

United Nations  Nations Unies  
INTEROFFICE MEMORANDUM MEMORANDUM INTERIEUR

INTERNAL AUDIT DIVISION I  
OFFICE OF INTERNAL OVERSIGHT SERVICES

TO: Brigadier General Clive Lilley, Chief of Staff and  
A: Head of Mission  
United Nations Truce Supervision Organization  
(UNTSO)

Date: 25 October 2005

FROM: Patricia Azarias, Director  
De: Internal Audit Division I  
Office of Internal Oversight Services

Reference: AUD-7-5:4 (    /05)

05-02196

*P. Azarias*

SUBJECT: **OIOS Audit No. AP2005/674/01: Review of the state of discipline in UNTSO**

OBJECT:

1. I am pleased to present herewith our final report on the above-mentioned audit, which was conducted during April 2005.
2. Based on your response, we have closed recommendation 8 in the OIOS recommendation database. In order to close the recommendations 1, 2, 3 and 7, we request that you provide us with the additional information as discussed in Annex 1. OIOS reiterates recommendations 4, 5 and 6 and requests that you reconsider your initial response concerning these recommendations. Please note that OIOS will report on the progress made to implement its recommendations, particularly those designated as critical, i.e. recommendations 1, 2, 6 and 7, in its annual report to the General Assembly and semi-annual report to the Secretary-General.
3. The Internal Audit Division I is assessing the overall quality of its audit process and kindly requests that you consult with your managers who dealt directly with the auditors and complete the attached client satisfaction survey form.

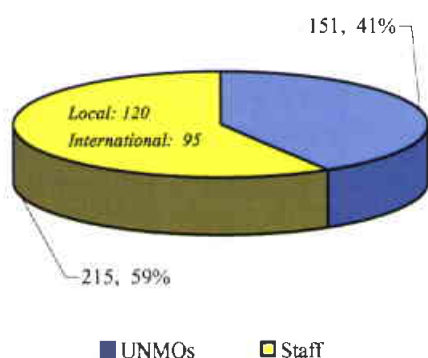
#### I. INTRODUCTION

4. OIOS conducted a review of the state of discipline in the United Nations Truce Supervision Organization (UNTSO). The audit was conducted in accordance with the standards for the professional practice of internal auditing in United Nations organizations.
5. Due to widespread allegation of sexual exploitation and abuse in some missions, which undermines the significant contributions the United Nations has made in the field of peacekeeping, the Department of Peacekeeping Operations (DPKO) has sought a broader understanding of the overall state of discipline in all DPKO missions and requested OIOS to conduct a review of the

subject. A series of meetings was held between OIOS, DPKO and the Office of Human Resources (OHRM), which resulted in establishing the terms of reference for the review and the development of an agreed audit programme.

6. As of May 2005, the Mission had human resources strength of 366 uniformed and civilian personnel as shown graphically in Exhibit 1.

**Exhibit 1: UNTSO PERSONNEL**



1. In the Middle East, groups of UNTSO military observers assist and cooperate with the United Nations Disengagement Observer Force (UNDOF) on the Golan Heights in the Israel-Syria sector, and the United Nations Interim Force in Lebanon (UNIFIL) in the Israel-Lebanon sector. A group of observers remains in Sinai to maintain a United Nations presence in that peninsula. UNTSO maintains offices in Beirut and Damascus. The Mission's approved appropriations for 2004-2005 amount to US\$58.8 million.

7. The number of discipline cases in UNTSO for the period 2002 to 2004 is shown in Table 1. Four (10%) complaints were referred to the UNHQ for review and disciplinary measures. The nature of complaints was as follows: firearm violation (1), providing false statements on a minor traffic accident (1), sexual harassment (1) and alteration of official records (1).

**Table 1: Discipline cases recorded by UNTSO from 2002 to 2004**

	Complaints received	Under investigation	Closed without referral to HQ	Dismissed	Referred to HQ	OHRM sanctions imposed or repatriation
UNMOs	14	0	12	0	2	2
Staff	24	0	22	0	2	0
TOTALS	38	0	34	0	4	2

8. Comments made by UNTSO Management on the draft report have been included in the report as appropriate and are shown in italics. Additional information OIOS needs to close the recommendations in its database is shown in Annex 1.

## II. AUDIT OBJECTIVES

9. The major objectives of the review were to:

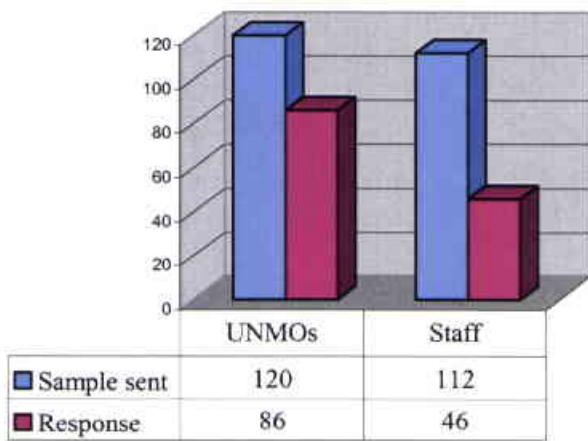
- a) Assess the state of discipline in the mission;
- b) Identify gaps in existing policies and procedures on discipline; and
- c) Identify tools that the Mission requires to maintain an environment of good order and adherence to the UN standards of conduct.

### III. AUDIT SCOPE AND METHODOLOGY

10. The review included an assessment of the Mission's operations and environment as well as an analysis of data and statistics on cases of misconduct for the past three years 2002, 2003 and 2004. The audit reviewed all relevant policies and guidelines on discipline, including selected case files on misconduct. In addition, discussions and one-on-one interviews were held with management and relevant civilian and military personnel involved in the Mission's disciplinary mechanism and enforcement.

11. The review also included a confidential survey on the state of discipline in the Mission covering all categories of mission personnel.

**Exhibit 2: SURVEY RESULTS**



The number of survey respondents and responses by personnel category that resulted in an overall response rate of 57 per cent are shown in Exhibit 2.

12. The survey methodology can be summarized as follows:

(a) Civilian personnel were randomly selected by the auditor to cover all sections, locations and grades with special consideration to the gender representation, and their replies were directly received by OIOS;

(b) Deputy Chief of Staff sent questionnaires to the Military observers and their replies were directly received by OIOS; and

(c) No alternative survey procedures were undertaken since the response rate was deemed satisfactory, given a percentage surveyed of 36 per cent of the total population.

### IV. OVERALL ASSESSMENT

13. The review indicates that the overall state of discipline in UNTSO is good, based on OIOS' analysis of facts and perceptions (as indicated by the survey results), and consideration of the impact on discipline of the local environment in which the Mission is operating. The review also identified some areas in the subject of discipline that need improvement, as set out in the following section of the report.

## V. AUDIT FINDINGS AND RECOMMENDATIONS

### A. The state of discipline in the Mission

#### Reported cases of misconduct

14. Mission-wide information on misconduct complaints and disciplinary cases is an essential tool for management to monitor the state of discipline in the Mission. OIOS compiled and analyzed misconduct complaints and disciplinary cases from several sources including the Division of Administration (DOA), Special Investigations Unit (SIU) within Security Section, Military Personnel Branch and OHRM.

15. Over the past three years, there were 38 misconduct complaints in UNTSO as shown in Exhibit 3. There were no complaints on sexual abuse and exploitation. Seven out of a total of eleven Boards of Inquiries (BOI) convened during the period from 2002 to date were related to investigation of major traffic accidents.

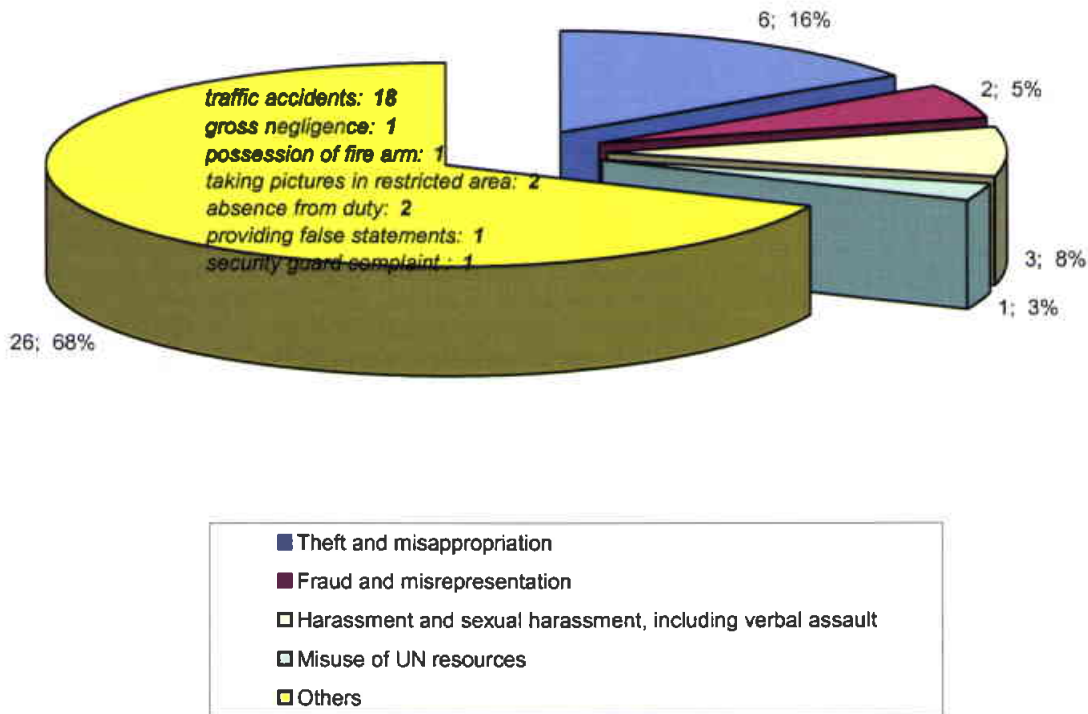
16. We found that the Mission did not have information systems for the recording, tracking, and regular reporting of misconduct complaints. The statistical information we obtained for our analysis was not readily available and in some cases incomplete. For example, cases reported as BOI or cases investigated by the SIU were not included in the misconduct statistics. The mission does not have a database for tracking complaints and investigations conducted. SIU uses instead a manual log; however, not all complaints reach SIU and the manual log does not provide an easy audit trail.

17. *UNTSO, in its response to the draft report, indicated that the Chief of the Security and Safety Section has been tasked to coordinate with the Mission's Chiefs of Information Management, and Information Technology to design a more modern electronic database of cases reported to and under investigation by the SIU.*

18. Furthermore, we found that the SIU does not have terms of reference and is operating under the general terms of DPKO Directives for Disciplinary Matters involving Civilian Police Officers and Military Observers dated 2003 complemented by the DPKO standard provisions on work allocation within Security Sections in the field. Moreover, the Mission's Standard Operating Procedures (SOP) updated in June 2004 do not contain specific provisions to the SIU. We also found no mission-wide comprehensive reporting provided to senior management to enable them to monitor the Mission's state of discipline.

19. *UNTSO, in its response to the draft report, indicated that terms of reference exist for the SIU but are presently updated after recent DSS direction. UNTSO further indicated that the Mission-wide state of discipline is reported to the COS and Head of Mission and senior management team members by Outstation Chiefs, in the case of UNMOs, and Section Chiefs on the occasions when disciplinary incidents occur.*

Exhibit 3: THE NATURE OF DISCIPLINE CASES IN UNTSO



### Recommendations 1 and 2

UNTSO Management should:

- (i) In consultation with DPKO and the Department of Safety and Security, establish a clear and specific assignment of responsibilities for the coordination of the Mission's disciplinary framework, including comprehensive terms of reference for the Special Investigation Unit (AP2005/674/01/01); and
- (ii) Develop, in consultation with DPKO, a mission-wide tracking system of misconduct complaints and disciplinary cases complete with disciplinary actions taken, to monitor the status of individual cases, as well as the overall state of discipline in the Mission (AP2005/674/01/02).

20. UNTSO noted recommendation 1 and stated that the Head of Mission is aware of his overall responsibility, as provided under ST/AI/371, for ensuring that good order and discipline prevails among personnel of the Mission including military observers, local and international civilian staff, and any other persons present in the mission premises, such as local contractors. Staff members are

being reminded at intervals, in the form of COS Directives and UNTSO Information Circulars, of the provisions of ST/IC/2005/19 regarding their responsibilities to report any cases of misconduct to the Head of Mission. The practice of reminding staff of their responsibility to report suspected misconduct it is also geared towards raising awareness and enhancing transparency regarding accountability in disciplinary matters among managers and staff. OIOS noted the response and revised recommendation 1 by addressing it to UNTSO, in cooperation with DPKO and DSS, since DPKO Headquarters will be developing uniform procedures on handling misconduct cases in missions, and DSS will lead to provide guidance on the terms of reference of SIUs. OIOS will leave this recommendation open until it can be confirmed that comprehensive terms of reference for the SIU have been developed.

21. UNTSO accepted recommendation 2 and stated that it is the Mission's plan to have a new effective and efficient database. In this regard, DPKO advised OIOS that it planned to provide all missions with a database to track misconduct cases. The task is scheduled to be completed in March 2006. OIOS will leave this recommendation open until the receipt and review of the documentation evidencing the implementation.

#### Perceptions of the state of discipline

22. OIOS conducted a survey of Mission personnel to obtain their perception of the state of discipline in the Mission. The detailed results of the survey are shown in Annexes 2 and 3.

23. The low occurrence rate of actual reported cases of misconduct is supported by the general perception of the overall state of discipline in the Mission. Survey results indicate a slightly higher confidence among the uniformed personnel as opposed to the civilian personnel. Eighty-nine per cent of the respondents rated the overall state of discipline as satisfactory to good. As regards the Mission's handling of misconduct cases, the rating dropped somewhat to 85 per cent. The percentage of the respondents who indicated that the Mission's attitude on misconduct, overall and specific, is between normal and strict (answers ranging from 3 to 5) is shown in Table 2.

**Table 2: Percentage of personnel who had a positive perception of the Mission's attitude on dealing with misconduct**

Type of Misconduct	Civilian	Uniformed personnel
	% Range normal to strict	
Overall	87%	88%
Theft and misappropriation	91%	91%
Fraud and misrepresentation	93%	93%
Harassment and sexual harassment	80%	98%
Physical assault	100%	100%
Sexual exploitation and abuse	85%	99%
Others	91%	85%

24. Overall, 19 per cent of respondents say misconduct is occurring and going undetected and unpunished. The breakdown by category was 22 per cent civilian staff and 16 percent UNMOs. In

addition, undecided respondents (“do not know” answer) represent 46 per cent for civilian as opposed to 37 per cent for UNMOs. High incidence of respondents believing or not knowing whether misconduct is occurring do not correlate with the positive appraisal of the state of discipline and might be somewhat explained by the environmental apathy of the long-established missions. Survey indicated a high confidence in the newly appointed administration, hence the slow pace of change in perception from one administration to another might also account for the gap.

25. Sixty-four per cent of respondents would report a suspicion of misconduct and 78 per cent of staff members are aware of their duty to report concerns or suspicions of SEA by a colleague. Comments provided by the respondents indicated, however, that they would rather not report “a suspicion by itself”, without “tangible evidence”. Furthermore, it was indicated that this “practice can expose staff to malicious unfounded allegations which could ruin a person’s reputation and career”.

26. Overall, 77 per cent of respondents say they do not fear reporting misconduct; however, some uncertainties in the fairness of disciplinary mechanisms persist. Only 48 per cent of respondents perceived disciplinary mechanisms as fair, with an additional 33 percent being undecided. Of concern was the number of comments from respondents indicating “serious concerns about anonymity and confidentiality within the UN system”, or disciplinary action inconsistently applied and perceived lack of due process. Other comments included: reporting “could cause a lot of problems in the end, it can make you considered uncooperative, difficult, unsociable and not accepting the chain of command”.

27. A significant number of respondents (28 per cent) indicated that they did not know how to file a formal misconduct complaint.

28. Around 90 per cent of the respondents were aware of the rules and regulations on discipline. Survey results showed that 86 per cent of uniformed personnel received briefing on UN standards of conduct as opposed to only 30 per cent of civilian staff. However, around 90 per cent of the civilian personnel were familiar with the basic rights and duties of UN staff members.

29. Sixty per cent of respondents believe the Mission is implementing measures to prevent SEA. Some survey respondents commented that measures “will not be effective until the UN adopts an atmosphere of accountability”, “there can not be a perception of being above the rules or UN efforts will fail from the start”.

30. OIOS also noted some of the respondents’ specific suggestions to improve the state of discipline in the Mission such as:

- (a) Independent focal point (Ombudsman) or military focal point separate from the chain of command for reporting cases of misconduct;
- (b) Higher personnel standards when hiring the UN personnel;
- (c) Consistency and fairness that come with the knowledge that all cases are acted upon and that actions are predictable and the same;

- (d) Right signals will have to continue to come from the top down; known issues of senior level managers acting with impunity and little to no real accountability will only create a culture of “well if they can do it, why can’t I” type of attitude
- (e) No senior leader can be exempt from the same rules as the least ranking soldier and this must be visible and understood by troops;
- (f) Train staff on the code of conduct, ethical behavior and the meaning of integrity in the context of multicultural environment; vigorous awareness campaign is required to instill the values the UN promulgates.

## **B. Policies and procedures on discipline**

### Roles and responsibilities of UNTSO officials on discipline

31. The roles and responsibilities of supervisors, military and other UN officials in UNTSO have been defined for the promulgation and enforcement of policies on misconduct in the mission. The overall responsibility for maintenance of discipline and disciplinary standards remains with the Head of Mission. OIOS could not determine whether the performance of managers and officers in preventing misconduct and enforcing UNTSO Code of Conduct is being evaluated to assess effectiveness. Furthermore, it was not possible to determine whether managers and officers are held responsible for preventing misconduct and enforcing the UN standards of conduct.

32. Perception that management will fail to act appropriately on a reported misconduct, and distrust in current processes appears to have deterred some reporting. A system is needed that encourages the reporting of suspected misconduct. In addition, there is absence of information on past administrative corrective action and disciplinary measures imposed. Having a Mission focal point for receiving complaints would simplify the process for all categories of personnel and enable the Mission to have a complete record of misconduct complaints. The OIOS survey indicated that many Mission personnel were not aware of how to file complaints of misconduct. With the exception of SEA cases, there is no focal point for receiving complaints.

### **Recommendations 3 to 5**

UNTSO Management should:

- (i) In consultation with DPKO, establish a programme to review section chief’s performance in preventing misconduct and enforcing UN ethical standards. These responsibilities should be formalized in annual objectives through the PAS system (AP2005/674/01/03);
- (ii) Appoint a focal point for receiving misconduct complaints and inform all personnel of the appointed focal person and on how to file a formal complaint (AP2005/674/01/04); and



(iii) Provide all personnel with periodic information on disciplinary matters occurring in the Mission including disciplinary actions taken (AP2005/674/01/05).

33. *UNTSO noted recommendation 3 and commented that Section Chiefs are frequently reminded of their responsibilities under Staff Regulation 1.3 and staff rules 101.3 requiring that periodic reports be made to evaluate staff members' efficiency, competence and integrity through performance appraisal mechanisms. The CAO has been using the Performance Appraisal System (ePAS) as a management tool for making decisions regarding contract extensions for Chiefs of Sections and for holding them accountable for achieving their goals, the larger goals of the Mission and the United Nations overall objectives. Also, UNTSO has established the local Management Review Committee (MRC) and Joint Monitoring Committee (JMC) in line with sections 11 and 12 of ST/AI/2002/3. However, OIOS points out that its recommendation involves the inclusion of a new objective in all Section Chiefs' PAS reports, wherein the performance of Section Chief's in preventing misconduct and enforcing UN ethical standards will be reviewed and rated accordingly. In this regard, OIOS has revised recommendation 3 indicating that it should be implemented in consultation with DPKO Headquarters to ensure uniformity approach across missions. OIOS will leave this recommendation open until the receipt and review of the documentation evidencing its implementation.*

34. *UNTSO did not accept recommendation 4 commenting that this option circumvents Section Chiefs and the relevant chains of authority. In doing so it runs directly counter to recommendation 3 and provides an excuse to Section Chiefs to fully brief, know and lead their people. UNTSO staff members have been informed on the procedures for reporting suspected misconduct and that they can, without prior consultations with either the COS, CAO or their respective Section Chief, report directly to the OIOS Middle East Resident Auditors' Office.*

35. *UNTSO did not accept recommendation 5 commenting that informing all staff of disciplinary action taken against other staff members will only serve to further embarrass the individual concerned and act as a "second" punishment and that this suggestion runs counter to an individual respect for privacy. UNTSO management does not find this recommendation relevant to the Mission's situation especially as there is no delegated authority on administration of justice. UNTSO further stated that the Mission's strategy of reminding the staff of the standards of conduct expected of them as UN staff members and their responsibility to report suspected misconduct is in line with the practice of the Secretary-General in disciplinary matters as contained in ST/AC/2004/28.*

36. OIOS disagrees with the Mission's responses concerning recommendations 4 and 5. The OIOS survey highlighted genuine expressions of misgivings within the respondents about reporting on perceived incidents of misconduct. The statistics were supported by some respondents' additional comments to the effect that personnel are uncertain about issues of confidentiality and possible retribution within the work place should they report. OIOS believes that an appropriate information strategy, including the dissemination of information on disciplinary action taken on completed investigation will enhance UNTSO personnel's confidence in the investigation procedures and will instill their confidence to report incidents of misconduct. In addition, DPKO supported the recommendations and advised OIOS that *the obligations of missions with regard to*

*establishing focal points to receive complaints, outside of the chain of command, and to the need to inform mission personnel on administrative or disciplinary action taken in misconduct cases will be communicated to senior mission leadership in an upcoming Mission Directive on Sexual Exploitation and Abuse.* In view of this, OIOS requests that UNTSO reconsider its response to recommendations 4 and 5.

#### Jurisdiction of UNMOs attached to the neighboring missions

37. Mission activities are spread over territories in five countries, and groups of UNTSO military observers assist and cooperate with two neighboring missions UNDOF and UNIFIL. Each mission has distinct organizational structures tailored to the individual mandates. For example, as opposed to UNDOF and UNIFIL, UNTSO does not have a Force Military Police Unit (FPMU). Also, only UNTSO had a SIU.

38. We found that BOIs convened by one of the neighboring missions in connection with UNTSO military observer's involved extensive inter-mission communication and highlighted disparate views related to the confidentiality of the underlying information. Furthermore, it appears that instances of UNTSO UNMOs being subject to misconduct or BOIs within one of the neighboring missions are informally handled on case-by-case basis. Notwithstanding expediency merits, the lack of formal inter-mission agreements dealing with jurisdiction of UNMOs working alongside is usually hindering a consistent approach to the full satisfaction of the missions.

39. *UNTSO, in its response to the draft report, indicated that under present arrangements it is COS UNTSO who has Operational Command of all UNTSO UNMOs and is responsible for all aspects of this delegation. This means that discipline issues are handled by COS UNTSO for UNTSO UNMOs working alongside and under operational control of Force Commanders UNIFIL and UNDOF. This has the obvious advantage to both Force Commanders in that they get an operational unit to task without being burdened with a range of administrative issues. For serious discipline issues affecting UNTSO UNMOs working alongside these two other Missions, COS UNTSO, as a matter of courtesy, advises the respective Force Commander of any outcome.*

#### **Recommendation 6**

UNTSO Management should address, under a new Letter of Agreements (LOAs) with UNDOF and UNIFIL, the issue of jurisdiction of UNTSO military observers attached to the joint areas of operations (AP2005/674/01/06).

40. *UNTSO did not accept recommendation 6 and commented that LOUs already exist between UNTSO and UNDOF and UNTSO and UNIFIL. These LOUs clearly state the command and control arrangements using UN command terminology. Present arrangements work well.* It may be noted that by the time of the review, the terms of new LOUs between UNTSO and the two neighboring missions were under consideration, with the involvement of the Legal Advisers. OIOS believes the formal inter-mission agreements should explicitly cover all aspects related to the discipline jurisdiction. For example, it is unclear whether for a particular type of misconduct, UNIFIL or UNDOF should act upon instruction from UNTSO or should they proceed on their own.

Similarly, the procedures of exchange of information about measures taken in cases of misconduct involving members of UNTSO could be also included in the LOU. In view of this, OIOS requests that UNTSO reconsider its response to recommendation 6.

### **C. Misconduct prevention programmes**

#### Risk management and misconduct prevention programmes within the Middle East missions

41. UNTSO is in the process of evaluating the Mission environment in light of the OIOS preliminary review to identify existing or potential problems of discipline or misconduct. Consideration is being given to the global risk environment and dynamics within the Middle East missions, in order to develop appropriate detection and deterrent/enforcement mechanisms. The holistic approach when dealing with discipline is justified by the distinct individual mandates and activities of the Middle East missions. UNTSO has relations with five host countries and two peacekeeping missions; therefore, misconduct occurring in UNIFIL or UNDOF might also have an impact on the Mission's operations and its relations with the host countries. The holistic approach when dealing with misconduct would allow the Mission to determine the high-risk areas that they need to focus on and to develop appropriate procedures to prevent or mitigate the risks.

#### **Recommendation 7**

UNTSO Management should, in coordination with DPKO, jointly conduct with UNDOF and UNIFIL a risk assessment to identify high-risk misconduct issues facing the Mission and to develop a strategy for preventing or mitigating the identified risks (AP2005/674/01/07).

42. *UNTSO acknowledged recommendation 7.* OIOS will leave this recommendation open until the receipt and review of the documentation evidencing its implementation.

#### Training and information on the UN standards of conduct

43. Even though the survey respondents indicated that most of the UNTSO personnel are familiar with the staff rules and regulations relating to discipline, some of them indicated that training on an ongoing basis would reinforce issues relating to the UN standards of conduct. Since the Mission has limited resources to develop and implement comprehensive prevention programmes, the induction training should provide more focus on discipline issues. Enhanced induction programmes and regular refresher courses on conduct and discipline would provide a more comprehensive briefing to all personnel upon arrival and re-familiarize them with the UN standards of conduct.

#### **Recommendation 8**

UNTSO Management should provide new personnel with comprehensive training on UN and UNTSO values and standards of conduct. Refresher training should be provided to all personnel at appropriate intervals (AP2005/674/01/08).

44. *UNTSO accepted recommendation 8 and stated that UN and UNTSO training on values, standards and discipline are given every month during induction training to all new arrivals (civilian and military). Much of this is given personally by the Head of Mission. Refresher training is conducted periodically with HQ UNTSO and at each Outstation location. Based on the clarifications provided, OIOS has closed this recommendation in its recommendation database.*

## **VI. ACKNOWLEDGEMENT**

45. We wish to express our appreciation to the Management and staff of UNTSO for the assistance and cooperation extended to the auditors during this assignment.

Copy to: Mr. Jean-Marie Guéhenno, Under-Secretary-General for Peacekeeping Operations  
Ms. Jane Holl Lute, Assistant Secretary-General, DPKO  
Ms. Donna Marie Maxfield, OIC, ASD/DPKO  
UN Board of Auditors  
Programme Officer, OIOS  
Mr. Cristian Lisov, Auditor-in-Charge

ANNEX-1

Summary of Further Actions Required on Audit Recommendations  
Assignment no. AP2005/674/01 – Audit of the state of discipline in UNTSO

No.	Recommendation/No.	Required evidence of implementation
01	<p>UNTSO Management should establish a clear and specific assignment of responsibilities for the coordination of the Mission's disciplinary framework, including comprehensive terms of reference for the Special Investigation Unit.</p>	<p>Confirmation that comprehensive terms of reference for the SIU have been developed.</p>
02	<p>UNTSO Management should develop, in consultation with DPKO, a mission-wide tracking system of misconduct complaints and disciplinary cases complete with disciplinary actions taken, to monitor the status of individual cases, as well as the overall state of discipline in the Mission.</p>	<p>Confirmation that the database "discipline" tracking system has been developed.</p>
03	<p>UNTSO Management should establish a programme to review section chief's performance in preventing misconduct and enforcing UN ethical standards. These responsibilities should be formalized in annual objectives through the PAS system.</p>	<p>Confirmation that preventing misconduct and enforcing UN ethical standards have been included as a goal in future PAS reports.</p>
04	<p>UNTSO Management should appoint a focal point for receiving misconduct complaints and inform all personnel of the appointed focal person and on how to file a formal complaint.</p>	<p>As stated in the recommendation.</p>
05	<p>UNTSO Management should provide all personnel with periodic information on disciplinary matters occurring in the Mission including disciplinary actions taken.</p>	<p>As stated in the recommendation.</p>
06	<p>UNTSO Management should address, under a new Letter of Agreements (LOAs) with UNDOF and UNIFIL, the issue of jurisdiction of UNTSO military observers attached to the joint areas of operations.</p>	<p>As stated in the recommendation.</p>
07	<p>UNTSO Management should, in coordination with DPKO, jointly conduct with UNDOF and UNIFIL a risk</p>	<p>Evidence of DPKO support for and direction on the risk assessment and the Mission's strategy for preventing and mitigating the</p>

ANNEX-1

Summary of Further Actions Required on Audit Recommendations  
Assignment no. AP2005/674/01 – Audit of the state of discipline in UNTSO

No.	Recommendation/No.	Required evidence of implementation
08	assessment to identify high-risk misconduct issues facing the Mission and to develop a strategy for preventing or mitigating the identified risks. UNTSO Management should provide new personnel with comprehensive training on UN and UNTSO values and standards of conduct. Refresher training should be provided to all personnel at appropriate intervals.	identified risks on misconduct.  Recommendation closed.

**UNTSO - SUMMARY OF SURVEY RESULTS: PART 1**

	Yes	No	Don't know
Are you aware of the UN code of conduct?	89%	9%	2%
Are you aware of what constitutes misconduct or prohibited conduct?	95%	2%	3%
Are you aware that involvement with a prostitute is prohibited under UN standards of conduct?	88%	6%	6%
Do you know that sexual activity with a person under the age of 18 is prohibited?	96%	2%	2%
Do you think that the mission is implementing measures to prevent SEA?	60%	17%	23%
Do you know how to report or file a formal complaint?	64%	28%	8%
Would you report a suspicion of misconduct?	64%	11%	26%
Did you receive briefing or information on UN standards of conduct?	67%	30%	4%
Do you think that misconduct is occurring and going undetected and unpunished?	18%	42%	40%
Do you consider the disciplinary mechanism to be fair?	48%	19%	33%
Do you fear reporting cases of misconduct?	15%	77%	8%
Are you familiar with the status, basic rights and duties of UN staff members? (for civilian personnel only)	89%	4%	7%
Are you aware that you have a duty to report concerns or suspicions regarding SEA by a fellow worker? (for civilian personnel only)	78%	15%	7%

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**UNTSO - SUMMARY OF SURVEY RESULTS: PART 2**


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	Worse 1	2	3	4	Good 5
How do you feel about the overall state of discipline in the mission?	2%	7%	23%	30%	39%
What is your perception of how misconduct cases are handled in the Mission?	4%	11%	37%	20%	27%
How would you characterize the Mission's attitude on dealing with misconduct/disciplinary issues: overall?	4%	8%	44%	18%	26%
How would you characterize the Mission's attitude on dealing with misconduct/disciplinary issues: theft and misappropriation?	2%	8%	42%	20%	29%
How would you characterize the Mission's attitude on dealing with misconduct/disciplinary issues: fraud and misrepresentation?	2%	5%	47%	17%	29%
How would you characterize the Mission's attitude on dealing with misconduct/disciplinary issues: harassment and sexual harassment?	5%	4%	41%	15%	36%
How would you characterize the Mission's attitude on dealing with misconduct/disciplinary issues: physical assault?	0%	0%	44%	18%	38%
How would you characterize the Mission's attitude on dealing with misconduct/disciplinary issues: SEA?	2%	4%	41%	17%	36%
How would you characterize the Mission's attitude on dealing with misconduct/disciplinary issues: others?	6%	7%	37%	21%	29%

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**ANNEX 4**

**Cases of misconduct in UNTSO involving international staff as the alleged offender**

	Complaints received			S T A T U S										Cases that resulted in OHRM sanction					
	Under investigation			Closed without referral to HQ			Dismissed						Referred to HQ						
	2002	2003	2004	2002	2003	2004	2002	2003	2004	2002	2003	2004	2002	2003	2004	2002	2003	2004	
1 Theft and misappropriation	2																		
2 Fraud and misrepresentation																			
3 Harassment and sexual harassment, including verbal assault		2			1														
4 Physical assault														1					
5 Sexual exploitation and abuse																			
6 Abuse of power, position or authority, including inappropriate superior-subordinate relationship																			
7 Misuse of UN resources		1								1									
8 Others	5	2	3	5	2	3	7	4	3	3	3	0	0	0	0	0	0	0	0
<b>TOTALS</b>	<b>7</b>	<b>5</b>	<b>3</b>	<b>3</b>	<b>0</b>	<b>0</b>	<b>7</b>	<b>4</b>	<b>3</b>	<b>3</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1</b>	<b>0</b>

**LEGEND:** (1) Dismissed because case could not be substantiated; (2) Dismissed due to false allegation

**ANNEX 4**

**Cases of misconduct in UNTSO involving national staff members**

	Complaints received			S T A T U S												Cases that resulted in OHRM sanction		
	Under investigation			Closed without referral to HQ				Dismissed				Referred to HQ						
	2002	2003	2004	2002	2003	2004	2002	2003	2004	2002	2003	2004	2002	2003	2004	2002	2003	2004
1 Theft and misappropriation	1	2	1				1	2	1									
2 Fraud and misrepresentation		1	1						1									
3 Harassment and sexual harassment, including verbal assault									1									
4 Physical assault																		
5 Sexual exploitation and abuse																		
6 Abuse of power, position or authority, including inappropriate superior-subordinate relationship																		
7 Misuse of UN resources																		
8 Others		1	1					1	1									
<b>TOTALS</b>	<b>1</b>	<b>5</b>	<b>3</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1</b>	<b>4</b>	<b>3</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

**LEGEND:** (1) Dismissed because case could not be substantiated; (2) Dismissed due to false allegation

**ANNEX 4**

**Cases of misconduct in UNTSO involving military observers**

	Complaints received			S T A T U S				Cases that resulted in repatriation					
	Under investigation			Closed without referral to HQ		Dismissed			Referred to HQ				
	2002	2003	2004	2002	2003	2004	2002	2003	2004	2002	2003	2004	
1 Theft and misappropriation													
2 Fraud and misrepresentation													
3 Harassment and sexual harassment, including verbal assault													
4 Physical assault													
5 Sexual exploitation and abuse													
6 Abuse of power, position or authority, including inappropriate superior-subordinate relationship													
7 Misuse of UN resources	3	1	10										
8 Others				3		9				1	1*		
<b>TOTALS</b>	<b>3</b>	<b>1</b>	<b>10</b>	<b>3</b>	<b>0</b>	<b>9</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1</b>	<b>0</b>

**LEGEND:** (1) Dismissed because case could not be substantiated; (2) Dismissed due to false allegation  
 \* Case resulted in UNMO repatriation in 2005 (included for the purposes of the review in the statistics)