



INTERNAL AUDIT DIVISION

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

Coordinated efforts were needed to improve
the mobility and operational readiness of the
police component to effectively implement the
police mandate

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

EXECUTIVE SUMMARY

The Office of Internal Oversight Services (OIOS) conducted an audit of the United Nations police operations in the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo (MONUSCO). The objective of the audit was to assess the adequacy and effectiveness of the MONUSCO police component in implementing its mandated tasks. The audit covered the period from 1 January 2016 to 31 August 2017 and included review of strategic planning and risk management; national police capacity-building activities; police security operations; internal investigation; training of United Nations police (UNPol) officers; and monitoring and evaluation.

MONUSCO complied with human rights due diligence risk requirements, adequately conducted pre-electoral activities and had taken steps within its control to ensure gender mainstreaming. However, the Mission needed to increase coordinated efforts to improve the mobility and operational readiness of the police component to effectively implement its mandate.

OIOS made 12 recommendations. To address issues identified in the audit, MONUSCO needed to:

- Implement a police protection of civilians (PoC) operational plan that is linked to an updated mission-wide PoC strategy;
- Establish a police strategic capacity-building or reform plan that is linked to the host government national police reform action plan to ensure that the Mission's resources are directed towards assisting in the implementation of the national police reform activities;
- Review reported training activities for completeness and accuracy;
- Implement joint patrol plans between UNPol and the Congolese National Police (PNC) at the provincial levels;
- Ensure that the police and military components plan and coordinate patrols in all deployment areas to effectively protect civilians;
- Provide tools to support the activities of the task force on criminal networks;
- Monitor logistical support provided to PNC;
- Conduct a performance gap analysis and training needs assessment for Individual Police Officers (IPOs) to develop a training plan to enhance their skills;
- Implement procedures to ensure that the completion of all training activities in all locations is adequately reported to UNPol Headquarters in Kinshasa;
- Implement a mechanism to monitor compliance with the procedures for conducting internal evaluations and inspections; and
- Ensure that outgoing IPOs prepare handover notes and complete semi-annual performance appraisals for the relevant formed police personnel.

The DPKO Police Division, in collaboration with MONUSCO, also needed to take steps to enhance the mobility, flexibility and operational readiness of the formed police units.

MONUSCO and the DPKO Police Division accepted the recommendations and have initiated action to implement them.

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

I. BACKGROUND

1. The Office of Internal Oversight Services (OIOS) conducted an audit of the United Nations police operations in the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo (MONUSCO).
2. The United Nations Police (UNPol) function is a key component of peacekeeping operations. The deployment of UNPol and the local police authority represents an essential mechanism to ensure good governance and rule of law in a country with increased law and order challenges, political violence and armed conflicts. The professionalism, integrity and image of UNPol in MONUSCO is critical to the achievement of the Mission's mandate.
3. The MONUSCO police component is mandated to ensure the protection of civilians (PoC) against all physical threats, including violence emerging from conflicts and elections; support the reform process of the Congolese National Police (PNC) with emphasis on enhancing its capacity to respect human rights; ensure the protection of United Nations personnel and property, and the security and freedom of movement of United Nations and associated personnel; and support the stabilization of state authority in the Democratic Republic of the Congo (DRC).
4. The police component is headed by a Police Commissioner at the D-2 level who reports to the Deputy Special Representative of the Secretary-General (DSRSG) Rule of Law and Operations and is assisted by a Deputy Police Commissioner at the P-5 level. The authorized deployment strength of the police component was 1,441 officers, comprising 391 individual police officers (IPOs) and 1,050 formed police personnel in seven formed police units (FPUs). Twenty-nine Member States contributed 318 IPOs and 1,044 formed police personnel as at 31 August 2017.
5. The approved budgets for UNPol for fiscal years 2015/16 and 2016/17 were \$54 million and \$52 million respectively.
6. Comments provided by MONUSCO and the Department of Peacekeeping Operations (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 the MONUSCO police component in implementing its mandated tasks.
8. This audit was included in the 2017 risk-based work plan of OIOS due to the operational and reputational risks resulting from the ineffective implementation of the police mandate.
9. OIOS conducted this audit from October to December 2017. The audit covered the period from 1 January 2016 to 31 August 2017. Based on an activity-level risk assessment, the audit covered higher and medium risk areas in the police operations, which included strategic planning and risk management; national police capacity-building activities; police security operations; internal investigation; training of UNPol officers; and monitoring and evaluation.

10. The audit methodology included interviews of key personnel, including PNC senior officers; reviews of relevant documentation; analytical reviews of data; and sample testing of control effectiveness and compliance requirements. The audit team visited five FPUs and IPO locations in Beni, Goma and Kinshasa to observe and inspect police operations at these locations.

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

III. AUDIT RESULTS

A. Strategic planning and risk management

Need to develop and implement a police PoC operational plan based on a Mission-wide PoC strategy

12. The DPKO/Department of Field Support (/DFS) guidelines on the role of UNPol in PoC require the police component to develop a police PoC operational plan from the Mission's PoC strategy that specifies police responsibilities and processes, including its interaction with the civilian and military components in implementing a common, agreed approach to the threats and vulnerabilities facing civilians.

13. Although the Police Commissioner issued a directive in August 2017 on the role of the police in PoC, it was not based on a mission-wide PoC strategy. This occurred because MONUSCO had not yet updated its PoC strategy to align it with the current security situation in the country and from which the police component could have developed its PoC operational plan that incorporated police interactions with other Mission components. As a result, there was a risk of uncoordinated response in executing PoC operations during a crisis.

(1) MONUSCO should develop and implement a police protection of civilians' operational plan that is based on an updated Mission-wide protection of civilians' strategy to ensure coordinated response in protecting civilians.

MONUSCO accepted recommendation 1 and stated that the police component had prepared a draft PoC operational plan that would be linked to the Mission-wide PoC strategy when updated to ensure a coordinated response in protecting civilians. Recommendation 1 remains open pending receipt of a copy of the police PoC operational plan and evidence of its implementation.

MONUSCO complied with the human rights due diligence risk requirements for support to the PNC

14. The human rights due diligence policy (HRDDP) on United Nations support to non-United Nations security forces requires MONUSCO to carry out a risk assessment prior to providing support to the national police. The DPKO/DFS policy on UNPol requires the police component to ensure that the risks outlined in the HRDDP are assessed before co-locating with the national police.

15. The police component submitted all requests for support for PNC personnel to the MONUSCO HRDDP Unit for screening. These requests included those related to co-location with PNC personnel and provision of logistical support to the PNC. The HRDDP Unit performed risk assessments for all the requests and submitted the assessments and proposed decisions to the DSRSG Rule of Law and Operations for final decision.

16. OIOS concluded that MONUSCO had consistently complied with human rights due diligence requirements to conduct risk assessments prior to providing support to the PNC.

The police component adequately conducted pre-electoral activities

17. The DPKO/DFS policy on UNPol requires the police component to support the electoral process by conducting risk assessments, drafting security plans and training host state police. The 2016/17 police work plan requires the police component to establish an UNPol Action Plan for election security.

18. The police component had an Electoral Unit responsible for coordinating, monitoring and reporting electoral activities and related incidents in the DRC. The Unit trained and deployed 23 police electoral focal points to co-locate with provincial and local electoral committees; produced weekly electoral updates and conducted quarterly evaluation of the electoral process; developed and provided 849 electoral security training modules to the Government of the DRC Technical Group for Elections Security; and trained PNC personnel on electoral security. The police component conducted risk assessments and developed an electoral civilian security plan and trained 308 MONUSCO military contingents on crowd control techniques to support the PNC in public order management in electoral hotspot areas.

19. Additionally, the police component developed an electoral action plan in March 2016 and updated it in November 2017 to support the upcoming elections in the DRC scheduled for December 2018. The plan had inputs from the Mission's civilian component, the PNC and the Independent National Electoral Commission of the DRC. The plan contained 17 activities totaling \$17.1 million mainly for training and equipping the PNC to ensure effective electoral security throughout the election period. OIOS concluded that the police component had adequately conducted pre-electoral activities in the DRC.

The police component had taken steps within its control to ensure gender mainstreaming

20. The DPKO/DFS guidelines for integrating gender perspectives into the work of UNPol require the police component to create a gender unit; jointly assign male and female officers to all patrols; achieve the greatest possible gender balance in number and rank, including in FPUs; and ensure that the FPUs include female officers to perform all formed police tasks. The DPKO/DFS standard operating procedures (SOPs) on assessment of IPOs require a target of 20 per cent female police officers.

21. The police component had a Gender Cell responsible for enhancing the capacity of UNPol and PNC in gender mainstreaming. In 2016/17, the Cell trained and deployed 20 gender focal points (13 females and 7 males) in all police locations; organized 138 gender-sensitization training sessions for the local population; and trained 575 PNC personnel on gender-related issues. The police component also regularly monitored and reported on gender mainstreaming activities.

22. As at 31 August 2017, the total strength of the police component was 1,362, of whom 154 (11 per cent) were female officers as follows: 318 IPOs, of whom 57 (18 per cent) were women and 1,044 formed police, of whom 97 (9 per cent) were women. Forty-four female IPOs occupied senior positions as heads and deputy heads of police sectors and units.

23. OIOS observation of police activities during field visits showed a lack of female officers in the FPU patrol teams and a need to increase the number of female officers and deploy them in visible roles in the field. However, this was outside the control of the Mission police component as the DPKO Police Division recruited IPOs and deployed FPUs to the Mission, and the police-contributing countries (PCCs) made decisions on the deployment of female officers to the Mission. OIOS concluded that the police component had taken adequate steps within its control to ensure gender mainstreaming in police activities.

B. National police capacity-building activities

Need to link the Mission police reform plan to the host government police reform plan

24. United Nations Security Council resolution 2348 (2017) requires MONUSCO to assist the DRC Police Reform Committee in reforming the PNC. The DPKO/DFS policy on UNPol requires the Mission to ensure a matching strategy to the national police development plan. The MONUSCO police concept of operations requires UNPol to assist in the implementation of the host government police reform action plan.

25. The Government of the DRC developed a five-year (2012-2016) police reform action plan that contained 141 reform activities to improve the capacity of the PNC. The implementation of the action plan also needed the assistance of MONUSCO in supporting the reform activities. In 2016/17, the police component supported capacity-building or reform activities by training PNC personnel; co-locating with the PNC in the six national police schools and specialized police units to coach, mentor and provide technical advice to the PNC; and implementing 20 quick-impact projects valued at \$1.1 million, including construction of PNC offices in seven locations.

26. At the time of the audit, of the 141 reform activities, 69 (49 per cent) were ongoing and 43 (30 per cent) were not yet started. The police component attributed the low implementation of the national police reform activities to the lack of governmental funding and the low-level of involvement of the Police Reform Committee that had not met since 2015 to oversee the reform process. This also resulted because the UNPol annual work plan was not adequately linked to the Government's five-year police reform action plan. As a result, the Mission's resources were not sufficiently directed towards assisting in the implementation of the activities of the national police reform.

(2) MONUSCO should develop and implement a police strategic capacity-building or reform plan that is linked to the host government national police reform action plan to ensure that the Mission's resources are directed towards assisting in the implementation of the national police reform activities.

MONUSCO accepted recommendation 2 and stated it had developed and was implementing a police strategic plan to support the capacity-building and reform of PNC. Recommendation 2 remains open pending receipt of evidence of the implementation of the police strategic plan that supports the implementation of the new PNC reform plan.

Need to accurately report training activities

27. The police component's operation order dated 3 February 2017 requires the MONUSCO Police Training Coordination Cell to compile training statistics and adequately report on training activities.

28. There was a mismatch in the reported training activities in the police biannual reports, performance evaluation of the police work plan and supporting training data for fiscal year 2016/17. For example, the 2016/17 performance evaluation of the work plan showed that UNPol trained 230 PNC personnel as trainers while the supporting data and biannual reports showed that 36 were trained as trainers; and the biannual report for the period January to June 2017 showed that UNPol trained 1,715 PNC personnel, while the training data showed that 2,465 PNC personnel were trained for the same period. The above resulted due to inadequate supervisory review of reported training activities to ensure they were completely and accurately reported. This undermined the reliability of information for effective monitoring and evaluation of training activities.

(3) MONUSCO should perform adequate supervisory review of reported training activities data for completeness and accuracy.

MONUSCO accepted recommendation 3 and stated that it had taken action by attaching a list of trainees to all training reports, which were approved by police supervisors before transmission to the Training Coordination Centre at UNPol Headquarters in Kinshasa. Recommendation 3 remains open pending receipt of evidence of timely, accurate and complete reporting and documentation of the police training activities.

C. Police security operations

Need to improve flexibility, mobility and operational readiness of the FPUs

29. United Nations Security Council resolution 2348 (2017) requires MONUSCO to maximize the flexibility and mobility of its force in implementing the Mission's mandate. The 2014 MONUSCO strategic review requires the Mission to review the deployment of its FPUs to address the changing PoC situation across the country. The DPKO/DFS policy on FPU requires: (a) FPUs to be managed at Mission headquarters and deployed on demand throughout the Mission area; (b) United Nations Headquarters to decide on the viability of a contingent's continued deployment and not to condone caveats imposed by PCCs beyond the national constraints expressly accepted by United Nations at the outset; and (c) the FPUs to have a minimum of 85 per cent of operational personnel. The DPKO force requirement for MONUSCO stipulates that an FPU should have a strength of 180 personnel and be equipped with six armoured personnel carriers (APCs).

30. The seven FPUs were managed by the police component at Mission headquarters and were deployed to Kinshasa, Goma, Bunia, Bukavu and Beni in accordance with their respective memorandum of understanding. However, the FPUs were not mobile and flexible in line with the Mission's changing operational requirements to effectively protect civilians resulting from changes in the country's security/political situation. [REDACTED]

31. This was because the concerned PCC did not agree to the planned redeployment of its FPU when contacted by DPKO in July 2017. This had hindered the Mission's ability to start the necessary site preparations to accommodate police troops, which normally takes at least six months. [REDACTED]

32. Although the FPU Policy did not impose any restrictions on the Mission to move FPUs to other locations, it was the usual practice of DPKO to seek the consent of the PCC prior to any redeployment. In instances where a PCC did not agree to the planned redeployment as in this case, the proposed redeployment is not implemented.

33. Meanwhile, during the first half of 2018, MONUSCO police redeployment priorities changed. The Mission was now planning to relocate four FPUs to new hotspot locations [REDACTED]

[REDACTED]

34. Additionally, some FPUs had inadequate operational and logistical capability as:

- [REDACTED]
- Five FPUs had only three APCs and two had six obsolete APCs, manufactured in 2002 and 2003 that had been in the Mission area for more than 12 years, since 2005, and were no longer suitable for patrols in locations with poor roads as they were slow, not suited for use on rugged terrain and not usable at night because of poor lighting system; and
 - Five FPUs had expired gas mask filters and three had expired tear gas shells and hand grenades.

35. The above had already been reported by the FPU Coordination Unit in their operational readiness reports, and the police component duly reported it to the concerned PCC. In October 2017, based on these reports and the need for reinforced capacity to deal with increased electoral related violence, MONUSCO requested DPKO to liaise with the PCCs on the subject. The Mission requested that the FPUs increase the number of APCs and equipment in addition to the numbers that had already been agreed, and if this was not feasible, to ensure the agreed minimum requirements were achieved. As of May 2018, the request had not been implemented, as the Mission had not adequately planned and budgeted for the financial resources in 2017/18 to reimburse Member States for the additional equipment, which had subsequently been included in its 2018/19 budget. DPKO explained that arrangements were underway to provide additional APCs to meet the Mission's needs in 2018/19.

36. As a result, there was an increased risk that the Mission would not be able to adequately protect civilians in certain hot spots or be able to respond effectively to evolving requirements due to the lack of FPUs' flexibility, mobility and operational capacities.

(4) DPKO Police Division, in collaboration with MONUSCO and police-contributing countries, should review the statement of unit requirement for the formed police units (FPUs), in line with FPU Policy, to meet the requirements for the redeployment of formed police units within the Mission area and enhance the flexibility, mobility and operational readiness of the formed police units.

DPKO accepted recommendation 4 and stated that: the Police Division supported the Mission's request to move troops but the ground work for such relocation was not yet completed; it had revised the Statements of Unit Requirements (SUR) based on the Mission's requests and PCCs were to deploy additional contingent-owned equipment (COE), particularly APCs; some PCCs had already met these requirements, while others were yet to deploy the new COE due to prolonged procurement processes by the PCCs; it shall consider special measures, including penalties, if PCCs do not meet the new SUR requirements; and the Police Division was following up closely with PCCs. Recommendation 4 remains open pending receipt of evidence of redeployment of the concerned FPUs, replacement of obsolete equipment and expired ammunition, and deployment of FPU equipment to meet the minimum force requirements.

Procedures for tasking FPU were adequately performed

37. The DPKO/DFS policy on FPUs requires all FPUs to carry out tasks based on written tasking orders containing: the operational situation; foreseen scenarios; threat assessment; other actors involved; specific tasks to be performed by the FPU; minimum human resource and equipment requirements; and communication, reporting and accountability.

38. The MONUSCO operation orders tasking its FPUs contained all the seven required elements. Additionally, the police component prepared adequate after-action review reports for all the operation orders that identified lessons learned to improve the effectiveness of future operations. OIOS concluded that the police component had implemented adequate controls to ensure that the FPUs were effectively tasked and the completion of tasks adequately reported.

The police component achieved joint patrol performance targets but there was a need to ensure the effectiveness of joint patrols between UNPol and PNC

39. The MONUSCO budget for 2016/17 provided for the police component to conduct 10,950 joint UNPol-PNC patrols in priority areas in eastern DRC to increase the capacity of the PNC. The MONUSCO police concept of operations requires the police component to carry out joint UNPol-PNC patrols with clearly defined objectives, duration, roles and responsibilities in all UNPol sectors.

40. In 2016/17, the police component conducted 14,998 joint patrols, which was 4,048 (37 per cent) more than the required joint patrols. The police component attributed this increase to the replication of the police integrated operational strategy for the fight against insecurity in Goma, Bunia, Uvira, and Bukavu during the fiscal year that involved joint patrols between UNPol and PNC.

41. OIOS observation of UNPol-PNC patrols in Goma and Beni noted that PNC patrol personnel were not well equipped as they had no bullet-proof jackets, helmets, vehicles and radios; wore mixed uniform, including those of the national military; and were assigned additional duties mitigating the impact of the effectiveness of the patrols, as three of the six PNC personnel assigned to a joint patrol in Beni left midway for other duties. IPO sector chiefs and FPU commanders also reported that some PNC personnel were inadequately trained to perform patrol duties, at times reported for patrols while intoxicated and lacked motivation as their salaries had not been paid.

42. The above occurred because there were no joint patrol plans or procedures between UNPol and the PNC that clearly defined mutually agreed and binding patrol procedures and processes, including the conduct and responsibilities of PNC patrol troops. As a result, there was an increased risk as to the effectiveness of the joint patrols with PNC to protect civilians.

(5) MONUSCO should develop and implement joint patrol plans between the police component and Congolese National Police at the provincial levels that clearly define mutually agreed and binding patrol procedures and processes, including the conduct and responsibilities of patrol troops.

MONUSCO accepted recommendation 5 and stated that it would take steps to clearly define binding patrol procedures across UNPol deployment areas to enhance the cooperation and partnership between UNPol and PNC. Recommendation 5 remains open pending receipt of a copy of patrol procedures and evidence of their implementation.

Need to plan and coordinate military and UNPol patrols

43. A military operation order issued on 16 September 2016 by the MONUSCO Force Commander on Force-UNPol operations requires all military brigades/sectors to plan and coordinate patrols with UNPol to ensure maximum effect in the protection of civilians.

44. There was no evidence of joint patrol planning and coordination between the military and UNPol during the audit period. The police component attributed the lack of joint patrol planning and coordination in all deployment areas to the other operational priorities of the military. As a result, it diminished the specialist knowledge and operational capabilities of both components that were jointly required to effectively protect civilians in all areas.

(6) MONUSCO should take steps to ensure that the police and military components plan and coordinate patrols in all deployment areas to effectively protect civilians.

MONUSCO accepted recommendation 6 and stated that a draft Force and UNPol SOP was being finalized, which would provide guidance to ensure mutually planned and coordinated patrols in all deployment areas for effective PoC. The police component was awaiting the Force's comments on the SOP and validation by the Mission before implementing the SOP. Recommendation 6 remains open pending receipt of a copy of the Force and UNPol SOP and evidence of implementation of coordinated patrols.

Need to provide adequate tools to support the work of the task force on criminal networks

45. Security Council resolutions 2277 (2016) and 2348 (2017) mandated MONUSCO to address the threat posed by armed groups through enhanced collection and analysis of information on the criminal networks that support the armed groups to ensure an integrated tailored response against these groups. The terms of reference of the task force on criminal networks require strong support from Mission leadership to develop and implement a mission-wide integrated strategy and action plan on criminal networks.

46. The Mission Leadership Team created a task force on criminal networks on 23 December 2016 to develop and implement integrated strategies to tackle the illegal exploitation or smuggling of gold and charcoal in the DRC. The Police Commissioner (or his designate) headed the task force that consisted of representatives of all components. The task force had a secretariat in Goma.

47. The task force had started exporting data from some existing databases in the Mission to a document-oriented database for an in-depth analysis of the overall dynamics of organized crime in the DRC. However, the task force was not adequately equipped with the appropriate software and hardware to gather and analyse information. As a result, there was an increased risk that an effective mechanism to curb illegal exploitation of minerals and charcoal would not be timely developed and implemented.

(7) MONUSCO should provide the task force on criminal networks with adequate tools to support their activities so that it effectively performs assigned tasks.

MONUSCO accepted recommendation 7 and stated that it had initiated steps to implement a visual intelligence and investigative analysis software and train task force criminal network officers; ensure the involvement of all MONUSCO sections to deal with concrete cases; establish an intelligence coordination structure on organized crime; and provide financial support for community violence reduction and quick-impact projects on organized crime. Recommendation 7 remains open pending receipt of evidence of installation and implementation of tools to support the activities of the task force on criminal networks.

Need to monitor logistical support provided to the PNC

48. Security Council resolution 2348 (2017) requires any support provided by the Mission to the Government of the DRC, including in the form of rations and fuel, to be for joint operations and subject to appropriate oversight and scrutiny.

49. The police component implemented an integrated operational strategy for the fight against insecurity (strategy) whose objective was to strengthen the operational capacity of the PNC to ensure effective security and public order. The strategy involved joint patrols with the PNC; co-location in command and coordination centres; training of PNC personnel; and provision of logistical support to the PNC. The strategy was implemented in: Beni in 2014; Goma, Oicha, Bunia and Uvira in 2016; and Bukavu, Kalemie and Dungu in 2017.

50. Implementation of this strategy required MONUSCO to provide weekly fuel and monthly rations to the PNC in the eight locations where the strategy had been implemented. In Beni, the Mission provided: on a weekly basis 420 litres of fuel for six vehicles, 10 litres for six motorcycles, and 70 litres for a generator at the command centre at PNC headquarters; and monthly rations (1,500 to 1,900 kilograms) for 100 PNC personnel since May 2014. Similarly, in Goma, the Mission provided: on a weekly basis 490 litres of fuel for seven vehicles; and three tons of monthly rations.

51. During OIOS visit to the command centre in Beni at the PNC provincial headquarters, a PNC commander in Beni complained and OIOS confirmed that only one PNC vehicle was partially operational in the area. Additionally, OIOS observation of joint UNPol and PNC day and night patrols in Beni noted that the PNC troops did not have their own vehicle during the patrols. However, the Mission had been providing to the PNC command weekly fuel for the six vehicles. The excess provision of fuel resulted because the Mission had not developed and implemented monitoring mechanisms to ensure that logistical support to the PNC was fully utilized in implementing the strategy. As a result, in Beni all of the fuel supplied was not being used in implementing the strategy. Also, without adequate monitoring mechanisms, there was an increased risk that there would be a similar situation in other locations related both to the fuel and rations provided.

(8) MONUSCO should develop and implement monitoring mechanisms to ensure that logistical support provided to the Congolese National Police is fully utilized in implementing the integrated operational strategy for the fight against insecurity.

MONUSCO accepted recommendation 8 and stated that UNPol had created a mechanism, which included a tracking sheet containing mitigating measures, to monitor logistical support provided to the PNC. The police component had circulated the tracking sheets to the relevant police sectors to ensure the implementation of the measures and reporting of the actual status of support provided. Recommendation 8 remains open pending receipt of evidence of the implementation of the mechanism, including the monitoring reports, on logistical support provided to the PNC.

D. Internal investigation

Procedures to ensure timely investigation of police misconduct were effective

52. The DPKO/DFS guidelines on police command require the Police Commissioner to develop and implement mission-specific SOPs and/or directives on disciplinary matters. The DPKO/DFS guidelines on police administration require the Police Internal Investigation Unit to timely conduct investigations into

misconduct allegations in accordance with applicable procedures and prepare proper written investigation reports and submit to the Conduct and Discipline Team for further action.

53. The police component had developed and issued policies and guidelines on police misconduct, including UNPol directive on the prevention and control of sexual exploitation and abuse (SEA); and trained police personnel on conduct and discipline.

54. A review of all the six cases of misconduct against police personnel during the audit period showed that the cases were timely investigated within an average of six days and the investigation files and reports shared with the Conduct and Discipline Team. OIOS concluded that MONUSCO had implemented adequate procedures to ensure timely investigation of allegations of police misconduct.

E. Training of United Nations Police officers

Need to conduct a training needs assessment for individual police officers

55. The DPKO/DFS policy on UNPol requires the police component to develop a comprehensive training plan and provide all police personnel with ongoing training on various specialized areas during their tour of duty to enhance their skills. The DPKO/DFS policy on FPU requires all FPU members to receive ongoing training.

56. The police component had not developed a comprehensive training plan for its IPOs. Additionally, a review of training records for 37 IPOs who arrived in the Mission during the audit period showed that 16 of them did not receive ongoing in-mission training. An IPO Sector Chief explained that IPOs had not received any formal, ongoing training. The police component acknowledged that some IPOs did not have the relevant skills to perform their assigned functions such as mentoring and advising on forensic, criminal investigation, community-oriented policing and traffic management.

57. OIOS was unable to verify whether a sample of 88 FPU personnel received ongoing in-mission training. This was because the police component provided OIOS with a list showing the total number of attendees but not the names of the individual attendees, and there were also no attendance sheets.

58. The above occurred because the police component did not conduct a performance gap analysis and training needs assessment of IPOs to develop a training plan that targeted ongoing skills enhancement needs of IPOs. The police component also did not develop and implement procedures that ensured all police training activities were reported to Police Headquarters so that they could be maintained centrally in a consolidated database. As a result, there was inadequate assurance that all police personnel received required and appropriate training to enhance their operational capacity to perform their functions.

(9) MONUSCO should conduct a performance gap analysis and training needs assessment of individual police officers to develop a training plan that targets areas where skills development is needed.

MONUSCO accepted recommendation 9 and stated that UNPol had conducted a performance gap analysis and a training needs assessment of IPOs in February/March 2018; and taken steps to establish an in-mission training strategy to ensure ongoing training for any IPOs lacking the relevant skills. Recommendation 9 remains open pending receipt of evidence that MONUSCO has implemented a training plan for IPOs to enhance their skills.

(10) MONUSCO should develop and implement procedures to ensure that the completion of all police training activities is reported to Police Headquarters and maintained in a consolidated database.

MONUSCO accepted recommendation 10 and stated that it would ensure: adequate reporting of all training activities of UNPol personnel; and that training reports were transmitted to the Training Coordination Centre at UNPol Headquarters in Kinshasa and that they were maintained in a consolidated database. Recommendation 10 remains open pending receipt of evidence of complete documentation and reporting of training activities.

F Monitoring and evaluation

Police mandated tasks were effectively monitored and evaluated

59. The MONUSCO police concept of operations requires the police component to periodically evaluate and assess its mandated tasks to identify the extent and progress of the implementation of the mandate.

60. The police component developed an annual work plan that contained five strategic goals/mandated tasks: protection of civilians; police reform, restructuring and development; election security; supporting fight against organized crime; and SEA and gender. These strategic goals had objectives, actions, planned outputs and performance indicators. The police component had an Intelligence, Statistics, Analysis and Reporting Unit (ISARU) that monitored and periodically evaluated the annual work plan by collecting and analysing performance data. Specifically, ISARU tracked each indicator and produced weekly situation reports; a monthly tracking table that showed the percentage of indicators achieved for each objective; a biannual report that showed the status of activities achieved for the past six months; annual statistics that showed the percentages of indicators achieved by the respective police units; and an annual performance evaluation of the police work plan.

61. OIOS concluded that the police component had developed and implemented adequate mechanisms to ensure that police mandated tasks were regularly monitored and evaluated.

Need to fully comply with the requirements for conducting internal evaluation and inspections

62. The DPKO/DFS policy on internal evaluations and inspections of UNPol requires internal evaluations and inspections to cover police-specific procedures, practices, programmes or units; the Internal Evaluation Unit (IEU) to prepare terms of reference for the internal evaluation, approved by the Police Commissioner, and submitted to the Compliance Officer at DPKO Police Division; any internal evaluation or inspection to follow the approved terms of reference; and the IEU to prepare a matrix of the recommendations with proposed timeframes, responsible person/units and follow-up actions.

63. A review of the internal evaluation and inspection reports showed that the MONUSCO police Audit and Internal Evaluation Cell (Evaluation Cell) completed three evaluations on the Administration and Personnel Unit, Training Coordination Unit, and ISARU; and one inspection on SEA solemn declaration. Each evaluation/inspection was supported by a request from the Police Commissioner but did not have any terms of reference. As a result, there were no agreed procedures to guide the conduct of the evaluations/inspection.

64. The Evaluation Cell prepared four evaluation/inspection reports that resulted in the issuance of 21 recommendations. However, three of the four reports did not have a matrix of recommendations with

proposed timeframes, responsible persons and follow-up action. As a result, follow-up of recommendations was ineffective, increasing the risk that the improvements to procedures and operations recommended in the report were not implemented. For example, there was no evidence to show that 9 of the 21 recommendations were implemented. The above resulted because the police component had not monitored compliance with the DPKO/DFS requirements on internal evaluations and inspections.

(11) MONUSCO should implement a mechanism to monitor compliance with the DPKO/DFS procedures for conducting internal evaluations and inspections.

MONUSCO accepted recommendation 11 and stated that it had created and was implementing an internal audit roadmap in line with DPKO/DFS procedures. Recommendation 11 remains open pending receipt of evidence that internal evaluations and inspections are conducted in accordance with the relevant DPKO/DFS requirements.

Need to comply with the performance appraisal and handover note requirements

65. The DPKO/DFS guidelines on police administration require the police component to conduct a performance evaluation for each officer every six months; and put in place procedures to ensure that all outgoing police personnel prepare handover notes prior to transferring or separating from the Mission. The DPKO/DFS SOPs on assessment of operational capability of FPUs require MONUSCO to prepare United Nations performance appraisals for the FPU commander, deputy commander, platoon commanders, section leaders, operations officer, liaison officer, logistics officer and duty officers.

66. A review of performance appraisal documents for 35 IPOs who had left the Mission during the audit period showed the police component completed performance appraisals for all the IPOs but not every six months, as their average performance evaluation period was 20 months. This resulted because, prior to the arrival of the current Police Commissioner in 2016, performance evaluations for IPOs were not done. The police component had now developed mechanisms to ensure that the performance of IPOs was appraised every six months.

67. Additionally, only 3 of the 35 IPOs who had left the Mission prepared handover notes as the police component did not implement procedures to ensure that IPOs prepared handover notes. As a result, there was a risk that incoming IPOs were not adequately prepared to take assigned new roles, and a lack of opportunity to use lessons learned from the work of key departing IPOs.

68. A review of the performance appraisal documents for 44 FPU personnel subject to United Nations performance appraisals who had been in the Mission for more than six months showed that the FPU Coordinator completed semi-annual performance appraisals for only 11 FPU personnel. This resulted because the police component had not implemented a mechanism for evaluating the performance of all required FPU personnel in accordance with United Nations performance appraisal requirements. As a result, there was inadequate assurance that required FPU personnel performed their assigned functions consistent with the United Nations competencies and values.

(12) MONUSCO should develop and implement a mechanism to ensure that: (a) individual police officers, upon completion of their assignments in the Mission, prepare handover notes for incoming individual police officers; and (b) semi-annual performance appraisals are completed for all formed police personnel that are subject to United Nations performance appraisals.

MONUSCO accepted recommendation 12 and stated that it would ensure that each IPO prepared handover notes upon completion of their assignments and performance appraisals were completed

for the relevant formed police officers every six months. Recommendation 12 remains open pending receipt of copies of handover notes prepared by outgoing IPOs and evidence of completion of semi-annual performance appraisals for the relevant formed police personnel.

IV. ACKNOWLEDGEMENT

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

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

STATUS OF AUDIT RECOMMENDATIONS

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

Rec. no.	Recommendation	Critical ¹ / Important ²	C/ O ³	Actions needed to close recommendation	Implementation date ⁴
1	MONUSCO should develop and implement a police protection of civilians' operational plan that is based on an updated Mission-wide protection of civilians' strategy to ensure coordinated response in protecting civilians.	Important	O	Receipt of a copy of the police PoC operational plan and evidence of its implementation.	30 June 2019
2	MONUSCO should develop and implement a police strategic capacity-building or reform plan that is linked to the host government national police reform action plan to ensure that the Mission's resources are directed towards assisting in the implementation of the national police reform activities.	Important	O	Receipt of evidence of the implementation of the police strategic plan that supports the implementation of the new PNC reform plan.	30 September 2018
3	MONUSCO should perform adequate supervisory review of reported training activities data for completeness and accuracy.	Important	O	Receipt of evidence of timely, accurate and complete reporting and documentation of the police training activities.	31 December 2018
4	DPKO Police Division, in collaboration with MONUSCO and PCCs, should review the statement of unit requirement for FPU, in line with FPU Policy, to meet the requirements for the redeployment of formed police units within the Mission area and enhance the flexibility, mobility and operational readiness of the formed police units.	Important	O	Receipt of evidence of redeployment of the concerned FPU, replacement of obsolete equipment and expired ammunition, and deployment of FPU equipment to meet the minimum force requirements.	30 June 2019
5	MONUSCO should develop and implement joint patrol plans between the police component and Congolese National Police at the provincial levels that clearly define mutually agreed and binding patrol procedures and processes, including the conduct and responsibilities of patrol troops.	Important	O	Receipt of a copy of patrol procedures and evidence of their implementation.	31 December 2018

¹ Critical recommendations address critical and/or pervasive deficiencies in governance, risk management or control processes, such that reasonable assurance cannot be provided with regard to the achievement of control and/or business objectives under review.

² Important recommendations address important (but not critical or pervasive) deficiencies in governance, risk management or control processes, such that reasonable assurance may be at risk regarding the achievement of control and/or business objectives under review.

³ C = closed, O = open

⁴ Date provided by MONUSCO and DPKO in response to recommendations.

STATUS OF AUDIT RECOMMENDATIONS

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

Rec. no.	Recommendation	Critical/ Important ²	C/ O ³	Actions needed to close recommendation	Implementation date ⁴
6	MONUSCO should take steps to ensure that the police and military components plan and coordinate patrols in all deployment areas to effectively protect civilians.	Important	O	Receipt of a copy of the Force and UNPol SOP and evidence of implementation of coordinated patrols.	31 December 2018
7	MONUSCO should provide the task force on criminal networks with adequate tools to support their activities so that it effectively performs assigned tasks.	Important	O	Receipt of evidence of installation and implementation of tools to support the activities of the task force on criminal networks.	31 December 2018
8	MONUSCO should develop and implement monitoring mechanisms to ensure that logistical support provided to the Congolese National Police is fully utilized in implementing the integrated operational strategy for the fight against insecurity.	Important	O	Receipt of evidence of the implementation of the mechanism, including the monitoring reports, on logistical support provided to the PNC.	30 September 2018
9	MONUSCO should conduct a performance gap analysis and training needs assessment of individual police officers to develop a training plan that targets areas where skills development is needed.	Important	O	Receipt of evidence that MONUSCO has implemented a training plan for IPOs to enhance their skills.	31 December 2018
10	MONUSCO should develop and implement procedures to ensure that the completion of all police training activities is reported to Police Headquarters and maintained in a consolidated database.	Important	O	Receipt of evidence of complete documentation and reporting of training activities.	31 December 2018
11	MONUSCO should implement a mechanism to monitor compliance with the DPKO/DFS procedures for conducting internal evaluations and inspections.	Important	O	Receipt of evidence that internal evaluations and inspections are conducted in accordance with the relevant DPKO/DFS requirements.	31 December 2018
12	MONUSCO should develop and implement a mechanism to ensure that: (a) individual police officers, upon completion of their assignments in the Mission, prepare handover notes for incoming individual police officers; and (b) semi-annual performance appraisals are completed for all formed police personnel that are subject to United Nations performance appraisals.	Important	O	Receipt of: copies of handover notes prepared by outgoing IPOs; and evidence of completion of semi-annual performance appraisals for the relevant formed police personnel.	31 December 2018

APPENDIX I

Management Response



Mission de l'Organisation des Nations Unies
pour la Stabilisation en République
démocratique du Congo

United Nations Organisation Stabilization
Mission in the Democratic Republic of Congo

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PROTECT

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CONSOLIDATE PEACE

INTEROFFICE MEMORANDUM

04 July 2018
Ref. *SRS9/531/2018*

To: Mr. Arnold Valdez, Officer-in-Charge
Peacekeeping Audit Services
Internal Audit Division, OIOS

From: *Lella Zarrougui*
Special Representative of the Secretary-General
United Nations Organisation Stabilization Mission in the
Democratic Republic of Congo

Subject: Management Response to Draft Audit Report on audit of police operations in MONUSCO (Assignment No. AP2017/620/08)

1. Thank you for your interoffice memorandum reference OIOS-2018-07 dated 12 June 2018, requesting the Mission to provide comments on the recommendations in the draft audit report of police operations in MONUSCO.
2. Attached please find Appendix I - Management Response, for your consideration. Supporting documents will be provided to the Resident Audit Team.

Best regards.

Cc: Mr. David Grossly, DSRSG, Rule of Law and Operations, MONUSCO
Mr. Luis Carrilho, United Nations Police Advisor, DPKO
General Awalo Abdounair, Police Commissioner, MONUSCO
Ms. Nancee Oku Bright, Mission Chief of Staff, MONUSCO
Ms. Safia Boly, Acting Director of Mission Support, MONUSCO
Ms. Kerry Zillner, Audit Focal Point, MONUSCO
Mr. Henry Faurie, Chief, Audit Response Unit, DPKO/DFS
Mr. James Okwakol, Chief Resident Auditor, MONUSCO, Internal Audit Division, OIOS
Ms. Cynthia Avena Castilla, Professional Practices Section, Internal Audit Division, OIOS

Attachment: Appendix I - Management Response

Peace it!

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Management Response

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

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
1	MONUSCO should develop and implement a police protection of civilians' operational plan that is based on an updated Mission-wide protection of civilians' strategy to ensure coordinated response in protecting civilians.	Important	Yes	UNPOL	30 June 2019	MONUSCO's Police Component has prepared a draft protection of civilians' operational plan in anticipation of the update of the mission wide protection of civilians' strategy. Once finalized, both strategies will be linked to ensure a coordinated response in protecting civilians.
2	MONUSCO should develop and implement a police strategic capacity-building or reform plan that is linked to the host government national police reform action plan to ensure that the Mission's resources are directed toward assisting in the implementation of the national police reform activities.	Important	Yes	UNPOL	30 September 2018	A MONUSCO Police Strategic Plan has been developed to support the capacity building and national police reform. The Mission is currently implementing the plan.
3	MONUSCO should perform adequate supervisory review of reported training activities data for completeness and accuracy.	Important	Yes	UNPOL	31 December 2018	MONUSCO is taking action on the recommendation. A list of trainees is attached to all training reports which are approved by supervisors before transmission to the Training Coordination Centre at HQ level.
4	DPKO Police Division, in collaboration with MONUSCO, should take steps to	Important	N/A	DKPO	N/A	MONUSCO Police concurs with the recommendation in principle to

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Management Response

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

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
	remove constraints on the redeployment of formed police units within the Mission area as needed and enhance the flexibility, mobility and operational readiness of the formed police units.					remove all constraints on the redeployment of formed police units within the Mission area as needed and enhance the flexibility, mobility and operational readiness of the formed police units. For its part, the Mission consistently submits requests to UNHQ for redeployments of its Formed Police Unit (FPU); and requests for additional equipment to ensure flexibility and mobility of the FPU to support the Mission's operational requirements. This recommendation should therefore be elevated to UNHQ as full implementation is not within the Mission's purview.
5	MONUSCO should develop and implement joint patrol plans between the police component and Congolese National Police at the provincial levels that clearly define mutually agreed and binding patrol procedures and processes, including the conduct and responsibilities of patrol troops.	Important	Yes	UNPOL	31 December 2018	United Nations Police (UNPOL) currently conducts joint patrols with the PNC in line with the recommendation. However, the Mission will take steps to clearly define binding patrol procedures across the Democratic Republic of Congo (DRC) where UNPOL is established, to enhance the cooperation and partnership between the two entities.
6	MONUSCO should take steps to ensure that the police and military components plan and coordinate patrols in all	Important	Yes	UNPOL	31 December 2018	A draft of FORCE-UNPOL SOP is being finalized, which will provide guidance to ensure that patrols are mutually planned and coordinated in

Management Response

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

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
	deployment areas to effectively protect civilians.					all deployment areas in support of the effective protection of civilians. MONUSCO Police is waiting for the FORCE comments on this SOP and Mission validation before implementation.
7	MONUSCO should provide the task force on criminal networks with adequate tools to support their activities so that it effectively performs assigned tasks.	Important	Yes	UNPOL	31 December 2018	MONUSCO is taking action on the recommendation and has initiated the following steps: (a) Implementation of I2 and training of Task Force Criminal Network Officers; (b) Involvement of all MONUSCO components and sections to deal with concrete cases; (c) Establishment of an Intelligence coordination structure on organized crime; and (d) Provision of financial support for CVR and QIP regarding organized crime.
8	MONUSCO should develop and implement monitoring mechanisms to ensure that logistical support provided to the Congolese National Police is fully utilized in implementing the integrated operational strategy for the fight against insecurity.	Important	Yes	UNPOL	30 September 2018	MONUSCO is taking action on the recommendation. UNPOL has created a mechanism to monitor logistical support provided to the PNC. The mechanism includes a tracking sheet containing mitigating measures for the support provided to the PNC which is then circulated to relevant sectors to

Management Response

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

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
						facilitate the implementation of the measures and report back on the actual status of support provided.
9	MONUSCO should conduct a performance gap analysis and training needs assessment of individual police officers to develop a training plan that targets areas where skills development is needed.	Important	Yes	UNPOL	31 December 2018	MONUSCO is taking action on the recommendation. UNPOL conducted a performance gap analysis and has taken steps to establish an in-Mission Training Strategy to ensure ongoing training for all individual police officers lacking the relevant skills. In addition, UFI conducted a performance gap analysis and a training needs assessment of individual police officers from February to March 2018.
10	MONUSCO should develop and implement procedures to ensure that the completion of all police training activities is reported to Police Headquarters and maintained in a consolidated database.	Important	Yes	UNPOL	31 December 2018	The Mission will ensure that all training activities related to UNPOL personnel are adequately reported from the beginning to the end through opening daily and closing reports. The said reports will then be transmitted to the Training Coordination Centre at HQ level and maintained in a consolidated database.
11	MONUSCO should implement a mechanism to monitor compliance with the DPKO/DFS procedures for conducting internal evaluations and inspections.	Important	Yes	UNPOL	31 December 2018	MONUSCO is taking action on the recommendation. An internal audit roadmap in line with DPKO/DFS procedures has been created and is being implemented.

Management Response

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

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
12	MONUSCO should develop and implement a mechanism to ensure that: (a) individual police officers, upon completion of their assignments in the Mission, prepare handover notes for incoming individual police officers; and (b) semi-annual performance appraisals are completed for all formed police personnel that are subject to United Nations performance appraisals.	Important	Yes	UNPOL	31 December 2018	MONUSCO is taking action on the recommendation. The Mission will ensure that (a) every individual police officer prepares handover notes upon the completion their assignment; and (b) individual performance appraisals are completed for each formed police officer every six months as required.

Management Response

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

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
4	DPKO Police Division, in collaboration with MONUSCO and PCCs, should take steps to review the statement of unit requirement for FPUs, in line with FPU Policy, to meet the requirements for the redeployment of formed police units within the Mission area and enhance the flexibility, mobility and operational readiness of the formed police units.	Important	Yes	Police Advisor	Second quarter of 2019	<p>There are few elements related to this recommendation;</p> <ul style="list-style-type: none"> - MONUSCO has proposed to split the FPU to platoon level and deploy to a different location. This proposal was rejected by the Police Division and PCC as it is not in line with FPU Policy. It has impact on operation, command and control, logistics, management, welfare and security of its personnel. - Thereafter, MONUSCO has requested to redeployment the full unit to a different location. The Police Division and PCC has supported this request. MONUSCO is yet to allocate a safe and access to a new field of redeployment. MONUSCO has not been able to complete the ground work

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Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
						<p>for such relocation and MONUSCO may be reconsideration deployment to a third location. No final decision yet.</p> <ul style="list-style-type: none"> - MONUSCO has requested the revision of statement of unit requirements (SUR). The SUR has been revised. Accordingly, PCCs are to deploy additional COE, particularly APCs. Some PCCs have already met these requirements, while others are yet to deploy new COE due to pronging procurement process at PCCs. DPKO shall consider special measure, including penalty, if PCCs do not meet new SUR requirements. The Police Division is following up closely with PCCs.