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INTEROFFICE MEMORANDUM MEMORANDUM INTERIEUR

INTERNAL AUDIT DIVISION I
OFFICE OF INTERNAL OVERSIGHT SERVICES

To: Mr. Soren Jessen-Peterson
A: Special Representative of the Secretary-General
UNMIK

Date: 3 November 2005

From: Patricia Azarias, Director
De: Internal Audit Division I, OIOS

Reference: AUD-7-5:70 (05-00235 /05)

Subject: **OIOS Audit No. AP2005/650/10: Review of the State of Discipline
in the United Nations Interim Administration Mission in Kosovo**

1. I am pleased to present herewith the final report on the above-mentioned review, which was conducted in March and April 2005.
2. We note from your response to the draft report that most of recommendations have been accepted. Based on your response and clarification, we have closed recommendation 8, 16, 17 and 18 in the OIOS recommendation database. We also have withdrawn recommendation 6, 7, 9, 10 and 12 addressing the related issues to Headquarters in the OIOS consolidated report on the global discipline review. OIOS reiterates recommendation 13 and requests that you reconsider your initial response concerning this recommendation. In order to close the remaining recommendations, we request that you provide us with the additional information as discussed in Annex 1. Please note that OIOS will report on the progress made to implement its recommendations, particularly those designated as critical, i.e., recommendations 1, 2, 11, 14, 15, 16, 19 and 22, 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.
4. I take this opportunity to thank the management and staff of UNMIK for the assistance and cooperation provided to the auditors in connection with this special DPKO assignment.

Copy to: Mr. Jean-Marie Guehnno, 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
Ms. Sharon Fitzpatrick, Auditor-in-Charge
Mr. Fakhri K. Dajani, OIC, Auditor, UNMIK

Office of Internal Oversight Services

Internal Audit Division I



Review of the State of Discipline in UNMIK

Audit no: AP 2005/650/10
Report date: 2 November 2005
Audit team: Sharon Fitzpatrick, Auditor-in-Charge
Marites Sese, Auditor

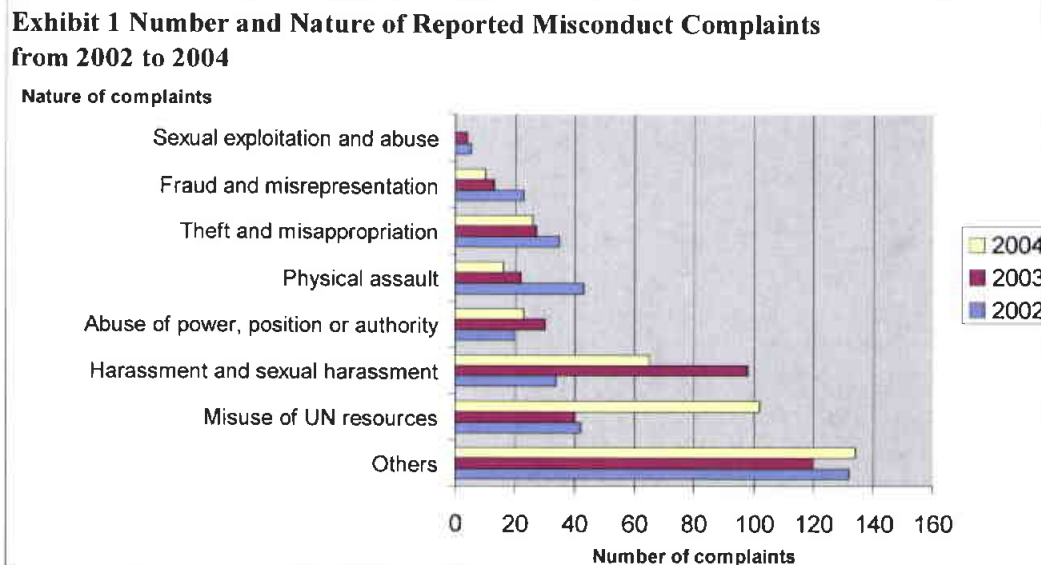
EXECUTIVE SUMMARY

Review of the State of Discipline in UNMIK (Assignment No. AP 2005/650/10)

OIOS conducted a review of the state of discipline in the United Nations Interim Administration Mission in Kosovo (UNMIK) in March and April 2005. The main objectives of the review were to assess the overall state of discipline in the Mission; identify gaps in existing policies and procedures on discipline; and identify tools that the Mission requires to maintain an environment of good order and adherence to the Code of Conduct.

Overall, OIOS is of the opinion that the Mission's disciplinary framework is functioning, but not as effectively as it should be. A strong framework starts with senior management commitment. During the review, OIOS found that some senior managers are not actively supporting and promoting the standards of conduct. Although UNMIK has sound mechanisms in place for addressing misconduct, it lacks mission-wide coordination as well as key oversight controls. The information systems for collecting, tracking and monitoring misconduct complaints need to be further developed into a mission-wide database. In addition, a comprehensive reporting system should be developed for senior management decision-making. There were indications of control weaknesses in applying disciplinary action¹ fairly and consistently. OIOS agrees with management's view that there are gaps in the civilian preliminary investigation policies and procedures. Lastly, there is a need to provide comprehensive, reoccurring training to personnel on the Organization's values, standards of conduct and disciplinary processes.

Based on a conducted survey, OIOS found that UNMIK personnel have a positive perception of the state of discipline in the Mission. Eighty-six per cent of respondents rated the state of discipline as normal to good. In 2004, the number of serious misconduct complaints occurred at a rate of 1.7 per cent of the Mission personnel population, and the number of disciplinary cases at a rate of 0.2 per cent of the population. Exhibit 1 shows the number and nature of misconduct complaints in 2002, 2003 and 2004. During the review, OIOS did not find any unreported cases of serious misconduct, such as sexual exploitation and abuse.



¹ The term "disciplinary action" refers to both administrative corrective action (i.e. reprimands) and disciplinary measures (i.e. sanctions imposed by OHRM).

While UNMIK personnel were positive in their overall assessment, they were critical of the lack of transparency, fairness and consistency of the Mission's current disciplinary processes. A general distrust in these processes has created a real or perceived environment of apathy towards misconduct issues. Both managers and staff expressed this point of view. When asked if misconduct is occurring, going undetected and unpunished, 34 per cent of survey respondents indicated that it was. This is of concern, particularly as the Mission continues to downsize, and personnel cope with additional pressure in making the right decisions.

Below are the main recommendations OIOS believes will improve the current disciplinary framework in UNMIK:

Reinforce Leadership in Promoting and Enforcement of the UN standards of conduct

- Ensure that all senior managers make a stated and visible commitment to promote the standards of conduct.
- Provide training to senior and middle management on disciplinary policies and procedures.

Strengthen Oversight Mechanisms

- Establish a clear and specific assignment of responsibilities for the coordination of the Mission's disciplinary framework.
- Consider establishing a disciplinary board to improve transparency, consistency and independence of the disciplinary process.
- Conduct regular mission-wide assessments to identify, document and prioritize misconduct risks.

Improve, Clarify and Simplify Policies and Procedures

- Review the fairness and consistency of disciplinary actions imposed.
- Develop clear, consistent procedures and guidelines for the civilian preliminary investigation process.
- Provide formal investigation training to civilian staff who conduct the fact-finding process into alleged misconduct incidents.

Improve Communication, Information and Reporting

- Develop a comprehensive and reliable reporting system to inform senior management and, as necessary, its staff about the actions taken following incidents and lessons learned.
- Improve consultation and feedback mechanisms between UNMIK and DPKO for disciplinary policy development.

Enhance Awareness and Prevention Programmes

- Provide comprehensive training and information on UN values and standards of conduct to all personnel at induction training and on a reoccurring basis.
- Determine the reasons behind the high rate of the United Nations Volunteers (UNV) dissatisfaction with the disciplinary processes, and take necessary corrective action.

TABLE OF CONTENTS

CHAPTER	PARAGRAPHS
I. INTRODUCTION	1 – 6
II. AUDIT OBJECTIVES	7
III. AUDIT SCOPE AND METHODOLOGY	8 – 9
IV. OVERALL ASSESSMENT	10 – 11
V. AUDIT FINDINGS AND RECOMMENDATIONS	
A. The State of Discipline in the Mission	12 - 29
B. Implementation of Policy and Procedures on Discipline	30 - 59
C. Personnel Awareness and Prevention Misconduct Programmes	60 - 77
D. Best Practices	78
VI. ACKNOWLEDGEMENT	79

ANNEXES:

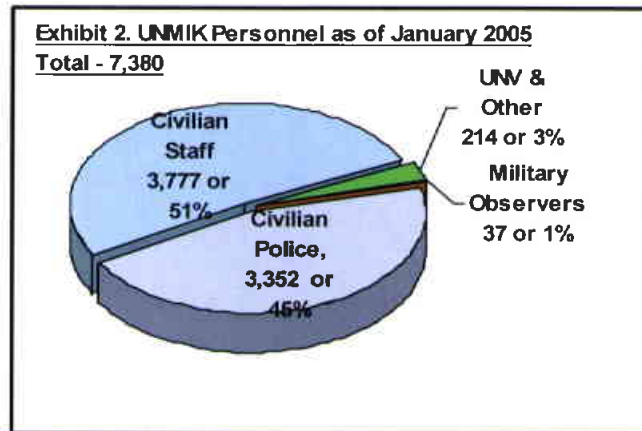
- Annex 1 Summary of Further Actions Required on Audit Recommendations
- Annex 2 Summary of Survey Results – Part 1
- Annex 3 Summary of Survey Results – Part 2
- Annex 4.1 2002 to 2004 Discipline Statistics – International Staff
- Annex 4.2 2002 to 2004 Discipline Statistics – National Staff
- Annex 4.3 2002 to 2004 Discipline Statistics – UNVs and Other Civilian Personnel
- Annex 4.4 2002 to 2004 Discipline Statistics – Military Observers
- Annex 4.5 2002 to 2004 Discipline Statistics – Civilian Police

I. INTRODUCTION

1. The Office of Internal Oversight Services (OIOS) conducted a review of the state of discipline in the United Nations Interim Administration Mission in Kosovo (UNMIK). The review was conducted in accordance with the standards for the professional practice of internal auditing in the United Nations.

2. The review was requested by the Department of Peacekeeping Operations (DPKO) to determine the state of discipline in peacekeeping operations worldwide. There were a series of meetings held between DPKO, the Office of Human Resources Management (OHRM), and OIOS, which resulted in establishing the terms of reference for the review and the development of an agreed audit programme.

3. Kosovo is under the administration and authority of the United Nations, pursuant to UN Security Council resolution 1244 (1999). The Mission's 2005-2006 budget is approximately \$253 million. As of January 2005, the Mission had 7,380 personnel (Exhibit 2 provides a breakdown by personnel category). The Mission is gradually transferring powers to the Provisional Institutions of Self-Government and is continuing to downsize its operations.



4. OIOS believes that one factor affecting the likelihood of meeting the Mission's mandate is the ability of UNMIK to ensure that personnel maintain the highest standards of integrity and conduct. Like physical and financial assets, the Mission's code of conduct is something that demands investment, safeguarding and maintenance. Moreover, like security, discipline is a high-risk area, where one infraction if widely publicized, could tarnish the reputation of the Mission and undermine its mandate.

5. OIOS is also of the opinion that the nature of peacekeeping operations makes it vulnerable to certain forms of misconduct. Mission personnel work in a demanding environment that includes higher security risk, a non-family station and confined movement. In addition, local conditions challenge personnel to exercise good judgment and discretion. UNMIK personnel are administrators, as well as observers. The geographic location of Kosovo and its economic environment contribute to levels of crime and corruption, including human trafficking. The operational challenges within the Mission will increase, as it continues to downsize. There is and continues to be decentralization and delegation of authority, which requires effective oversight controls. These environment and operational risks require a sound disciplinary framework to support personnel in making the right decisions.

6. The comments made by UNMIK Management on the draft audit report have been included in this report as appropriate and are shown in italics.

II. AUDIT OBJECTIVES

7. The major objectives of the audit were to:
- a) Assess the state of discipline in the Mission;
 - b) Identify gaps in existing policies and procedures on misconduct and 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

8. OIOS reviewed statistical data and documentation on misconduct complaints and disciplinary cases from January 2002 to December 2004, conducted a survey on the state of the Mission's discipline covering all personnel categories, and held over 30 confidential interviews with various levels and categories of personnel.

9. In addition, OIOS reviewed relevant disciplinary policies and procedures used by the Mission, and examined awareness and prevention programs and in-house training materials to determine the extent to which management promotes an environment of good order and adherence to the UN standards of conduct.

IV. OVERALL ASSESSMENT

10. In general, Mission personnel have a positive perception of the state of discipline, with 86 per cent of respondents rating it as normal to good. However, they also expressed distrust in the disciplinary mechanisms, which has created an environment of apathy when taking action on misconduct issues. Thirty-four per cent of survey respondents indicated that misconduct is occurring, going undetected and unpunished.

11. The Mission's disciplinary systems and processes are functioning, but not as effectively as they should be. OIOS found that the Mission has sound mechanisms in place for addressing misconduct, but it lacks mission-wide coordination as well as key oversight controls. In addition, OIOS agrees with management's view that there are gaps in UN policies and procedures to guide civilian management in the preliminary investigation process. Other areas for improvement include stronger leadership in promoting the UN standards of conduct, and providing comprehensive information and training on values, conduct, and disciplinary processes to management and staff.

V. AUDIT FINDINGS AND RECOMMENDATIONS

A. The State of Discipline in the Mission

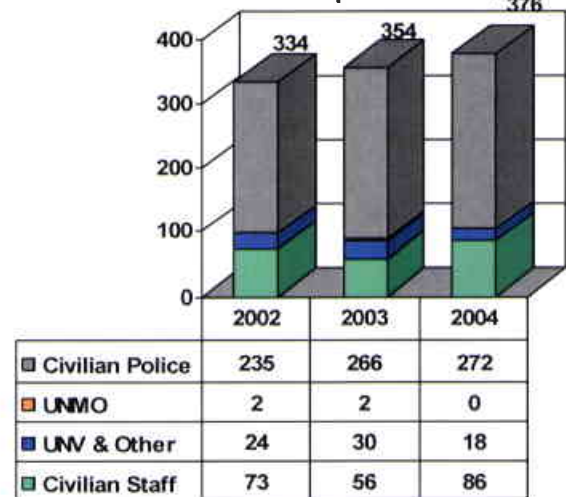
Reported misconduct complaints and disciplinary cases

12. 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), Chief Administration Services (CAS) section of the DOA, Special Investigations Unit (SIU) within Security, Internal Investigation Services (IIS) at CIVPOL, and OHRM.

13. Over the 3-year period 2002 to 2004, there were approximately 1,064 misconduct complaints (Exhibit 3 provides a breakdown by personnel category). In 2004, the total number of complaints, 376, represents approximately 5 per cent of the total Mission personnel population (7,380). OIOS found two factors that may have contributed to the increase in the number of cases from 2002 to 2004. First, an increase in reported/recorded negligent driving complaints (CIVPOL), for example, the number increased from 18 in 2003 to 72 in 2004. Second, the increase in civilian staff complaints from 2003 to 2004 is likely due to the Mission's discrimination and harassment awareness campaigns.

Exhibit 3

Number of Misconduct Complaints Received



14. OIOS further categorized misconduct complaints into three general areas: (i) minor misconduct complaints; (ii) serious misconduct complaints; and (iii) disciplinary cases sent to OHRM. As shown in Exhibit 4, five hundred and seventy or 53 per cent of misconduct complaints were generally minor in nature; 423 or 40 per cent were serious misconduct complaints; and 71 or 7 per cent were disciplinary cases submitted to OHRM.

Exhibit 4. Number and Nature of Complaints for 2002, 2003 and 2004							
Year	Minor Complaints ²	Per cent of Total	Serious Complaints ³	Per cent of Total	Disciplinary Cases	Per cent of Total	Total Complaints
2002	174	52%	130	39%	30	9%	334
2003	160	45%	169	48%	25	7%	354
2004	236	63%	124	33%	16	4%	376
Total	570	53%	423	40%	71	7%	1,064

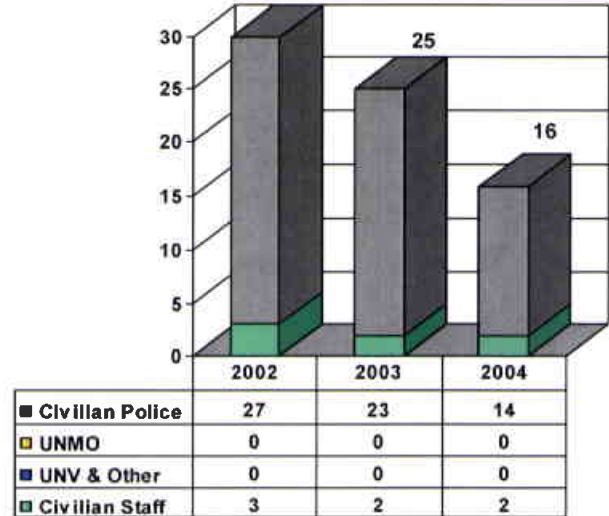
² Minor complaints – Any act, omission, or negligence that does not result in or is not likely to result in major damage or injury to an individual or the mission (per DPKO's Directive Disciplinary Matters CIVPOL & UNMO).

³ Serious complaints – Any act, omission, or negligence that results in or is likely to result in serious damage or injury to an individual or to the mission. (per DPKO's Directive Disciplinary Matters CIVPOL & UNMO).

Exhibit 5 Number of Cases that resulted in OHRM Sanction or Repatriation 30

15. Exhibit 5 shows that seventy-one complaints were referred to OHRM for review and disciplinary measures. In 2004, there were 16 cases, which represent a rate of 0.2 per cent of the total Mission personnel population.

16. The number of disciplinary cases has decreased from 2002 to 2004. One contributing factor is the reduction in CIVPOL personnel. In 2004, the nature of infractions were as follows: driving while intoxicated - 3 cases; AWOL - 2; firearm violation - 2; conduct unbecoming of an officer - 2; insubordination - 2; falsification of records - 2; sexual harassment - 1; neglect of duty -, 1; and theft - 1 case.



17. OIOS found that management at DOA, CAS, SIU, and CIVPOL have developed and/or improved information systems for recording, tracking and regular reporting of misconduct complaints. For example, as of April 2005, SIU is providing management with monthly misconduct statistics and analysis of investigations conducted by their unit. However, the statistical information we obtained for our analysis was not readily available and in some cases incomplete. OIOS also found no mission-wide comprehensive reporting provided to senior management to enable them to monitor the Mission's state of discipline.

Recommendation 1

UNMIK Management should establish a mission-wide tracking system of misconduct complaints and investigations to monitor the status of individual cases as well as the overall state of discipline in the Mission. The system should be able to generate regular and comprehensive reports on disciplinary issues including statistics on misconduct complaints and disciplinary cases (AP2005/650/10/01).

18. UNMIK referred recommendation 1 to DPKO stating that DPKO should develop a standard UN tracking system that is exportable to all UN missions, which would encompass the different categories, ranging from theft, fraud, physical assault, sexual exploitation and abuse, abuse of power, misuse of UN assets, complaints of discrimination and/or harassment or any other forms of misconduct. The global tracking system, owned by DPKO, would not only be more cost effective but a powerful management tool in gauging the state of discipline. The DPKO tracking system would have the further advantage of ensuring that other Missions do not recruit proven offenders in ignorance. 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 it can be confirmed that it has been implemented.

Perceptions of the state of discipline

19. OIOS supplemented its analysis of reported misconduct complaints with a survey. The survey provided information on the perceptions personnel have on the state of discipline in the Mission. As shown in Exhibit 6, ten per cent of the population responded to the survey with a better response rate from three of the four categories. The low response from civilian staff was most likely caused from “survey fatigue”, as this was their fourth survey on the topic of code of conduct/integrity in the last two years.

Category	Population	Response Rate	
		No.	%
Civilian Staff	3,777	196	5%
UNV & Other	214	44	21%
Military Observers	37	26	70%
CIVPOL	3,352	485	14%
TOTAL	7,380	751	10%

20. Over 90 per cent of respondents were aware of the rules and regulations surrounding the UN standards of conduct. However, 12 per cent of UNVs and eight per cent of civilian staff indicated that they were not familiar with the status, basic rights and duties of UN staff members

21. Seventy-one per cent of respondents said the Mission was taking measures to address sexual exploitation and abuse (SEA). Of this 71 per cent, only 49 per cent said SEA measures were effective, 28 per cent said measures were not effective; and 23 per cent did not know whether they were effective or not.

22. Eighty per cent of respondents were aware of their duty to report suspicions of SEA. However, 26 per cent of UNVs and 13 per cent of civilian staff respondents indicated they were unaware of this requirement. Comments provided by survey respondents indicated that they would like more information on the Mission’s SEA programme initiatives.

23. A significant number of respondents from civilian staff (29 per cent), UNVs (62 per cent) and UNMOs (48 per cent) indicated they did not know how to file a formal misconduct complaint.

24. Seventy-eight per cent of respondents would report suspicions of misconduct, however 22 per cent of UNV respondents would not report. There were no survey comments to determine the reasons why UNVs would not report.

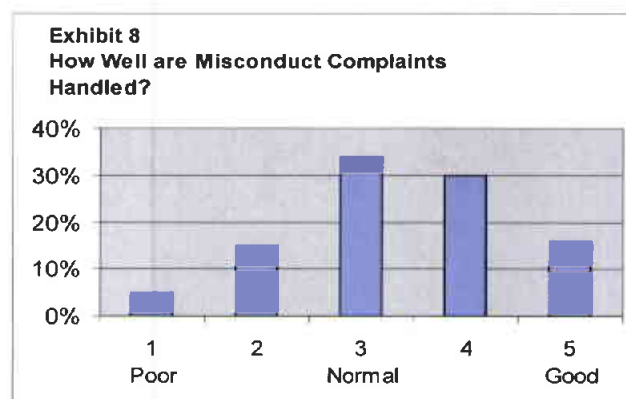
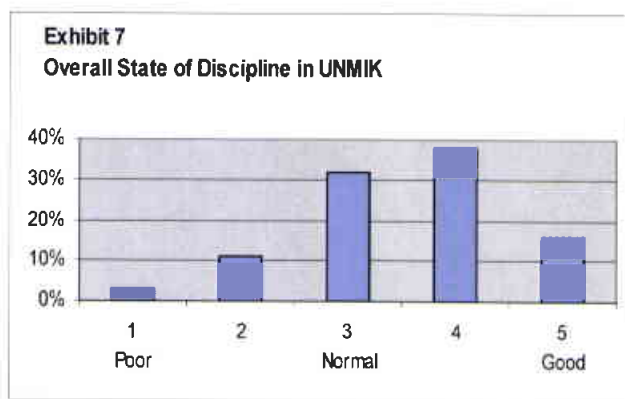
25. A significant number of respondents from civilian staff (25 per cent), UNVs (26 per cent) and UNMOs (38 per cent) said they did not receive a briefing on standards of conduct at induction. Comments provided by respondents indicated that they would like detailed information on the standards of conduct.

26. Overall, 34 per cent of respondents said misconduct was occurring and going undetected and unpunished. The breakdown by category was 38 per cent CIVPOL, 35 per cent UNVs, 27 per cent civilian staff and eight per cent UNMOs.

27. Overall, 20 per cent of respondents said disciplinary mechanisms were unfair. Of concern was the number of comments from CIVPOL respondents on the perceived lack of due process, where the alleged offender is assumed guilty before innocent. In addition, there were a significant number of comments from CIVPOL respondents stating that disciplinary action was inconsistently applied, depending on the position, nationality, and/or gender of the officer.

28. Overall, 82 per cent of respondents said they did not fear reporting misconduct; however, a significant number of UNV (38 per cent) and civilian staff (18 per cent) respondents said they did fear reporting. Common reasons cited included fear of non-renewal of appointment and other forms of reprisal.

29. When asked to rate the overall state of discipline in the Mission, 86 per cent rated it as normal to good (see Exhibit 7). When asked to rate how well the Mission handled misconduct complaints, 80 per cent rated it as normal to good (see Exhibit 8).



B. Implementation of Policies and Procedures on Discipline

Incidents of misconduct may not be reported

30. While the Mission has internal control systems to guard against the occurrence of misconduct, it is not realistic to expect that incidents of misconduct can be eliminated in an organization the size of UNMIK. Incidents of misconduct can and do happen in any location and at any hierarchical level within the Mission. This means that all parts of UNMIK must have the mechanisms to deal with incidents, which entail first the means to make personnel aware that misconduct has happened. Two factors encourage people to report incidents of misconduct: (i) they know how to report and whom to report to; and (ii) their working environment is supportive of such reporting.

31. OIOS found that CIVPOL has a clear misconduct complaint process. This was determined from a review of the CIVPOL Policies and Procedures Manual (PPM) and confirmed from survey responses. However, a large percentage of respondents from UNVs (68 per cent), civilian staff (29 per cent) and UNMOs (48 per cent) said they did not know how to file a misconduct complaint. This indicates that management needs to regularly inform personnel on who the focal points are in the Mission for receiving misconduct complaints; as well as how to file a formal complaint.

Recommendation 2

UNMIK Management should regularly inform civilian staff, UNMOs and UNVs on who the focal persons are in the Mission for receiving complaints, and how to file a formal complaint (AP2005/650/10/02).

32. *UNMIK accepted recommendation 2 and stated that while waiting for the recruitment of the Code of Conduct Officer, prior to issuing a comprehensive list of Mission focal persons, the Mission will broadcast an information message on lotus notes to all personnel of the focal persons/offices for receiving complaints of misconduct. OIOS will leave this recommendation open until it can be confirmed that it has been implemented.*

33. The extent to which the Mission supports the reporting of potential misconduct is an important indicator of both its commitment to its own rules and its credibility in the eyes of its personnel. OIOS interviewed personnel who indicated that the work environment does not always support reporting of misconduct incidents. Common reasons cited were: fear of reprisal, lack of confidence in the disciplinary process, lack of support for managers who enforce the disciplinary process and take corrective action, and a “code of silence”, where reporting is “strongly discouraged”.

34. The perception that management will fail to act appropriately on reported misconduct, and distrust in current processes appear to have deterred some reporting. During interviews, personnel expressed concerns about the negative impact on morale when appropriate action is not taken to correct unacceptable behavior of colleagues, including supervisors. A system that encourages reporting of suspected misconduct is needed.

Recommendations 3 and 4

UNMIK Management should:

- (i) In consultation with DPKO, establish a programme to review section and unit chief performance in preventing misconduct and enforcing UN ethical standards. This should form part of a section/unit chiefs’ annual performance appraisal through the PAS system (AP2005/650/10/03); and
- (ii) Provide all personnel with periodic information on disciplinary cases occurring in the Mission including disciplinary actions taken (AP2005/650/10/04).

35. *UNMIK accepted recommendation 3 and stated that UNMIK will ensure that programme managers put emphasis on the managerial and leadership competencies of their Section/Unit Chiefs when filling their PAS, including the way a supervisor deals with misconduct and unethical behaviour of his/her staff. It is to be noted that upon receipt of a staff complaint, the Administration makes sure that these complaints have first been addressed and dealt with by the immediate and higher level supervisors. OIOS will leave this recommendation open until it can be confirmed that it has been implemented.*

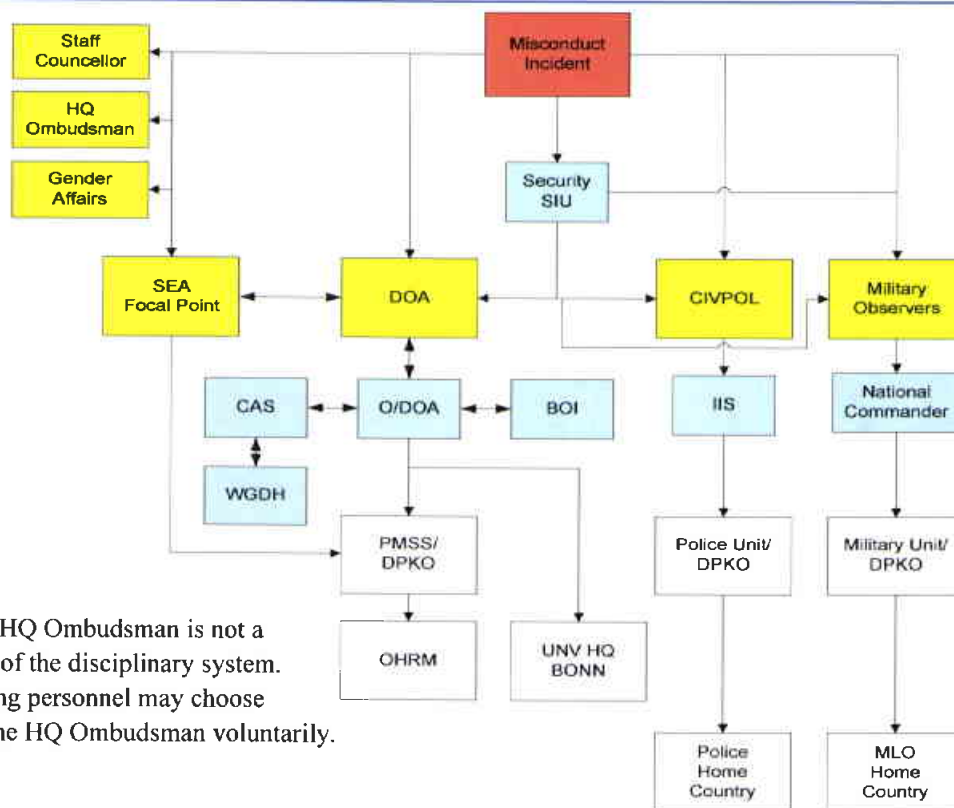
36. *UNMIK accepted recommendation 4 and stated that the Mission has no authority to pursue disciplinary actions, which are required to be referred to Headquarters under ST/AI/371 (1991) for disciplinary due processing. The practices of the Secretary-General in disciplinary matters are periodically published and generally accessible by all personnel through the UN website. UNMIK management stated further that the Mission, in its annual discrimination and harassment awareness briefings, informs personnel and staff of the number of cases closed, numbers of those cases that have resulted in managerial actions, and the number of cases*

forwarded to New York for disciplinary processing. In OIOS' opinion, consideration should be given to utilizing UNMIK broadcasts in providing personnel with the periodic information on disciplinary cases. OIOS will leave this recommendation open until it can be confirmed that it has been implemented.

Preliminary investigation process

37. The Mission has several different channels to report and/or resolve misconduct incidents. Exhibit 9 provides an overview of the different offices involved in handling misconduct complaints and disciplinary cases.

Exhibit 9 An Overview of UNMIK's Disciplinary Support Systems



Note: The HQ Ombudsman is not a formal part of the disciplinary system. Peacekeeping personnel may choose to consult the HQ Ombudsman voluntarily.

38. OIOS reviewed SIU and CIVPOL IIS investigation policies and procedures and found them to be adequate. However, OIOS is concerned about the number of CIVPOL respondents that indicated weaknesses in due process, one that assumes guilt before innocence. For example, a survey respondent commented, "Police officers normally have no chance to prove they are not guilty. This happens especially in cases of sexual harassment, in a few days they are repatriated... (This) is very strange since the UN should defend the principle of innocence until proven guilty."

Recommendation 5

UNMIK Management should review the CIVPOL investigation policies, procedures, and practices for real or perceived weaknesses in due process, one that assumes guilt before

innocence, and take the necessary corrective actions (AP2005/650/10/05).

39. *UNMIK accepted recommendation 5 and stated that the process of adapting the Police Policy and Procedure Manual (PPM) is ongoing. As a first step, the compulsory Board of Inquiry for serious violations was installed. OIOS will leave this recommendation open until it can be confirmed that it has been fully implemented.*

40. In the civilian preliminary investigation process, selected panel members from the working group on discrimination and harassment (WGDH) conduct the fact-finding process into alleged discrimination and harassment cases. Overall, the Mission's civilian preliminary investigation process is working effectively. However, OIOS agrees with management's view that the policies and procedures lack clarity in defining misconduct terminology, and does not provide management with adequate guidance when conducting a preliminary investigation (ST/AI/371, ST/AI/379, Civilian Procedures for Preliminary Investigations Process, DPKO, October 2003).

Recommendation 6

UNMIK Management, in consultation with DPKO, should improve the civilian preliminary investigation policies and procedures, by clarifying misconduct definitions and providing a more comprehensive guideline (AP2005/650/10/06).

41. *UNMIK accepted recommendation 6 and stated that the Mission will forward the recommendation to DPKO for the improvement of the civilian preliminary investigation policies and procedures, to clarify misconduct definitions and to provide guidelines that are more comprehensive. Since 2003, the Mission has been in communication with DPKO on the need to issue official UN definitions of discrimination and harassment, which are pending DPKO finalization. As a best practice initiative, in September 2003, the Mission introduced several measures to improve and standardize the Mission's due process for conducting preliminary fact-finding investigations. Two-day internal workshops were held in November 2003 and subsequently in May 2005, and sixty staff members were trained in preliminary fact-finding, interviewing and report writing techniques. OIOS noted the Mission's comments and also included this issue in the consolidated report on the global discipline review. In view of this, OIOS has withdrawn this recommendation at the mission level.*

There is a need for training on formal investigation procedures

42. Although members of the WGDH have received basic in-house investigation training, OIOS believes that there is a need for formal investigation training for civilian staff conducting preliminary investigations. In addition, SEA guidelines suggest that personnel conducting these preliminary investigations be professional investigators with expertise in handling SEA cases. In OIOS' opinion, UNMIK personnel lack the necessary training in handling SEA preliminary investigations.

Recommendation 7

UNMIK Management, in consultation with DPKO, should provide civilian personnel responsible for conducting preliminary investigations with training on formal investigation techniques. UNMIK should also provide specific training to those personnel responsible for conducting SEA preliminary investigations (AP2005/650/10/07).

43. *UNMIK accepted recommendation 7 commenting that training modules are currently under elaboration by the training sub-group for SEA of the DPKO Task Force on SEA. The proposed module 3 will inter alia cover the management of the investigative process and appropriate processing of allegations of SEA. This module will be eventually included in all senior leadership/management courses. A pilot delivery is planned for the CTDS Senior Leadership Induction programme. The schedule for the module's delivery to the remaining senior leadership staff is to be determined following the Pilot.* OIOS noted the Mission's comments and addressed this issue to Headquarters in the consolidated report on the global discipline review. In view of this, OIOS has withdrawn this recommendation at the mission level.

44. OIOS found that a high percentage of preliminary investigations involving CIVPOL (30 per cent annually) and civilian staff go unfounded or unproven. When management was asked for reasons causing the high rates, both civilian and CIVPOL managers cited that some managers are using the preliminary investigation process to resolve personnel performance issues. Management indicated that there is a need to train managers on how to handle staff performance issues.

Recommendation 8

UNMIK Management should provide section and unit managers with training and/or guidance on how to resolve staff performance issues (AP2005/650/10/08).

45. *UNMIK accepted recommendation 8 and stated that workshops on supervisory skills and conflict resolution are given on a regular basis in the Mission. They could be made mandatory for supervisors. However, the Mission does not use preliminary investigative fact-finding process to resolve personnel performance issues.* Based on UNMIK's comments, OIOS has closed recommendation 8.

46. Regardless of who undertook the preliminary investigation in the Mission, OIOS found that investigations started relatively quickly and with few exceptions closed the complaint within a reasonable timeframe. However, Mission management pointed out that processing of disciplinary cases by OHRM often resulted in slow resolution. OIOS is of the opinion that OHRM should review and decide on cases referred to it in a timely manner. OIOS, in a separate report, will make a recommendation to OHRM and DPKO towards this end.

Disciplinary and corrective action

47. OIOS is concerned that both the civilian staff and CIVPOL disciplinary processes may not support a fair and consistent application of disciplinary action. A significant number of survey respondents cited lack of transparency, independence, and consistency in applying disciplinary actions.

48. To apply disciplinary action fairly and consistently, managers need to have clear guidance. OIOS found that CIVPOL policies are clear on what disciplinary action to take, and there is a foundation of precedent. However, there were a significant number of CIVPOL respondents indicating that disciplinary action, in practice, is applied inconsistently depending on the officer's position, nationality, and/or gender.

49. OIOS also found a lack of clear guidance that spells out the consequences for misconduct offences for civilian staff. In addition, there is an absence of information on past administrative corrective action and disciplinary measures imposed.

Recommendations 9 and 10

UNMIK Management:

(i) Should request DPKO to develop clear guidelines for civilian staff on administrative corrective action, as well as disciplinary measures, applied to misconduct offences (AP2005/650/10/09); and

(ii) In consultation with DPKO, consider establishing a disciplinary board in the Mission to review preliminary investigations and recommend disciplinary actions. The purpose of the board would be to improve transparency, consistency, and independence of current disciplinary mechanisms and help restore confidence in the disciplinary processes (AP2005/650/10/10).

50. *UNMIK accepted recommendation 9 and stated that the Mission will forward the recommendation to DPKO to DPKO for the improvement of the civilian preliminary investigation policies and procedures, to clarify misconduct definitions and to provide guidelines that are more comprehensive.* OIOS noted the Mission's comments and addressed this issue to Headquarters in the consolidated report on the global discipline review. In view of this, OIOS has withdrawn this recommendation at the mission level.

51. *UNMIK stated that recommendation 10 should be referred to DPKO commenting that the Mission has no authority for conducting a formal disciplinary due process. As outlined in ST/AI/371 (1991), disciplinary action should be referred to Headquarters for formal processing. The Mission suggests OIOS address this recommendation directly with DPKO.* Based on UNMIK's response and in light of recent developments on establishing the Code of Conduct units in field missions, OIOS has withdrawn this recommendation.

Disciplinary policies and procedures

52. It is important that managers have a good understanding of disciplinary policies in order to apply them appropriately and consistently. During interviews, management raised concerns about the gaps in knowledge that managers have on disciplinary policies and procedures.

Recommendation 11

UNMIK Management, in consultation with DPKO, should provide training to managers at all levels on disciplinary policies and procedures (AP2005/650/10/11).

53. *UNMIK accepted recommendation 11 and stated that the Mission, on its own initiative, has conducted annual discrimination and harassment awareness briefings to the staff. The Mission has imposed mandatory attendance to civilian and UNV personnel, for the 2005 discrimination and harassment awareness briefings, which are still on going, from June to September 2005. UNMIK stated further that official DPKO guidelines and framework would be greatly welcomed, and suggested that PMSS/DPKO take an active role in providing consistency in the training of managers on matters concerning disciplinary policies and procedures. In this regard, DPKO advised OIOS that it would develop the training material. An estimate date for full implementation would be December 2006 since the current DPKO disciplinary procedures are expected to be revised in 2006. OIOS will leave this recommendation open until it can be confirmed that it has been implemented.*

54. OIOS found that the Mission proactively develops and disseminates mission-specific disciplinary guidance in the form of manuals, policies and administrative instructions. In addition, management evaluates UN disciplinary policies and procedures and forwards their comments and recommendations to DPKO. However, both civilian and CIVPOL management expressed concerns on the lack of consultation and feedback from DPKO when developing and/or improving disciplinary policies and procedures.

Recommendation 12

UNMIK Management and DPKO should discuss and implement measures to improve consultation and feedback mechanisms when developing disciplinary policies and procedures (AP2005/650/10/12).

55. *UNMIK stated that recommendation 12 would be referred to DPKO because the Mission has no authority to demand formal participation in the development of disciplinary policies and procedures. OIOS noted UNMIK's comments and addressed this issue to Headquarters in the consolidated report on the global discipline review. In view of this, OIOS has withdrawn this recommendation at the mission level.*

56. OIOS agrees with CIVPOL management's view that there is a gap between the Directive for the Civilian Police Commissioner on Assignment with the UNMIK, issued by DPKO in March 2005, and the mission-specific PPM with regard to the severity of cases of "intoxication while in public". The PPM has a zero-tolerance policy, whereas the DPKO Directive considers

this a minor misconduct unless it is repeated, at which time it becomes serious misconduct. This inconsistency sets out two different consequences for the same misconduct incident.

Recommendation 13

UNMIK Management and CIVPOL senior officers, in consultation with DPKO, should review and resolve the inconsistencies of misconduct disciplinary actions between Directive for the Civilian Police Commissioner on Assignment with the UNMIK and the mission-specific procedures (PPM) (AP2005/650/10/13).

57. *UNMIK did not accept recommendation 13 and stated that the nature of the Mission (armed executive Police Mission) does not allow accepting intoxication while on duty or in public as a minor misconduct. Correspondence is continuing with DPKO/PD. In OIOS' opinion, the inconsistency in the procedures should be resolved. In this regard, OIOS reiterates recommendation 13 and requests UNMIK management reconsider its response. OIOS will leave this recommendation open until it can be confirmed that it has been implemented.*

58. As illustrated in Exhibit 9, the Mission has several offices that manage discipline in the Mission. OIOS believes that stronger coordination between the various offices would improve the consistency and efficiency in the Mission's disciplinary framework. This could be accomplished by clearly identifying an office that would oversee the Mission's disciplinary framework.

Recommendation 14

UNMIK Management should clearly assign oversight responsibilities to an office that would maintain the disciplinary framework, including coordinating a mission-wide approach for prevention, detection and monitoring of misconduct. The office should be at a high level within the Mission's organizational structure (AP2005/650/10/14).

59. *UNMIK accepted recommendation 14 and stated that the Mission has already initiated the recruitment process of a Code of Conduct Officer at P-5 level for the Office of the SRSG. The Mission however, cannot commit to a deadline, as it does not have delegated authority of recruitment for O/SRSG. OIOS will leave this recommendation open until it can be confirmed that it has been implemented.*

C. Personnel Awareness and Misconduct Prevention Programmes

Management leadership in promoting discipline

60. Employees look to senior management to determine whether adherence to the standards of conduct should be taken seriously or whether the standards are just empty rhetoric. A stated

and visible commitment by senior management is essential to establish and maintain an environment of good conduct. Openness is one sign of management's commitment.

61. Some senior managers actively promote high standards of integrity and conduct, and operate with openness. OIOS attended several town hall meetings and awareness sessions that provided information and dialogue on code of conduct information and initiatives. However, during interviews, both managers and staff indicated that some senior managers did not visibly promote the code of conduct. Mission personnel noted the absence of some senior managers at discrimination and harassment awareness sessions and at town hall meetings regarding code of conduct issues, e.g., SEA. This sent out a message that those senior managers do not take disciplinary matters seriously.

62. Leaders at all levels have an obligation to promote high standards of integrity and conduct. OIOS encourages senior management to ensure that all managers understand their roles in this regard and to support all managers in enforcing disciplinary policies and procedures.

Recommendation 15

UNMIK senior management should visibly promote the Mission's Code of Conduct initiatives. In addition, senior and line managers' roles and responsibilities in promoting integrity and standards of conduct, and enforcing disciplinary policies and procedures should be clearly specified (AP2005/650/10/15).

63. *UNMIK accepted recommendation 15 and stated that the Mission embarked on a 'Conflict of Interest' awareness programme for all mission staff between 18 November 2004 and 31 March 2005. This was supplemented with 'the Conflict of Interest' video package, which was distributed to mission management to disseminate further to their staff. OIOS will leave this recommendation open until it can be confirmed that it has been implemented.*

The Office of the Staff Counselor

64. In August 2003, the DOA's office identified the Office of the Staff Counselor (OSC) as a recommended route for preliminary discussion of formal and informal complaints. The OSC plays a key role in providing services to UNMIK management and staff, and assists the Mission in the prevention, processing and resolution of misconduct issues. On average, the OSC conducts 20 formal consultations a week, covering a wide range of issues pertaining to staff mental health and welfare and a proportion of these issues relate to the UN standards of conduct. The OSC is often the first point of contact for staff members when they experience difficulties in the workplace. Early intervention, in the form of confidential counseling, often serves to diffuse problems in the workplace, which might otherwise lead to formal complaints of misconduct.

SEA awareness and prevention programme

65. The Mission has taken several steps in developing a SEA prevention programme, including:

- a) In January 2005, the SRSG named a SEA focal point and a SEA alternate focal point;
- b) A process for collecting complaints throughout Kosovo, through the Victim and Witness Protection Unit of the Department of Justice, is being established;
- c) The SEA focal point, works in concert with the in-country team;
- d) An outreach program is being developed to raise awareness among the Kosovo population. SEA awareness has been included in both civilian and CIVPOL induction training; and
- e) "Off limits" premises are regularly identified by CIVPOL and Security; however, OIOS noted that the list is not regularly provided to civilian staff, UNVs and UNMOs.

66. OIOS encourages the Mission to continue to develop and implement the SEA prevention programme, including finalizing the preliminary investigation procedures. Given the interest expressed by survey respondents, OIOS believes that it is important to keep Mission personnel informed on the progress of the SEA programme initiatives. In addition, OIOS believes that all levels of management should review the Secretary General's Bulletin, ST/SGB/2003/13 Special Measures for Protection from SEA, with their staff to ensure they understand their responsibilities, including their obligation to report suspected SEA.

Recommendations 16 to 18

UNMIK Management should:

- (i) Regularly inform all personnel on the progress of the Mission's SEA programme and initiatives (AP2005/650/10/16);
- (ii) Require all levels of Mission management to review the ST/SGB/2003/13 Special Measures for Protection from SEA with their staff, including their obligation for reporting suspected SEA (AP2005/650/10/17); and
- (iii) Regularly inform civilian staff, UNVs and UNMO's of the current "off-limits" premises list (AP2005/650/10/18).

67. *UNMIK accepted recommendation 16 and stated that the SRSG has had town hall meetings; the design of a public information campaign has been initiated this month to reach out to the local population; the launch will include information on the programmes and procedures put in place for the prevention of SEA.* In view of this, OIOS has closed recommendation 16.

68. *UNMIK accepted recommendation 17 and stated that in February 2005, the SG's bulletin 2003/13 was disseminated to all staff under cover of a letter from the SRSG, which clearly set out the definitions of SEA and the consequences of SEA-related misconduct. Information on 2003/13 is periodically disseminated through UNMIK All e-mail messages; an internal SEA awareness campaign for all personnel with pamphlets, prominent poster displays provided by DPKO/NY was implemented. The SG's Bulletin is included in the induction package for all incoming UNMIK personnel; UNMIK CIVPOL also provides special briefings on the Code of Conduct for incoming police offices, including a briefing on the Bulletin. COMKFOR confirms*

that KFOR has procedures for sensitization of its personnel on SEA prevention. In view of this, OIOS has closed recommendation 17.

69. UNMIK accepted recommendation 18 and stated that the list is now published by the SRSG rather than by the Police and Justice Pillar. In view of this, OIOS has closed recommendation 18.

Code of Conduct training and information

70. The arrival of new personnel provides the Mission with an opportunity to convey its values and standards of conduct through induction training. A significant number of survey respondents from civilian staff, UNVs and UNMOs indicated that they did not receive any information on the standards of conduct during induction. Survey respondents also indicated that training on a reoccurring basis would reinforce issues relating to standards of conduct. Although some personnel want refresher training, OIOS found that UNMIK provides these courses only for specific areas, such as discrimination and harassment.

71. In addition to training, management should consider the merits of providing the standards of conduct in an easy to understand booklet, similar to the "Security in the Field" booklet. Having personnel certify that they have read and understood the standards of conduct, would send a strong message that it is of high importance to the Organization.

Recommendations 19 and 20

UNMIK Management should:

- (i) Provide new personnel with comprehensive training on UN values and standards of conduct. Refresher training should be provided to all personnel at appropriate intervals (AP2005/650/10/19); and
- (ii) Consult with DPKO in providing information on the UN values and code of conduct in an easy to understand booklet, and require personnel to certify that they have read and understood the information (AP2005/650/10/20).

72. UNMIK accepted recommendation 19 and stated that all new personnel as of September 2005 are required to attend the Mission's orientation programme, which in the near future will include the screening of the *Discrimination and Harassment Awareness and Conflict of Interest* videos. OIOS will leave this recommendation open until it can be confirmed that it has been implemented.

73. UNMIK stated that the Mission would refer recommendation 20 to DPKO for developing an easy to understand booklet. DPKO also commented that recommendation 20 regarding information on UN standards of conduct in user-friendly language is best addressed to OHRM. DPKO will support OHRM in this regard. OIOS addressed this issue to Headquarters in the consolidated report on the global discipline review. OIOS will leave this recommendation open until it can be confirmed that it has been implemented.

Risk management

74. Risk management is an integral part of good management practice. It involves identifying, assessing and addressing risks or vulnerabilities to which the Mission is exposed. Although the Mission applies elements of risk management in its current efforts to prevent misconduct, there has been no formal risk assessment conducted to identify significant risks related to misconduct in the Mission.

75. The significant number of negative survey responses from UNVs indicates a potential area of concern to the Mission. Management should assess the reasons causing the dissatisfaction.

Recommendations 21 and 22

UNMIK Management should:

- (i) Coordinate with DPKO in conducting a risk assessment to identify high-risk misconduct issues facing the Mission and to develop a strategy for preventing or mitigating the identified risks (AP2005/650/10/21).
- (ii) Identify the reasons for the high level of dissatisfaction conveyed by UNVs in the survey and take the necessary corrective action (AP2005/650/10/22).

76. *UNMIK accepted recommendation 21.* OIOS will leave this recommendation open until it can be confirmed that it has been implemented.

77. *UNMIK's UNV Support Unit took note of recommendation 22 and stated that the number of respondents (44) to the survey was too small to set conclusive findings. In addition, it is not clear whether all 44 respondents are UN volunteers or includes personnel under a different contractual status since the questionnaire is labeled "UNV and Other". However, the suggestions of the report will be given consideration.* OIOS will leave this recommendation open until it can be confirmed that it has been implemented.

D. Best Practices

78. OIOS found that the Mission has developed and implemented a number of initiatives that promote an environment of high standards of integrity and conduct. Below are several best practices that are currently in place:

- a) Focal point clearly established for the receipt of discrimination and harassment complaints;
- b) Discrimination and harassment awareness sessions, surveys and working group;
- c) Office of the Staff Counselor;
- d) Conflict-of-interest video and materials;
- e) Monthly misconduct statistics and analysis from SIU;

- f) Off-limits programme including involvement of local officers;
- g) CIVPOL Policies and Procedures Manual (PPM);
- h) CIVPOL investigation procedures and manuals;
- i) SEA agency coordination and community outreach programme; and
- j) Personnel Conduct Officer post.

VI. ACKNOWLEDGEMENT

79. We wish to extend our utmost appreciation to UNMIK management and staff for their immediate assistance and cooperation provided to us during this assignment.



Patricia Azarias, Director
Internal Audit Division I, OIOS

Summary of Further Actions Required on Audit Recommendations

UNMIK responses to the audit recommendations contained in this report have been recorded in the OIOS recommendations database for monitoring and reporting purposes. Please note that the following recommendations remain open pending the provision by UNMIK of evidence that they have been implemented as described:

RECOMMENDATION NO.	REQUIRED EVIDENCE OF IMPLEMENTATION
AP2005/650/10/01	Evidence of a mission-wide tracking system of misconduct complaints and investigations.
AP2005/650/10/02	Evidence of issuance of comprehensive list of Mission focal persons.
AP2005/650/10/03	Evidence that a programme to review section and unit chiefs' performance in preventing misconduct and enforcing UN ethical standards is incorporated in the section/unit chiefs' annual performance through the PAS system.
AP2005/650/10/04	Evidence that information on disciplinary cases occurring in the Mission including disciplinary action taken is periodically provided to all personnel.
AP2005/650/10/05	Evidence of the result of the review undertaken on the CIVPOL investigation policies, procedures, and practices for real or perceived weaknesses in due process.
AP2005/650/10/11	Evidence that all managers at all levels have taken training on disciplinary policies and procedures.
AP2005/650/10/13	Evidence of the action taken by DPKO/PD to review and solve inconsistencies of misconduct disciplinary actions between Directive for the Civilian Police Commissioner in UNMIK and the mission-specific procedures (PPM).
AP2005/650/10/14	Pending staffing of Conduct Officer to function as an oversight office that will maintain disciplinary framework.
AP2005/650/10/15	Evidence that the roles and responsibilities of the senior and line managers in promoting integrity and standards of conduct and enforcing disciplinary policies and procedures are clearly specified.
AP2005/650/10/19	Evidence of that comprehensive training to new personnel and refresher training to all personnel are carried out
AP2005/650/10/20	Evidence of DPKO support and action to provide easy to understand booklet on UN values and code of conduct; evidence requiring recipient personnel that they read and understood the information
AP2005/650/10/21	DPKO lead to conduct risk assessment for UNMIK to determine high-risk misconduct issues
AP2005/650/10/22	Actions taken by UNMIK management to identify reasons for the high level of dissatisfaction conveyed by UNV in the survey.

UNMIK - SUMMARY OF SURVEY RESULTS: PART 1

	Yes	No	Don't know
Are you aware of the UN code of conduct?	94%	5%	1%
Are you aware of what constitutes misconduct or prohibited conduct?	98%	1%	1%
Are you aware that involvement with a prostitute is prohibited under UN standards of conduct?	98%	1%	1%
Do you know that sexual activity with a person under the age of 18 is prohibited?	96%	3%	1%
Do you think that the mission is implementing measures to prevent SEA?	71%	13%	16%
Do you know how to report or file a formal complaint?	75%	19%	6%
Would you report a suspicion of misconduct?	78%	12%	10%
Did you receive briefing or information on UN standards of conduct?	87%	10%	3%
Do you think that misconduct is occurring and going undetected and unpunished?	34%	26%	40%
Do you consider the disciplinary mechanism to be fair?	56%	20%	24%
Do you fear reporting cases of misconduct?	13%	82%	5%
Are you familiar with the status, basic rights, and duties of UN staff members? (for civilian personnel only)	91%	6%	3%
Are you aware that you have a duty to report concerns or suspicions regarding SEA by a fellow worker? (for civilian personnel only)	80%	16%	4%

UNMIK - SUMMARY OF SURVEY RESULTS: PART 2

	Worse 1	2	3	4	Good 5
How do you feel about the overall state of discipline in the mission?	3%	11%	32%	38%	16%
What is your perception of how misconduct cases are handled in the Mission?	5%	15%	34%	30%	16%
How would you characterize the Mission's attitude on dealing with misconduct/disciplinary issues: overall?	4%	14%	42%	25%	15%
How would you characterize the Mission's attitude on dealing with misconduct/disciplinary issues: theft and misappropriation?	5%	13%	38%	21%	23%
How would you characterize the Mission's attitude on dealing with misconduct/disciplinary issues: fraud and misrepresentation?	7%	14%	40%	18%	21%
How would you characterize the Mission's attitude on dealing with misconduct/disciplinary issues: harassment and sexual harassment?	4%	13%	36%	21%	26%
How would you characterize the Mission's attitude on dealing with misconduct/disciplinary issues: physical assault?	2%	7%	40%	23%	28%
How would you characterize the Mission's attitude on dealing with misconduct/disciplinary issues: SEA?	4%	11%	37%	20%	28%
How would you characterize the Mission's attitude on dealing with misconduct/disciplinary issues: others?	6%	10%	39%	20%	25%

ANNEX 4.1

Cases of Misconduct in UNMIK 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			
1 Theft and misappropriation	13	6	7															
2 Fraud and misrepresentation	7	1	3			1							2					
3 Harassment and sexual harassment, including verbal assault	2	9	10			4						1	1	1				
4 Physical assault	6	3	4															
5 Sexual exploitation and abuse	5											1						
6 Abuse of power, position or authority, including inappropriate superior-subordinate relationship	7	3	11			8						1	2	2	1			
7 Misuse of UN resources	9	8	7									2	1	1	1			
8 Others																		
TOTALS	49	30	42	0	0	13	0	0	0	0	0	0	7	4	5	3	2	2

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

ANNEX 4.2

Cases of Misconduct in UNMIK Involving National Staff Members 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	
1	10	7	10																	
2	6	2	2																	
3	2	6	9					2												
4	2	2	3					2												
5																				
6	2	7	9																	
7	2	2	7																	
8																				
TOTALS	24	26	40		0	0	0	4	0	0	0	0	0	0	0	0	0	1	0	

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

ANNEX 4.3

Cases of Misconduct in UNMIK Involving UNVs and Other Civilian Personnel as the Alleged Offender

	S T A T U S												Cases that resulted in OHRM sanction					
	Complaints received			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	5	6															
2 Fraud and misrepresentation	5	1																
3 Harassment and sexual harassment, including verbal assault	7	6	7															
4 Physical assault	2	3	1															
5 Sexual exploitation and abuse																		
6 Abuse of power, position or authority, including inappropriate superior-subordinate relationship	4	10	1															
7 Misuse of UN resources	4	3	3															
8 Others																		
TOTALS	24	30	18	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

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

ANNEX 4.4

Cases of Misconduct in UNMIK Involving Military Observers as the Alleged Offender

	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	1	1										
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	1	1										
8 Others												
TOTALS	2	2	0	0	0	0	0	0	0	0	0	0

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

ANNEX 4.5

Cases of Misconduct in UNMIK Involving Civilian Police Officers as the Alleged Offender

	S T A T U S												Cases that resulted in repatriation						
	Complaints received			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	10	8	2																
2	5	9	5																
3	23	18	8																
4	33	14	8																
5	0	0	0																
6																			
7	7	71	33																
8	26	27	85																
	131	119	131																
TOTALS	235	266	272	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
							N/A	N/A	61	39	47	35	21	27	23	15	12	14	

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

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INTERNAL AUDIT DIVISION I
OFFICE OF INTERNAL OVERSIGHT SERVICES

Client Satisfaction Survey

The Internal Audit Division-1 is assessing the overall quality of its audit process. A key element of this assessment involves determining how our clients rate the quality and value added by the audits. As such, I am requesting that you consult with your managers who dealt directly with the auditors, and complete the survey below. I assure you that the information you provide will remain strictly confidential.

Audit Title & Assignment No.: Review of the state of discipline in UNMIK (AP2005/650/10)

By checking the appropriate circle please rate:

1. The extent to which the audit addressed your concerns as a programme manager.
2. The audit staff's understanding of your operations and objectives.
3. The professionalism of the audit staff (communications, integrity, professional knowledge and responsiveness)
4. The quality of the audit report in terms of:
 - accuracy and validity of findings and conclusions
 - clarity and conciseness
 - balance and objectivity
 - timeliness
5. The extent to which the audit recommendations were appropriate and helpful.
6. The extent to which your comments were considered by the auditors.
7. Your overall satisfaction with the conduct of the audit and its results.

	1 (poor)	2	3	4(excellent)
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
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Please comment on any areas in which you have rated the audit team's performance as below your expectations. Also, please feel free to provide any further comments you may have on the audit process to let us know what we are doing well and what can be improved.

Name: _____ Date: _____

Title: _____

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Thank you for taking the time to fill out this survey. Please send the completed survey form as soon as possible to:

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Room DC2-518, 2 United Nations Plaza
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By email: iad1support@un.org