, clearer guidance on the detailed mechanics of the testing needs to be provided in the revised SAAT SOP and discussed and agreed among the assessment team beforehand. This would ensure that testing is conducted as consistently as possible across different SAAT visits.

41. Of the 17 SAAT visits conducted in 2016 by the Police Division, 6 involved the participation of SRS staff due to limited available resources, as referred to above. Therefore, SAAT visits were frequently managed by a SAAT leader nominated by the peacekeeping mission. In these cases, the mission SAAT leader may not have a complete understanding of the broader organizational policies and positions that a representative from SRS would possess, which is important as SAAT visits involve liaison and interactions with Member State authorities on ancillary matters related to support and contributions to United Nations policing. Police Division advised that the issue of certification of potential SAAT leaders was discussed in-depth at the recent workshop examining procedures related to SAAT visits. As a result, a number of steps will be taken during future SAAT leader certification exercises to provide further training and to better equip leaders with detailed technical knowledge on conducting SAAT visits. Police Division also acknowledged that there were potential negative consequences resulting from an over-reliance on mission staff for leading the conduct of SAAT visits, although inadequate financial resources limited the ability of SRS Headquarters staff to participate in all SAAT visits.

(7) DPKO should improve the effectiveness of Member State-based assessment missions (SAAT visits) by exploring the possibility of increasing Police Division Headquarters staff participation in/leadership of all SAAT visits.

DPKO accepted recommendation 7 and stated that Police Division would increase its participation in SAAT visits during 2018 and 2019, in spite of budgetary constraints, and, subject to the approval of the leadership of DPKO, request additional resources to address resource limitations. Recommendation 7 remains open pending receipt of evidence that DPKO has taken steps to increase Police Division Headquarters staff participation in/leadership of all SAAT visits.

C. Human resources management

The structure and resources for SRS need to be clarified

42. A proposal by the Secretary-General in 2010 (A/65/624) called for the restructuring of the then Mission Management and Support Section (MMSS) into two sections: one (the current MMSS) to focus on mission management and support; and the other, SRS (to be staffed by human resources specialists), serving in a dedicated capacity to focus on all processes related to the recruitment, selection and deployment of police personnel. The change was also intended to provide separate focus on the effective and efficient selection and recruitment of qualified police experts and well-prepared and equipped FPUs for peacekeeping operations. In 2011, the General Assembly approved the Secretariat's proposal for the redeployment of 16 posts from MMSS to the newly established SRS. The Secretariat intended to seek additional resources at a later date based on the experience gained by the establishment of SRS.

43. Since the initial creation of SRS in 2011, the number of posts has remained constant, even though the workload has increased. For example, the number of deployed FPUs has increased from 56 (comprising 7,873 personnel) in 2011 to 65 (8,524 personnel) in 2016, representing potential reimbursement costs to the Organization of \$290 million in 2017/18. This has placed additional pressure on SRS staff to reasonably perform its core functions, particularly as one post originally intended for the FPU Coordination Unit has been utilized by the Office of the Police Adviser in recent years due to priority needs in this Office. Also, the deployment of FPUs requires significant additional tasks related to the assessment of operational capabilities of the personnel and equipment associated with each FPU.

44. DPKO had accepted a previous OIOS recommendation (Report 2015/069) that resources with respect to the functions performed by the FPU Coordination Unit were inadequate and agreed to review the current structure and workload and allocate adequate resources. However, as this recommendation is yet to be implemented, no additional recommendation has been made. OIOS reiterates the importance of timely implementation of its earlier recommendation.

45. DPKO had not yet updated its current Secretary-General's bulletin on the organization of DPKO (ST/SGB/2010/1) to reflect the creation of SRS and its responsibilities. The current SRS SOP also does not outline the structure of SRS and its organizational and functional relationships with other parts of Police Division. DPKO advised that approval of draft amendments to the Secretary-General's bulletin may be delayed due to ongoing management reforms in the Secretariat. In light of this, no recommendation is made on this issue at this time.

Responsibility for processing the secondment of police officers to Headquarters needed review to allow SRS to focus on field recruitments

46. In addition to recruiting and deploying police personnel to the field, SRS is responsible for recruiting and assessing officers seconded to positions within Police Division at New York Headquarters. In 2016, 1,204 applications for Headquarters positions were received, with 38 Headquarters posts recruited and 48 Headquarters secondments extended. This responsibility diverts the already limited resources of SRS from its primary focus of field-based recruitment and assessment activities, as well as Member State engagement and planning of field-based policing requirements. The relocation of this responsibility to other

parts of Police Division (with each section taking the lead for their respective recruitment exercises and SRS retaining a more limited role for coordination, standard setting, and compliance and oversight of the recruitment process) would allow SRS to focus on meeting field-based policing needs.

(8) DPKO should review the allocation of responsibility for filling and extending contracts of personnel seconded to Headquarters positions in the Police Division, with a view to focusing the Selection and Recruitment Section's activities on field-based policing needs, while maintaining an appropriate oversight and coordination role.

DPKO partially accepted recommendation 8, noting that each Police Division entity now leads the filling of vacancies in their section, with SRS maintaining an appropriate oversight and coordination role to ensure compliance with minimum standards and transparency. Police Division Senior Management, under the leadership of the Police Adviser, made the final decision to extend contracts. Recommendation 8 remains open pending receipt of the results of the review of responsibilities allocated to SRS.

Development and regular measurement of performance indicators were needed to improve monitoring of recruitment timeliness

47. Recent reviews² have suggested that the current recruitment process for United Nations Police positions in field missions is lengthy, contributing to substantive delays in getting the correct capacity to the field. A study was conducted prior to the introduction of HERMES in 2015 to identify processing times at each step, but no similar work has been done since. According to available data in HERMES, average processing time for recruiting IPOs once nominated was over 270 days in 2016. Police Division advised that the time taken to recruit seconded police staff at Headquarters or in the field was even greater. OIOS noted that some of the factors contributing to the length of the recruitment process were outside the influence of Police Division. These include the Human Rights Screening of senior candidates conducted by the Office of the United Nations High Commissioner for Human Rights, obtaining appropriate personnel from other parts of the Secretariat to participate in assessment panels, and processing of medical clearances and arrangements for travel of candidates by the Department of Management. Police Division advised that a further a significant challenge for the recruitment of IPOs remains the timely identification of the various skills required by particular missions.

48. The Police Division had begun to enhance HERMES business intelligence tools that will enable better identification of the average processing time for various steps in the recruitment of United Nations Police. However, the Division had not yet used this information to develop indicators for routinely measuring performance and assessing the effect of improvements to recruitment and assessment processes. For example, the development of the HERMES information technology system and recent changes to SRS processes were claimed to have resulted in efficiencies in recruitment activities, particularly with respect to disciplinary and medical clearances procedures. Nonetheless, the impact of these changes and the resultant reductions in processing time were not regularly monitored and reported. Police Division advised that as the reliability of information maintained in HERMES improves, more use will be made of the system for monitoring the recruitment process and developing appropriate performance measures and targets.

(9) DPKO should develop performance targets for key recruitment processes for better monitoring to improve the timeliness of police recruitment, including steps involving partners outside of Police Division.

² For example, see *External Review of the Functions, Structure and Capacity of the United Nations Police Division*, 31 May 2016, paras 83–86, which noted that the average time taken for Headquarters recruitment was 349 days.

DPKO accepted recommendation 9 and stated that Police Division would consult with relevant actors and develop performance targets for recruitment of all uniformed personnel, particularly those within DPKO/DFS. Recommendation 9 remains open pending receipt of the performance targets.

D. Information management and systems

Timeline for completion of the expansion and enhancements to HERMES was needed

49. The reports of the High-Level Independent Panel on United Nations Peace Operations and the External Review of the Functions, Structure and Capacity of the United Nations Police Division reiterated earlier calls to improve DPKO business processes to provide more efficient and informed procedures and decision-making in the recruitment and assessment of United Nations Police.

50. Police Division implemented HERMES in 2015 to collect and track information on basic clearances for IPOs. The HERMES system currently allows for the automated screening of candidates through interfaces with the Misconduct Tracking System maintained by the Conduct and Discipline Unit. It also records and monitors a candidate's progression through the assessment process, including the receipt of medical clearances, results of SAAT visit testing and interviews, as well as performance evaluations undertaken during mission service.

51. DPKO proposed enhancements to HERMES in 2017 to provide more efficient and comprehensive collection of data directly from PCCs on candidates, as well as to expand its use to include individuals deployed as part of FPU or against professional posts. However, DPKO did not have a specific timeframe for completion of the upgrades to HERMES. In OIOS' view, to better monitor the deployment and usage of individuals within missions, the proposed enhancements should also include:

- Capturing and reporting data on the skill and gender composition of candidates nominated for service by Member States; and
- Implementing the original proposal that envisaged enabling the system to be used to monitor the deployment and usage of individuals within missions. This was not prioritized during the design stage of the development of the system and thus limits the effective monitoring of utilization of specialized skills of IPOs.

52. Police Division advised that although some additional modules for the recruitment of professional posts and for monitoring the usage of police personnel within missions are now in production, much of the development work on HERMES is performed by staff outside of Police Division (for example by technical staff at the United Nations Logistic Base in Valencia) over which the Division had no control. Nevertheless, establishing clear timelines for the phased enhancement of HERMES would allow prioritization of requests for resources and development work, and facilitate more timely monitoring and implementation of expanded HERMES functionality.

(10) DPKO should establish a timeline for the enhancement of the recruitment system, HERMES, which should also include: (i) enhanced data capture and reporting of the skill and gender composition of candidates nominated for service by Member States; and (ii) implementation of the original proposal that envisaged enabling the system to be used to monitor the deployment and usage of individuals within missions.

DPKO accepted recommendation 10 and stated that Police Division had already requested the envisioned enhancements to HERMES, which were subject to approval by DFS and DPKO leadership and to the availability of funds. Police Division would also explore potential alternatives for funding

the HERMES enhancements. Recommendation 10 remains open pending notification of the timeline established by DPKO for the enhancement of the HERMES recruitment system.

E. Quality assurance and oversight

Oversight of recruitment needed enhancement

53. The Police Division Standards Compliance and Audit Officer position envisaged by the 2012 Policy on Internal Evaluations and Inspections of United Nations Police was assigned responsibility for the evaluation and inspection of procedures, practices or programmes in the Police Division and in the police components in peace operations. SRS is also assigned responsibility for monitoring compliance with the specific policies related to recruitment and assessment by field Missions.

54. Although DPKO initially established the position of Compliance and Audit Officer, it was discontinued in 2013 due to budget cuts. While SRS implemented controls aimed at enhancing transparency of recruitment and selection decisions and mitigating potential conflict of interest, there was limited systematic analysis of lessons learned during recruitment processes, or independent oversight of recruitment and assessment activities, especially those undertaken within missions.

55. In OIOS view, enhanced oversight of recruitment and selection activities would provide independent assurance that relevant policies and procedures are being followed, especially within missions, and would also allow for formal identification of areas of potential weakness and for lessons learned during assessment processes to inform strategic planning and improvements to existing activities. It will be important that these functions be assigned and staffed at an appropriate level to attain the independence necessary for the effective discharge of the oversight functions.

(11) DPKO should assign the functions of the Police Division Standards Compliance and Audit Officer so that independent oversight and evaluation of recruitment and other activities envisaged by the Policy on Internal Evaluations and Inspections of United Nations Police are performed.

DPKO accepted recommendation 11 and stated that Police Division would request, within the submission of next year's proposed budget for the support account, the establishment of a Standards Compliance and Audit Officer to ensure independent oversight of Police Division activities. Recommendation 11 remains open pending receipt of evidence that the functions of the Police Division Standards Compliance and Audit Officer have been assigned.

IV. ACKNOWLEDGEMENT

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

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

STATUS OF AUDIT RECOMMENDATIONS

Audit of recruitment of United Nations Police

Rec. no.	Recommendation	Critical ³ / Important ⁴	C/ O ⁵	Actions needed to close recommendation	Implementation date ⁶
1	DPKO should identify and analyze the current factors contributing to or inhibiting the provision of police personnel by a greater cross section of Member States, and use this information to inform the development of a strategic plan to enhance the pool of Police Contributing Countries.	Important	O	Provision of the analysis of the current factors contributing to or inhibiting the provision of police personnel by a greater cross section of Member States and the strategic plan developed to enhance the pool of PCCs.	31 March 2019
2	DPKO should include in its action plan for achieving the target for the representation of women within United Nations Police, specific activities and timelines, including publishing additional information on the gender balance across different types of United Nations Police positions, as well as on the rates of nomination by Member States of women to fill policing requirements.	Important	O	Provision of the action plan that includes specific activities and timelines to achieve the target on representation of women in United Nations Police, including publishing additional information on the gender balance and the rates of nomination of women by Member States.	31 March 2020
3	DPKO should work with Police Contributing Countries to introduce further mechanisms that ensure the number of candidates accepted for Member State-based Assessments for Mission Service are better matched with eventual deployment needs, including the number of personnel and the specific competencies (such as language skills) required by the missions to which candidates are likely to be deployed.	Important	O	Notification of mechanisms introduced by DPKO to better match the number of candidates accepted for SAAT visits with eventual deployment needs.	31 March 2019

³ 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.

⁴ 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.

⁵ C = closed, O = open

⁶ Date provided by DPKO in response to recommendations.

STATUS OF AUDIT RECOMMENDATIONS

Audit of recruitment of United Nations Police

Rec. no.	Recommendation	Critical ³ / Important ⁴	C/ O ⁵	Actions needed to close recommendation	Implementation date ⁶
4	DPKO should establish clear timelines for the review and revision of standard operating procedures governing the work of the Selection and Recruitment Section of the Police Division, and prioritize appropriate human and financial resources to meet those timelines.	Important	O	Notification of the timelines established for the review and revision of SOPs governing the work of SRS, and human and financial resources allocated to perform the review.	31 March 2019
5	DPKO should, as part of the review of the standard operating procedures governing the work of the Selection and Recruitment Section, engage with other relevant parts of the Secretariat to develop overarching guidance on the recruitment and terms of engagement of seconded uniformed personnel to ensure alignment with Organization's norms and standards, including those relating to independence and conflict of interest.	Important	O	Provision of evidence that DPKO has engaged with other relevant parts of the Secretariat to develop overarching guidance on the recruitment and terms of engagement of seconded uniformed personnel.	30 June 2019
6	DPKO should update the techniques used for assessing candidates for United Nations Police. This could include evaluating candidates against the core competencies specified in the Strategic Guidance Framework for International Police Peacekeeping and, in consultation with OHRM, exploring the expanded use of psychometric and character testing methodologies to better ensure that candidates demonstrate United Nations values.	Important	O	Provision of evidence of actions taken to update the techniques used for assessing candidates for United Nations Police.	31 March 2019
7	DPKO should improve the effectiveness of Member State-based assessment missions (SAAT visits) by exploring the possibility of increasing Police Division Headquarters staff participation in/leadership of all SAAT visits.	Important	O	Provision of evidence that DPKO has taken steps to increase Police Division Headquarters staff participation in, and leadership of, all SAAT visits.	30 September 2019

STATUS OF AUDIT RECOMMENDATIONS

Audit of recruitment of United Nations Police

Rec. no.	Recommendation	Critical ³ / Important ⁴	C/ O ⁵	Actions needed to close recommendation	Implementation date ⁶
8	DPKO should review the allocation of responsibility for filling and extending contracts of personnel seconded to Headquarters positions in the Police Division, with a view to focusing the Selection and Recruitment Section's activities on field-based policing needs, while maintaining an appropriate oversight and coordination role.	Important	O	Provision of the results of the review of responsibilities allocated to SRS.	30 June 2019
9	DPKO should develop performance targets for key recruitment processes for better monitoring to improve the timeliness of police recruitment, including steps involving partners outside of Police Division.	Important	O	Provision of the performance targets developed on the recruitment of uniformed personnel.	30 June 2019
10	DPKO should establish a timeline for the enhancement of the recruitment system, HERMES, which should also include: (i) enhanced data capture and reporting of the skill and gender composition of candidates nominated for service by Member States; and (ii) implementation of the original proposal that envisaged enabling the system to be used to monitor the deployment and usage of individuals within missions.	Important	O	Notification of the timeline established by DPKO for the enhancement of the HERMES recruitment system.	30 September 2019, depending on availability of technical resources
11	DPKO should assign the functions of the Police Division Standards Compliance and Audit Officer so that independent oversight and evaluation of recruitment and other activities envisaged by the Policy on Internal Evaluations and Inspections of United Nations Police are performed.	Important	O	Provision of evidence that the functions of the Police Division Standards Compliance and Audit Officer have been assigned.	30 September 2019

APPENDIX I

Management response



UNCLASSIFIED

Immediate

TO: Muriette Lawrence-Hume, Chief, New York Audit Services,
A: Internal Audit Division
OIOS

DATE:

FEB 07 2018

REFERENCE: 2018.UNHQ.AR-BOI.MEMO.36710.8

THROUGH:
S/C DE:

FROM: Lisa Buttenheim, Assistant Secretary-General
DE: for Field Support

A handwritten signature in black ink, appearing to be 'L. Buttenheim', written over the 'DE:' field of the 'FROM:' line.

SUBJECT: **Draft Report on an audit of recruitment of United Nations Police (Assignment No.**
OBJET: **AP2016/600/02)**

1. I refer to your memorandum dated 4 December 2017 regarding the above-mentioned audit. Please find attached our comments on the findings and recommendations contained in the draft report as Annexes I and II.
2. Thank you for the opportunity to comment on the draft report. We stand ready to provide any further information that may be required.

CC:

Draft Report Audit of recruitment of United Nations Police (AP2016-600-02)

1. Overall, the Department of Peacekeeping Operations (DPKO) welcomes the OIOS audit report, including its recommendations. The Department, however, wishes to make the following comments on the draft report, including those, as earlier communicated to the OIOS:

General comments

2. DPKO notes that the report is overall silent on several initiatives taken, in line with the Secretary-General's report (S/2016/952), by the Police Division to enhance recruitment processes and ensure transparency, including:

- a. ***Separate recruitment streams:*** In an effort to enhance efficiency and transparency in the deployment of qualified police personnel with the requisite skills, the Police Division has *developed separate recruitment streams* for the categories of: (a) *police command*; (b) *police operations*; (c) *police capacity-building and development*; and (d) *police administration*. This approach is in line with the Strategic Guidance Framework and responds to the Police Division External Review recommendations to have separate recruitment streams for the deployment of police personnel that will be employed according to the four functional areas identified to accomplish the different tasks of the current policing mandate. To that end, the Police Division has also developed specific job openings for each category of recruitment streams and advertised to all Member States along with a skill sets table which is reviewed and updated by each mission every six months. In this regard, Heads of Police Components (Police Commissioner/Senior Police Adviser) in the field provide detailed organograms, including vacancy number and type of specialists associated with each proposed job opening. Such information contributes to more efficient staffing planning and rotation. Member States are required to nominate police personnel based on the advertised job openings and number of vacancies identified. Job openings are also posted on the UN police website.
- b. ***Terms and condition for deployment:*** In line with the recommendation of the External Review of the Police Division, the Police Division has analysed the possibility of deploying police and civilian personnel within the *police capacity-building and development* category for an initial period of two years to allow continuity in the reform of host police in peace operations. A one-year tour of duty extension is also being considered, subject to agreement of field missions and Police Contributing Countries (PCCs).
- c. ***Expanded outreach*** to new or under-represented PCCs to maintain a balanced geographical representation of both Individual Police Officers (IPOs) and Formed Police Units (FPUs) is done through various means such as: meetings of the United Nations most senior leadership (The Secretary-General, the Under Secretary-General, the Assistant Secretary-General) with Member States; advocating support for the Security Council for triangular cooperation with PCCs; regular, generic or mission specific PCCs meetings; meetings with individual

Member States; meetings with a group of PCCs; meetings with the Senior Police Advisory Group at Permanent Missions; visits to capitals requesting for police expertise; organization of specific preparatory training for female police officers; outreach through the website on United Nations Police and through the media, United Nations radio, and various specialized magazines.

- d. ***Implementation of policy on Human Rights Screening*** and vetting of United Nations personnel for prior misconduct. Human rights screening has been introduced and conducted for senior appointments. Also, in compliance with the Secretary-General's Report on Special measures for protection from sexual exploitation and sexual abuse (A/69/779), the Police Division is implementing the disciplinary vetting to uniformed contingents. With the new module added to the Recruitment System, Police Division has extended the online disciplinary clearance to all FPU members.
- e. ***Deployment of civilian experts (e.g. Timor-Leste, UNMIL, MINUJUSTH, MINUSCA)***: In order to better contribute to the implementation of capacity building mandates of host nations, Police Division is also deploying civilian experts with the requisite skills. Several missions have proposed to have more posts for civilian experts in police reform.
- f. ***Organisation Internationale de la Francophonie (OIF)***: In order to recruit French-speaking personnel for service with Francophone host-countries, the Police Division has been working closely with partners such as the Organisation Internationale de la Francophonie, including through the provision of training to Francophone countries on how to enhance their police contribution. For instance, Police Division has been able to generate more French-speaking police expertise to deploy to MONUSCO, MINUSMA, MINUSCA and MINUJUSTH. Police Division has thus been able to reduce the United Nations Police vacancy rate in these missions and increase the representation of national and linguistic groups.
- g. ***Formed Police Unit (FPU) Standby arrangement (PCRS)***: A project has been developed to establish a Standby arrangement for FPUs for quicker deployment. As a result of Peacekeeping Summit 2015, over 37 police formed units have been pledged by Member States. With the PCRS, the Police Division has shortened the duration of FPU deployment as well as identified gaps for field missions. Currently a 100 per cent deployment rate has been achieved.
- h. ***Specialised Police Teams***: As a result of commitments made by some Member States, the Specialized Police Team (SPT) approach was identified as an effective and efficient tool in providing resources for the implementation of United Nations Police mandates in field missions. The Heads of Police Component were requested to analyse the in-mission staffing gaps and provide their needs in police experts, which may be requested from the PCCs within the framework of SPT. This initiative also triggered the establishment of the network of resources in the area of combatting Transnational Organized Crime in the missions where this phenomenon is among the mandated priorities. Until today, SPTs have been deployed to UNMISS (SGBV, Protection Unit), MINUSMA (Transnational Organized Team), MINUSTAH (SGBV) and UNMIL (Management and

Training). The Police Division notes that Specialized Police Team is mentioned in the review, but not given sufficient importance. The Police Division would support to explore the SPT concept further (see Annex III).

- i. **Senior Police Leadership Roster:** In order to allow timely deployment of Head of Police Components in field missions, the Police Division has established a “Senior Police Leadership Roster” to streamline the recruitment procedures to identify qualified senior men and women police candidates. The next Senior Leadership Roster campaign, for ONLY female candidate, is planned to start in early 2018.

3. DPKO requests that the afore-mentioned initiatives of the Police Division be mentioned in the report to make it better balanced.

4. The report has not addressed some of the systemic gaps related to staffing, specifically, continuity and institutional memory of UN policing, which have started to become an impediment to police staff welfare and career development. In line with OIOS report recommendations (2008) and based on lessons learnt, the Police Division, including the Standing Police Capacity (SPC) in Brindisi, has established some non-seconded positions in HQ, SPC and in the field to ensure continuity and retain institutional memory. These non-seconded positions require expertise in fields such as police legal, training, police reform, police planning, financing and budgeting, police human resources, and policy development. Such expertise is currently almost non-existent in other UN offices. To avoid the loss of such institutional memory and allow continuity, the Police Division should be able to apply a “non-rotational” policy for such positions, based on the need. DPKO requests that the need to identify possible “non-rotational” positions be reflected in the report.

Paragraph 5

5. With regards to the “key document guiding the work of SRS”, DPKO requests that a reference to the standard operating procedure (SOP) on the Selection of Head of Police Component be also included in the report. In addition, there are more sources of guidance, particularly coming from OHRM (i.e., the Medical Support Manual), as well as a broader framework of rules and procedures that Police Division must follow, including:

- Standard Operating Procedures for the Police Division/SRS (2011)
- Standard Operating Procedures Assessment for Mission Service (SAAT-2012)
- Standard Operating Procedures- Assessment of Operational Readiness of FPU (FPAT-2017)
- Standard Operating Procedures on vacancy management for Head of Police Components (2016)
- Standard Operating Procedures staff selection process for PKOs and SPM (DFS/FPD- 2012)
- UN Administrative Instruction- Staff selection system (ST/AI/2010 of 21 April 2010)
- Memo OHRM- Delegation of Authority to DPKO/DFS on HQ recruitment (2012)
- Note DPKO USG on extension policy (August 2016)
- Policy on United Nations Police in Peacekeeping Operations and Special Political Missions (1 February 2016)
- Guidelines for UN Police on assignment in PKOs (2007).

Figure 2 (under paragraph 5)

6. Concerning the Overview Steps in the United Nations Police recruitment, as indicated in Figure 2 of the draft report, DPKO wishes to clarify that the Police Division also conducts Assessment Advisory Visits to Police Contributing Countries (PCCs) and introduced a performance mechanism for the United Nations police personnel. DPKO requests that Overview Steps in Figure 2 be revised, accordingly.

Paragraphs 20 - 23

7. With regards to the OIOS' observations concerning meeting the target for representation of women, DPKO reiterates that few female officers are reaching higher ranks in their national services, making it very difficult to have them as commanders.

Paragraph 25

8. DPKO wishes to clarify that, while the Police Division's priority remained to ensure that a sufficient number of Individual Police Officers (IPOs) is maintained in all peacekeeping operations (PKOs), the bulk of SAAT visits were directed toward Francophone or bilingual PCCs, as well as concerning the representation of women. Naturally, this is in response to the high turnover of IPOs in those major PKOs. However, the need for Anglophone officers still persists, and those PCCs also receive SAAT visits.

Paragraph 26

9. The Department further informs that the Police Division is modifying the nomination matrix to include the Strategy Guidance Framework skill sets. Candidates without required skill sets will not be assessed/accepted. A candidate is qualified for a skill set with a minimum of two years' experience. The Electronic Application for Seconded Police is to be performed and delivered by the candidate prior to the assessment with a description of their expertise and skill sets.

Paragraph 32

10. DPKO clarifies that Hermes has a feature for recording interviews for Individual Police Officers (IPOs) positions. The results of the interview and the decision are registered in Hermes. Candidates who failed the interview cannot continue the process. For the professional posts, following the instructions, there is a matrix for each candidate and each competency, plus composition of the panel. The details are later uploaded in Comet Plus for decision and processing. Internally, these records are not usually stored in shared drives to avoid breach of confidentiality. In the meantime, the Selection and Recruitment Section (SRS) is pioneering the use of Cosmos, as a safer repository.

Paragraph 47

11. With regards to the OIOS' observation on recruitment timelines, while there is a room for improvement in all DPKO/DFS entities to shorten the duration of deployment of IPOs, this does not seem to be the main problem. DPKO is of the view that the recruitment length

for seconded police staff (Headquarters or field) is not the real issue. The challenge for IPOs recruitment is rather to identify the skill sets required by field missions.

Paragraph 48

12. The OIOS' statement that the Police Division "*...had not used information to develop indicators for routinely measuring performance and assessing the effect of improvements to recruitment and assessment process*" is inaccurate. DPKO reiterates that Hermes is a recent introduction to the recruitment process, gradually implemented since mid-2014. Before that, recruitment was done manually, with limited visibility for clearance and compliance. The system has built-in tools for measurement and reporting, including graphic dashboard through Business Entity Exposure. As the data integrity stabilizes (i.e., some missions are not checking in, others are not checking out), the Police Division will make more use of the existing dashboards. For the monitoring of the recruitment process, the ending and final points have clearly identified. The Police Division manages the process from nominations of candidates up to the request for travel. Then field missions manage the traveling part of the process, in coordination with PCCs. Due to differences in travel procedures and visa requirements, including data points of activities outside SRS, parameters can be skewed. Likewise, using different parameters will also provide misleading timelines, as some deployments were carried out in less than 10 days. The Department, therefore, requests that the second sentence in paragraph 48 of the draft report be re-worded, accordingly.

13. It should also be noted that the Police Division is constantly requesting for upgrades in Hermes but is faced with a lack of resources. For significant upgrades to Hermes, resources need to be made available for their implementation.

Paragraph 55

14. DPKO notes that the OIOS' observation that there is "no independent analysis of lessons learned" or "oversight of recruitment and assessment activities" is too general and inaccurate. In fact, there is full accountability and oversight for each recruitment case. Field mission leadership and the Police Division management are providing oversight on recruitment to ensure transparency. Recruitment processes are recorded on share drives and subject for review. Decision-making has been distributed according to responsibilities. The authority for final deployment remains with the Police Adviser and the Head of Police Components as a result of nominations endorsed by Member States. SOPs are regularly revised based on the need and lessons learnt. Furthermore; interviews are to be recorded with audio recording device; AMS instructor(s) use a standardised interview form for scoring each candidate, and all forms, notes and reports conducted by the members of the SAAT are saved on the SRS shared drive, in accordance with the SRS SOP. Upon request from Member States or their Permanent Missions, these documents can be released upon written application.

Management response

Audit of recruitment of United Nations Police

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
1	DPKO should identify and analyze the current factors contributing to or inhibiting the provision of police personnel by a greater cross section of Member States, and use this information to inform the development of a strategic plan to enhance the pool of Police Contributing Countries.	Important	Yes	Police adviser, DPKO	First quarter of 2019	DPKO will analyze the current factors of police contribution and will develop a roadmap to wider police membership contribution.
2	DPKO should include in its action plan for achieving the target for the representation of women within United Nations Police, specific activities and timelines, including publishing additional information on the gender balance across different types of United Nations Police positions, as well as on the rates of nomination by Member States of women to fill policing requirements.	Important	Yes	Police adviser, DPKO	First quarter of 2020	Police Division has developed action plans and which will be shared with Member States. Reaching the target will depend on member states commitment and nomination.

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.

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
3	DPKO should work with Police Contributing Countries to introduce further mechanisms that ensure the number of candidates accepted for Member State-based Assessments for Mission Service are better matched with eventual deployment needs, including the number of personnel and the specific competencies (such as language skills) required by the missions to which candidates are likely to be deployed.	Important	Yes	Police adviser, DPKO	First quarter of 2019	Selection Assessment and Assistance Team (SAAT) standard operating procedure (SOP) is currently under revisions. New selection mechanism has introduced to better assess the skill set requirements for field missions. New Recruitment Streams have been identified, assessment mechanism is being enhanced to include interviews guidance, competency base, and policing knowledge based on Strategic Guidance Framework.
4	DPKO should establish clear timelines for the review and revision of standard operating procedures governing the work of the Selection and Recruitment Section of the Police Division, and prioritize appropriate human and financial resources to meet those timelines.	Important	Yes	Police adviser, DPKO	First quarter of 2019	Selection and Recruitment Section (SRS) SOP and SAAT is currently under review. Workshop has been conducted in June 2017 in China and inputs from Police Contributing Countries (PCCs) and field missions have been received.
5	DPKO should, as part of the review of the standard operating procedures governing the work of the Selection and Recruitment Section, engage with other relevant parts of the Secretariat to develop overarching guidance on the recruitment and terms of engagement of seconded uniformed personnel to ensure alignment with Organization's norms and standards, including those relating to independence and conflicts of interest.	Important	Yes	Police adviser, DPKO	Second quarter of 2019	DPKO and DFS will review with OHRM the current standard operating procedures governing seconded uniform personnel and develop a new guidance/SOP to standardize the procedures for seconded uniformed personnel.

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
6	DPKO should update the techniques used for assessing candidates for United Nations Police. This could include evaluating candidates against the core competencies specified in the Strategic Guidance Framework for International Police Peacekeeping and, in consultation with the Office of Human Resources Management, exploring the expanded use of psychometric and character testing methodologies to better ensure that candidates demonstrate United Nations values.	Important	Yes	Police adviser, DPKO	First quarter of 2019	SAAT SOP is currently under review. The New SOP will include new standard operating and assessment procedures related to United Nations competencies and Strategic Guidance Framework. SRS will coordinate with OHRM the possibility to use new assessments tools for candidates.
7	DPKO should improve the effectiveness of Member State-based assessment missions (SAAT visits) by exploring the possibility of increasing Police Division Headquarters staff participation in/leadership of all SAAT visits.	Important	Yes	Police adviser, DPKO	Third quarter of 2019	Police Division will increase its participation in SAATs during 2018 and 2019, in spite of budgetary constraints. Subject to the approval of the Leadership of DPKO additional resources will be requested as part of assessed budget and/or external funding to address resources limitations.
8	DPKO should review the allocation of responsibility for filling and extending contracts of personnel seconded to Headquarters positions in the Police Division, with a view to focusing the Selection and Recruitment Section's activities on field-based policing needs, while maintaining an appropriate oversight and coordination role.	Important	Partially	Police adviser, DPKO	Second quarter of 2019	Partially accepted. Steps have already been taken and each Police Division entity is in lead to fill the vacancies in their section, while SRS maintaining an appropriate oversight, coordination, and standard to ensure transparency under Police Adviser and Deputy Police Adviser guidance and instructions. However, extension of contract is maintained as a joint decision by Police Division Senior Management under the leadership of the Police Adviser, to ensure transparency.

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
9	DPKO should develop performance targets for key recruitment processes for better monitoring to improve the timeliness of police recruitment, including steps involving partners outside of Police Division.	Important	Yes	Police adviser, DPKO	Second quarter of 2019	Police Division will consult relevant actors involved in recruitment process of uniformed personnel as the matter is not limited to Police Division recruitment only, but rather to develop performance target for recruitment for all uniformed personnel, in particularly for DPKO/DFS.
10	DPKO should establish a timeline for the enhancement of the recruitment system, HERMES, which should also include: (i) enhanced data capture and reporting of the skill and gender composition of candidates nominated for service by Member States; and (ii) implementation of the original proposal that envisaged enabling the system to be used to monitor the deployment and usage of individuals within missions.	Important	Yes	Police adviser, DPKO	Third quarter of 2019, depending on availability of technical resources	The Police Division already requested to Information Management Component the envisioned enhancements of HERMES, which are subject to the leadership of both departments' approval and availability of funds. The Police Division will explore funding alternatives.
11	DPKO should assign the functions of the Police Division Standards Compliance and Audit Officer so that independent oversight and evaluation of recruitment and other activities envisaged by the Policy on Internal evaluations and inspections of United Nations Police are performed.	Important	Yes	Police adviser, DPKO	Third quarter of 2019	Police Division will request, within the next year submission of Support Account, the establishment of a Standards Compliance and Audit Officer to ensure an independent oversight overall on Police Division activities.