TO: BUTTENHEIM, UNIFICYP, NICOSIA
    CHOI, UNMOC, SRINAGAR
    FERNÁNDEZ, MINUSTAH, PORT-AU-PRINCE
    JOHNSON, UNMISS, JUBA
    KILPIA, UNTSO, JERUSALEM
    KOENDERS, UNOCI, ABIDJAN
    KUBIS, UNAMA, KABUL
    LANDGREN, UNMIL, MONROVIA
    MEECE, MONUSCO, KINSHASA
    MINDAOUĐOU, UNAMID, EL-Fasher
    RESKE-NIELSEN, UNMIT, DILI
    SERRA, UNIFIL, NAQOUA
    SINGHA, UNDOF, CAMP FAOUIR
    TESFAY, UNISFA, ABYEI
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INFO: MUBURI-MUITA, UNOAU, ADDIS ABABA

FROM: LADSOUSS, UNATIONS, NEW YORK
       HAQ, UNATIONS, NEW YORK

DATE: 8 October 2012

NUMBER: 2097

SUBJECT: DPKO/DFS Policy for internal evaluations and inspections of United Nations Police

1. The increasingly complex mandates entrusted to United Nations Police in the field have created the need for enhanced capacity and guidelines to evaluate and inspect their operational and technical performance and capacities. This Headquarters is pleased to share the “DPKO/DFS Policy on Internal Evaluations and Inspections of United Nations Police” (ref. 2012.13). This policy replaces DPKO/PD/2006/00032 “Guidelines on Internal Evaluations for the Police Components of Peace Operations".
2. The policy came into force on 1 October 2012 and will be available on the United Nations Peace Operations Policy and Practice database.

3. The policy also outlines the role of internal evaluation units of police components. We would kindly ask all Heads of Police components to forward the contact details of the leader of their respective internal evaluation units to the Police Standards Compliance and Audit Officer, Mr. Keith Murray (murrayk@un.org, telephone 917 367 8105) by close of business on 26 October.

   Best regards.

[Drafted by Murray, DPKO/ROLSI/PD]
United Nations
Department of Peacekeeping Operations /
Department of Field Support
Ref. 2012.13

DPKO/DFS Policy

Internal evaluations and inspections of United Nations Police

Approved by: USG DPKO
              USG DFS
Effective date: 1 October 2012
Contact: Office of the Police Adviser, Police Division, DPKO
Review date: 1 October 2014
A. PURPOSE

1. This document outlines the policy for the conduct of internal evaluations and inspections by the Police Division Standards Compliance and Audit Officer or by the Internal Evaluation Units (IEU) of United Nations police components in peacekeeping operations and special political missions (hereafter peace operations). It also defines the relationship and the division of labour between the Police Division Standards Compliance and Audit Officer and the United Nations police components. It is consistent with the DPKO/DFS Headquarters Self-Evaluation Policy (August 2010).

B. SCOPE

2. Compliance with this Policy is mandatory for all Headquarters and field personnel in the Department of Peacekeeping Operations (DPKO) and Department of Field Support (DFS), in particular United Nations police officers and other personnel working in United Nations peace operations on rule of law issues that may be subject to evaluations and investigations.

3. Other United Nations personnel working with United Nations peace operations should be aware of this Policy.

C. RATIONALE

4. The increasingly complex mandates of United Nations police have created the need for enhanced capacity to evaluate and inspect their operational and technical performance and capacities. Consequently, the Police Standards Compliance and Audit Officer post was established in the Police Division to complement the Internal Evaluation Units (IEU) of the United Nations police components in peace operations.  

D. POLICY

5. Basic parameters

*Police internal evaluations and inspections*

5.1. Internal evaluations and inspections shall cover United Nations police-specific procedures, practices, programmes, issues or organizational unit within the Police Division or within police components in peace operations other than those directly related to finance and property.\(^2\)

5.2. Internal evaluations and inspections shall assist the Police Adviser and Director of the Police Division, Office of Rule of Law and Security Institutions, DPKO (hereafter Police Adviser) in the core function of providing strategic direction and oversight of policing issues in peace operations.

5.3. Internal evaluations and inspections are complementary to those conducted by entities such as the Office of Internal Oversight Services (OIOS), and the Division of Policy, Evaluation and Training (DPET) but shall concentrate exclusively on police operational and technical issues. They will conform to the OIOS norms and standards for evaluation in the United Nations System.\(^3\)

*Police Division Police Standards Compliance and Audit Officer*

5.4. The Police Standards Compliance and Audit Officer (Compliance Officer), in the Office of the Police Adviser, is responsible for the evaluation and inspection of procedures, practices or programmes in the Police Division and in the police components in peace operations.\(^4\)

5.5. The Compliance Officer also provides support and guidance to the IEU internal evaluations.

5.6. The Compliance Officer is the Police Division focal point for all United Nations police evaluations, inspection and audit matters. He/she will consult/coordinate with heads of section within Police Division and with Heads of Police Components in relation to internal audits and inspections as appropriate. He/she will keep a record of all police internal evaluations and inspections. He/she will also liaise with OIOS and DPET as necessary.

5.7. The Compliance Officer does not conduct either investigations of allegations of misconduct by United Nations police officers or financial audits.

5.8. The Compliance Officer may propose standard procedures or conduct analyses in order to develop best practices.

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\(^2\) Matters of finance and property will be referred to OIOS.


\(^4\) Other members of the Police Division, including the Standing Police Capacity (SPC), may assist the Compliance Officer in an internal evaluation or inspection.
5.9. The Compliance Officer reports directly to the Police Adviser.

*Internal Evaluation Units (IEU) of police components*

5.10. The IEU\(^5\) evaluates procedures, practices or programmes of police components in peace operations.

5.11. The team leader of the IEU reports directly to the Head of the Police Component (HOPC).

5.12. The team leader of the IEU is the focal point for evaluations, inspection and audit matters in the police component.

5.13. The IEU does not conduct either investigations of allegations of misconduct by United Nations police officers or financial audits.

5.14. The IEU may propose standard procedures or conduct analyses in order to develop best practices.

6. **Initiating an internal inspection or evaluation**

*Within the Police Division*

6.1. The Police Adviser or any member of the senior management team of the Police Division may initiate an internal evaluation or inspection of procedures, practices or programmes concerning his or her area of responsibility. The initiation shall take the form of a request supported by a brief rationale, which should mention whether the issue or practice carries a potential risk for the Police Division.

6.2. Requests other than those initiated by the Police Adviser shall be submitted to the Police Adviser for approval.

6.3. Upon approval, the Police Adviser refers the request to the Compliance Officer for assessment and action. DPKO/DFS SMT may be kept informed on such initiatives, as required.

6.4. In consultation with the requesting officer, the Compliance Officer shall prepare terms of reference for the internal evaluation or inspection. To the extent possible, the terms of reference should be finalised within one week.

6.5. Upon approval of the terms of reference by the Police Adviser, the internal evaluation or inspection shall commence.

6.6. The Assistant Secretary-General for Rule of Law and Security Institutions should be informed of such initiatives and their results.

\(^5\) In small police components, the function of the IEU may be carried out by a United Nations police officer assigned as Internal Evaluation Focal Point.
6.7. The HOPC or any member of the police component’s senior management team may initiate an internal evaluation or inspection of procedures, practices or programmes. The request shall take the form of a brief rationale and should mention whether the procedure, practice or programme carries a potential risk for the police component.

6.8. Requests other than those initiated by the HOPC shall be submitted to the HOPC for approval.

6.9. If the request does not carry any potential risk\(^6\) for the police component and is approved by the HOPC, the HOPC shall refer the request to the IEU of the police component for action.

6.10. In consultation with the requesting officer, the IEU shall prepare terms of reference for the internal evaluation. To the extent possible, the terms of reference should be finalised within one week.

6.11. Upon approval of the terms of reference by the HOPC, the internal evaluation shall commence.

6.12. The IEU will forward the terms of reference of each approved internal evaluation to the Compliance Officer.

6.13. If the request concerns a procedure, practice or programme which carries a potential risk for the police component or the peace operation, the HOPC shall immediately refer it to the Police Adviser.

6.14. Upon receipt of the referral, the Police Adviser shall request the Compliance Officer to assess it to determine whether it falls under the category of an internal evaluation or inspection.

6.15. If the request is assessed as requiring an internal inspection, the inspection shall be led by the Police Division through its Compliance Officer.

6.16. If the request contains issues that fall outside the remit of the Compliance Officer, he/she shall recommend that the Police Adviser refers the request to one or more relevant entities, such as OIOS or DPET, to determine the most appropriate course of action.\(^7\)

6.17. The Police Adviser may also initiate a police internal evaluation or inspection of any police component in peace operations.

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\(^6\) This Policy uses the OIOS definition of “Risk,” see Section E (below) for full definition.

\(^7\) This may take the shape of action by OIOS or DPET, or a joint-inspection with the Compliance Officer.
7. Conducting an internal inspection or evaluation

7.1. Any internal evaluation and inspection shall strictly follow the approved terms of reference and shall be carried out in compliance with the United Nations rules, regulations and other applicable issuances.\(^8\)

7.2. The Compliance Officer and the IEU will have access to all relevant documents and personnel.

7.3. The Police Adviser or the HOPC, upon advice of the Compliance Officer or the IEU respectively, shall decide on the security classification of an internal evaluation or inspection, based, inter alia, on the sensitivity of the matter.

7.4. Once an internal evaluation or inspection is approved, the Compliance Officer or IEU will assign a title and reference number to the internal evaluation or inspection. The security classification must follow the Secretary-General's Bulletin on Information Sensitivity, Classification and Handling (ST/SGB/2007/6) and the classification must be clearly stated in all correspondence.

7.5. All internal evaluations and inspections shall be fully documented and shall include but not be limited to structured or semi-structured interviews, examination of documents, practices, processes, site-visits and cross-checking or verification of information.

8. Preserving, recording and securing documentation\(^9\)

8.1. The Compliance Officer shall keep a full and accurate record of all internal evaluations or inspections across missions. The IEU shall do the same for all internal evaluations and inspections conducted within its mission. The record shall, to the extent possible, be developed in an electronic format.

8.2. Each internal evaluation or inspection file shall contain all documents pertaining to it, with an index listing all the documents. When feasible, case files shall be preserved in electronic format.

8.3. All files processed shall be treated in accordance with their security classification and shall not be shared outside the Police Division or police component of the peace operation without the explicit authorisation of the Police Adviser or Head of Police Component.

8.4. The Compliance Officer or the IEU are responsible for taking the requisite measures to preserve, record and secure all records, files and other related information in accordance with the security classification.

8.5. All communication with the Compliance Officer and/or the IEU shall be in accordance with the security classification of the internal evaluation or inspection.

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\(^8\) See section F (below) for list of relevant references.

\(^9\) Again, documentation shall be handled in line with the Secretary-General's Bulletin on Information Sensitivity, Classification and Handling (ST/SGB/2007/6).
9. Following up on internal evaluations and inspections

Reporting and sharing results

9.1. Upon completion of an internal evaluation or inspection, the Police Adviser or the HOPC shall immediately be briefed by the Compliance Officer and/or the team leader IEU, as appropriate.

9.2. The Compliance Officer or the IEU shall also prepare a report on their findings for the Police Adviser or the HOPC, within two weeks of the completion of the internal evaluation or inspection.

9.3. The first section of the report shall contain an executive summary with the recommendations. The main section of the report shall be divided into sub-sections on the areas evaluated or inspected. In each sub-section, the strengths and areas for improvement shall be clearly outlined. A matrix of the recommendations with proposed timeframes and person/units/sections responsible for action, if applicable, shall be included at the end of the evaluation report.

9.4. If appropriate, the report shall be shared with the head of the evaluated or inspected component for their comments, prior to its finalisation. Comments may be incorporated into the report, but decisions on the content of the report rest with the Compliance Officer or the IEU.

9.5. The report recommendations shall be reflected in the relevant person’s, unit’s, or section’s workplan.

9.6. The IEU shall send an electronic copy of all internal evaluation reports to the Compliance Officer.

9.7. The Police Adviser will decide on the distribution of any report. In addition, any best practices, lessons learned or similar knowledge identified may also be shared with the appropriate parties.

Follow-up on implementation of recommendations

9.8. The Compliance Officer or IEU shall follow-up on the implementation of the report recommendations no later than three months after the date of publication of the report.

9.9. This shall consist of inter alia a follow-up internal evaluation or inspection, or a written feedback to the Compliance Officer and/or the IEU.

9.10. Each follow-up action shall be reflected in the matrix of recommendations contained in the internal evaluation or inspection report.

E. TERMS AND DEFINITIONS

Internal evaluation in the United Nations police context: A systematic, discrete process, as objective as possible, to determine relevance, efficiency, effectiveness, impact, and/or sustainability of any element of United Nations police procedures, practices or programmes.
Internal inspection in the United Nations police context: A review of a United Nations police organisation unit, issue or practice perceived to be of potential risk in order to determine the extent to which it adheres to normative standards, including policies and standard operating procedures.

Risk in the context of a United Nations police internal inspection: The likelihood and impact of an event with the potential to negatively influence the achievement of the Police Division's or police component's objectives and goals or to personnel working within them.\(^\text{10}\)

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F. REFERENCES

Normative or superior references

- ST/SGB/2010/1, Secretary-General's Bulletin on the Organization of the Department of Peacekeeping Operations (5 February 2010).

Related procedures or guidelines

- DPKO/DFS Mission Evaluation Policy (Ref. 2010.27, 1 August 2010).
- DPKO/DFS Headquarters Self-Evaluation Policy (Ref. 2010.26, 1 August 2010).

\(^{10}\) Consistent with the OIOS definition of risk.
G. MONITORING AND COMPLIANCE

10. Implementation of this policy shall be overseen by the Police Adviser. The HoPC will oversee implementation within their respective missions.

11. The Compliance Officer will monitor compliance with this policy, including by visits to missions.

H. CONTACT

12. The contact for this Policy is the Police Division, Office of the Rule of Law and Security Institutions, Department of Peacekeeping Operations.

I. HISTORY


APPROVAL SIGNATURE: ___________________________ APPROVAL SIGNATURE: ___________________________
DATE OF APPROVAL: ___________________________ DATE OF APPROVAL: ___________________________