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INTEROFFICE MEMORANDUM

MEMORANDUM INTERIEUR

INTERNAL AUDIT DIVISION - DIVISION DE L'AUDIT INTERNE

OFFICE OF INTERNAL OVERSIGHT SERVICES - BUREAU DES SERVICES DE CONTRÔLE INTERNE

TO: Mr. Hedi Annabi
A: Special Representative of the Secretary-General
MINUSTAH

DATE: 4 March 2008

REFERENCE: IAD: 08-01098

FROM: Dagfinn Knutsen, Director
DE: Internal Audit Division, OIOS



SUBJECT: **Assignment No. AP2007/683/03: Audit of UN Police in MINUSTAH**

OBJET:

1. I am pleased to present the report on the above-mentioned audit, which was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.
2. Based on your comments, all recommendations will remain open in the OIOS recommendations database as indicated in Annex 1. In order for us to close the recommendations, we request that you provide the additional information as discussed in the text of the report and also summarized in Annex 1.
3. Please note that OIOS will report on the progress made to implement its recommendations, particularly those designated as critical, i.e., recommendations 1 and 2, in its annual report to the General Assembly and semi-annual report to the Secretary-General.

I. INTRODUCTION

4. This audit is part of a comprehensive OIOS audit of United Nations Police being carried out at several peacekeeping missions and UN Headquarters.
5. The United Nations Police constitute a key component of peacekeeping operations. Since enactment of its resolution S/RES/1542 in April 2004, the Security Council continues to attach great importance to the need for assisting the then Transitional Government of Haiti through monitoring, restructuring and reforming the Haitian National Police (HNP), consistent with democratic policing standards, through vetting and certifying its personnel, advising on its reorganization and training, as well as monitoring and mentoring the members of the HNP. In August 2006, the Haitian Government adopted the HNP Reform Plan, which became the framework for the development of the Haitian police force. As a result, the MINUSTAH Police Component was restructured to support the development activities required by the Reform Plan.
6. The MINUSTAH Police Concept of Operations of June 2006 identifies four main components: (a) the Office of the Police Commissioner; (b) the Operations Pillar (Pillar I); (c) the Development Pillar (Pillar II); and (d) the Support Pillar under the Chief of Staff (Pillar III). As of August 2006, Security Council Resolution S/RES/1702 authorized

a maximum strength of 1,951 officers including 951 Advisers and 1,000 members of the Formed Police Unit.

7. Comments made by MINUSTAH are shown in *italics*.

II. AUDIT OBJECTIVES

8. The major objectives of the audit were to:
- (a) Evaluate mechanisms used by the Headquarters Police Division to monitor and coordinate police operations in the missions;
 - (b) Assess the efficiency and effectiveness of police operations and mandate fulfillment; and
 - (c) Identify lessons learned to recommend preventive measures and leading practices.

III. AUDIT SCOPE AND METHODOLOGY

9. The auditors interviewed key mission personnel and reviewed documents related to the organization, planning, and operations of the Police Component from the inception of the Mission. Sampling techniques were applied to assess the effectiveness and efficiency of its operations and compliance with policies and procedures.

IV. OVERALL ASSESSMENT

10. The MINUSTAH UN Police generally established an adequate organization in line with its mandate to support the HNP. It planned and implemented the required support activities in the operational and development areas. As a result, there has been substantial improvement in HNP institutional development and operational effectiveness. However, the relationship between the Administration and UN Police in the logistics area was not conducive to effective support of police activities. Also, although there were regular senior management meetings involving the Police Commissioner and his deputies, there was no regular consultation and information sharing at the level of the units and the directorates of Pillar I and Pillar II.

V. AUDIT FINDINGS AND RECOMMENDATIONS

A. Logistics support

Coordination of UNPol logistics support

11. As stated in paragraphs 9 to 12 of the Directive for Heads of Police Components of Peacekeeping Operations of 21 November 2006 – DPKO/PD/2006/00122, cooperation between the Head of Administration and the Head of the Police Component is key to the successful implementation of the Mission's strategy in the rule of law area. The Head of Administration is responsible for facilitation of administrative and logistical support and the Head of the Police Component is to inform the Administration of all operational aspects of the work of the Component that may have administrative or logistical

implications. In order to facilitate effective logistical support to each Mission component, MINUSTAH has established the Joint Logistics Operations Center (JLOC) which includes representatives from the Administration, the military and police components.

12. Despite the presence of police representatives in the JLOC, neither the Administration nor the Police Component were satisfied with the effectiveness of the coordination of UNPol logistics support in terms specific services provided. Notwithstanding UNPol's continuing complaints about the lack of adequate logistics support, the Administration and Police Component did not implement an effective system to forecast UNPol's needs, allowing them to carry out a comprehensive analysis of UNPol requirements beyond the ratios used for budget purposes. In order to improve the situation, UNPol and the Administration established weekly meeting beginning in May 2007 to address these concerns. These sessions were discontinued after three meetings because both sides considered them ineffective. Recently, the Administration and UNPOL have set up a common database to monitor shortfalls in logistics support. As result of the lack of effective communication and coordination between the two offices, the project for the rehabilitation of local police stations and co-location of UNPol officers was delayed. Co-locating UNPol teams with HNP police officers to facilitate monitoring and mentoring constitutes an important activity in achieving MINUSTAH's mandate to strengthen HNP institutions.

Recommendations 1 and 2

(1) MINUSTAH senior management should facilitate the establishment of an effective and efficient coordination mechanism between the Police Component and the Administration to ensure the provision of adequate logistical support for police activities.

(2) The MINUSTAH Administration, in coordination with the Police Component, should finalize the rehabilitation plan for co-locating UN and HNP police officers, showing resource requirements and the expected project completion date.

13. *The MINUSTAH Administration accepted recommendation 1 and stated that, in the absence of an approved co-location plan, overall support requirements were difficult to establish. The Mission added that in its opinion, the appropriate coordination mechanism exists (JLOC), but it needs to be better supported by adequate conceptual planning by UNPol for it to be more effective and efficient. Without a clear understanding of the overall strategy, logistical support was reduced to the consideration of standard ratios. There were also some internal shortcomings within JLOC that need to be addressed, such as the need for competent UNPol officers to perform JLOC functions. This requirement will be referred to Police Division at Headquarters. Recommendation 1 remains open pending: (a) receipt from the Mission of a copy of the approved co-location plan; and (b) confirmation by the Mission of the establishment of the logistical support requirements.*

14. *The MINUSTAH Administration accepted recommendation 2 and stated that the co-location plan is awaiting signature by the Government of Haiti and MINUSTAH.*

Recommendation 2 remains open pending receipt from the Mission of a copy of the signed co-location plan.

B. Organizational structure

Inter-pillar communication/information sharing

15. As described in paragraph 7 above, MINUSTAH's police operations consist of four main components. The Concept of Operations also identified the resources available in each pillar and directorate. Coordination between Pillars I and II is essential to maximize programme and resource synergies and to avoid potential duplication and confusion between UNPol and HNP.

16. The results of operational analyses of the UNPol Pillar I officers co-located with HNP staff should be shared with Pillar II officers in order to facilitate their needs assessments for the effective implementation of the HNP reform plan. At the same time, the Pillar II work programme should be shared with Pillar I in order to address common objectives during the monitoring and mentoring activities of the co-located officers. UNPol Pillars I and II have units work in the same areas (i.e., Judicial Police, Public Security, etc.) and with the same national police counterparts, providing operational and development support respectively. However, there was no effective coordination mechanism for sharing information among units and directorates of the two pillars. Also, the electronic database for the analysis and sharing of information collected during co-location activities was not operational due to the lack of technical skills within the Monitoring and Analysis Cell. Inadequate information sharing mechanisms may result in the loss of information and limit potential for synergies in the work of the two pillars thereby reducing the capacity of the Police Component as a whole to gauge the results of its activities and redirect and/or strengthen its strategy.

Recommendation 3

(3) MINUSTAH UN Police management should establish mechanisms to share knowledge/information resulting from co-location activities to improve planning and coordination at the concerned directorates and units.

17. *The MINUSTAH Administration accepted recommendation 3 and stated that the Police Monitoring Analysis Cell has completed a database for the reporting of all monitoring and mentoring activities in all regions. This database will be used to identify HNP training needs, assess the progress of HNP in the field, and assist in planning and coordinating police activities. All relevant UNPol monitors and mentors were trained on the use of the database.* Recommendation 3 remains open pending receipt of documentation from the Mission showing the implementation of the database.

VI. ACKNOWLEDGEMENT

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

cc: Mr. Luiz Carlos Da Costa, Principal Deputy Special Representative of the Secretary-General, MINUSTAH
Mr. Philip Cooper, Director, Department of Field Support
Mr. Swatantra Goolsarran, Executive Secretary, UN Board of Auditors
Mr. Jonathan Childerley, Chief, Oversight Support Unit, Department of Management
Mr. Byung-Kun Min, Programme Officer, OIOS
Mr. Malick Diop, Chief Resident Auditor, MINUSTAH

STATUS OF AUDIT RECOMMENDATIONS

Recom. no.	C/O¹	Actions needed to close recommendation	Implementation date²
1	O	Submission to OIOS of a copy of the approved co-location plan, and confirmation by the Mission of the establishment of the logistical support requirements	
2	O	Submission to OIOS of a copy of the signed co-location plan	
3	O	Submission to OIOS of documentation showing the implementation of the database to share knowledge/information on co-location activities	

¹ C = closed, O = open

² Date provided by MINUSTAH in response to recommendations