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INTEROFFICE MEMORANDUM MEMORANDUM INTERIEUR

Internal Audit Division I
Office of Internal Oversight Services

TO: Mr. Tor Stenbock, Head of Mission
A: United Nations Observer Mission in Bougainville

DATE: 14 October 2004

REFERENCE: AUD-7-5:24 (0839/04)

THROUGH:

S/C DE:

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



SUBJECT: **OIOS Audit No. AP2004/660/01: Field Security Procedures in the United Nations**
OBJET: **Observer Mission In Bougainville (UNOMB)**

1. I am pleased to present herewith our final report on the above subject audit, which was conducted at UNOMB, Bougainville in June 2004.
2. We note from your response to the draft report that UNOMB has generally accepted recommendation 1. It will be closed in the OIOS recommendation database upon its implementation. Based on additional information received from the mission and the Department of Political Affairs (DPA), we have withdrawn recommendation 2. The report incorporates UNOMB's comments, which are shown in italics.
3. IAD 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 satisfactory survey form.

I. INTRODUCTION

3. On 1 January, 2004, the United Nations Observer Mission in Bougainville (UNOMB) commenced operations as a follow-on mission to the UN Political Mission in Bougainville (UNPOB). The Mission's mandate is to complete the UNPOB's remaining tasks for establishing an autonomous government in Bougainville. Although the title implies an observer mission, there is no organizational set up for military observers in the Mission. The Mission, supported by the Department of Political Affairs from Headquarters in New York, operates with four internationals and three local staff based at Arawa and one local staff stationed at Buka. The main task of the Mission staff is to help implement the Weapons Disposal Plan and monitor the work done by the Bougainville leaders and the National Government.
4. The Mission occupies a two-storey wooden block residential building. The Mission office is located on the ground floor and the two accommodation units on the first floor. One international staff member stays on the first floor, while the other three internationals live within 50 meters of the office.

5. The total budget allocation for the year 2004 amounted \$774,400, of which \$396,700 were allotted for staff costs, \$185,900 for hire of helicopter services, \$19,900 for contractual security services, and \$16,800 for inter-organization global security. Headquarters in New York forwards the budget allotment advices to the UNDP office in Port Moresby, which conducts the disbursements on behalf of UNOMB.

II. AUDIT OBJECTIVES

6. The objective of this audit was to review the structures, systems and controls of UNOMB for security of personnel and physical assets in the light of applicable UN regulations, rules and instructions.

III. AUDIT SCOPE AND METHODOLOGY

7. The audit, carried out during 16 – 23 June 2004, focused on the physical security of personnel and assets at UNOMB since its establishment in January 2004. The methodology consisted of interviews with the UN Designated Official (DO) for security in Papua New Guinea (PNG), the UN Regional Field Security Coordination Officer (RFSCO) for PNG appointed by UNSECOORD, the RFSCO's staff, and scrutiny of documents kept by the office of RFSCO. Both DO and RFSCO are based at Port Moresby, PNG. At UNOMB in Arawa, Bougainville, the auditor conducted interviews with the head of UNOMB and his staff, reviewed documents, and visited site of UNOMB office premises.

8. The audit was conducted in accordance with the standards for the professional practice of internal auditing in the United Nations organizations.

IV. OVERALL ASSESSMENT



Photo 1 - UNOMB Office Premises at Arawa, Bougainville

9. With staff strength of four internationals, it is not feasible for UNOMB, hereafter referred to as the Mission, to independently establish a security section for managing its day-to-day security matters. The Mission's security matters are managed by the DO assisted by RFSCO and the Security Management Team (SMT), all of whom are based at Port Moresby, PNG, which is about two and a half hours distance by commercial flight to Buka located at the northern part of the Bougainville island and another 55

minutes by helicopter to Arawa located at the southern part of the Bougainville island. The head of the Mission is the Area Security Coordinator for Arawa, and is also a member of the SMT. Security matters are handled by the RFSCO, who visits the Mission for assessment of

security risks. Currently, the whole of Papua New Guinea and Bougainville have been placed under security Phase II, which advises restriction of movement.

V. AUDIT FINDINGS AND RECOMMENDATIONS

A. Key Performance Indicators

10. Due to its small set up and absence of a security section within the Mission, there is no separate budget submission for its security program with key performance indicators. However, the Sub-allotment advice forwarded by UNHQ to the Mission for the period 1 January to 30 June 2004 for incurring up to \$774,400 includes an amount of \$19,900 for contractual security services and \$16,800 for inter-organization global security.

B. Policy, Direction and Guidance



Photo 2 - Map of Papua New Guinea and Bougainville

11. The Mission has not issued any security policy of its own. However, the DO has issued guidance and direction pertaining to security in the form of Security Plan, Minimum Operating Standard on Security and Standard Operating Procedures on Security. The chain of command for security function as depicted in the security organigram for Papua New Guinea requires the Head of Mission in his capacity as the Area Security Coordinator (ASC) to report directly to the DO. At the time of audit we noted that the current Head of Mission had not received a formal appointment letter from the DO indicating his responsibilities as the ASC. In a communication dated 8 July 2004, the DO informed that the appointment letter dated 6 July 2004 had been issued to the Head of Mission.

C. Security Plan

12. The Security Plan for Papua New Guinea and the South Pacific Islands issued by the DO also covers the Mission. The plan adequately encompasses emergency evacuation, medical evacuation and other contingencies. However, the plan does not specify the main and alternate concentration points and evacuation points by air, sea and road. The DO has agreed to incorporate these points in the plan.

Warden System

13. With only four staff living very close to each other, the Mission does not need a Warden System. Due to the fact that all staff live and work close to each other, the ASC can contact them easily.

Threat Analysis

14. Threat analysis done by the RFSCO covers the Mission at Arawa. The RFSCO compiles daily security situation reports and tables them during monthly SMT meetings. The Mission receives a copy of the minutes and the security situation reports.

D. Security Procedures

15. The DO has also issued "Office Emergency Security Procedures" (Annex M to the Security Plan), which covers Crisis Management Team, fire safety, office security, compound security, vehicle security, safe havens and designated assembly points. However, these procedures were not tailored to be area-specific for the Mission in Arawa. The "Office Emergency Procedures" in the Security Plan need to be modified to be area-specific for the Mission in Arawa. The DO informed OIOS that each field mission has been given a detailed template for emergency office procedures to be completed by each Head of Office and that the RFSCO has tested the office emergency procedures at the Mission and is satisfied that all members of the office have a complete understanding of their duties.

Access Control

16. The Mission procured security services 24 hours a day and seven days a week for its office premises. The Fence around the office premises is about one meter in height and is without razor wire. The Head of the Mission was satisfied with the current access control to the office premises and did not see a need for raising the height of the perimeter fencing or for adding razor wires to it. In his communication, the DO explained that the Mission had removed the three-meter high fence complete with razor wire in 2001/2002 in an attempt to be more acceptable by the local community living in close proximity. However, he agreed that extra lightings needed to be installed along the perimeter fence at back of the office for security reasons.



Photo 3 - Perimeter fencing of UNOMB office premises

E. Security Coordination

17. At the DO's level, the coordination between DO and all other UN agencies is done through SMT, which meets monthly under the chairmanship of the DO. Even though the Head of Mission gets invitation to attend the SMT meetings, he deems it unpractical to attend due to distance and other logistical problems. However, he has agreed to meet the DO on security matters whenever he is on duty at Port Moresby. At the Mission level in Arawa, the

Local Security Management Team (LSMT) has not been constituted for such security coordination to take place. The Security Plan issued by the DO requires all ASCs to form the LSMT to implement security arrangements decided by the DO, to keep the local UN agency heads informed

of security measures, and to effect evacuation of UN staff in an emergency. The DO stated, “the ASC and head of both UNOMB and UNOPS have been given guidance on the constitutional set up of the LSMT. Due to the small size of the two agency missions each with no more than four staff, they co-ordinate a monthly meeting and discuss security related issues through the Heads of Agencies meeting held monthly or on a as required basis”

F. Communication with Staff

18. The auditor conducted interviews with the staff to assess their security awareness and whether they were kept abreast on security matters and concluded that there is need to increase staff awareness. Even though the DO forwarded the minutes of the SMT meetings and the security situation reports to the Mission, they are not circulated to the staff, neither are they briefed on the matters therein. The Head of Mission agreed to circulate the minutes and also to include security matters as a permanent item in his agenda for monthly staff meetings. In addition, the staff have been advised that the country SMT minutes and the monthly security brief are available on the UNDP country web site and can be accessed by all staff on an as required basis.

G. Security Education

19. The Secretary General, through his Bulletin ST/SGB/2003/19 dated 9 December 2003 promulgated that all staff working in or traveling to a duty station where a security phase is in effect will be required to complete the learning programme on “Basic Security in Field, Staff Safety, Health and Welfare” by 15 January 2004; and all other staff members must complete this learning programme as soon as possible and no later than 31 March 2004. Our interviews revealed that one staff member has not completed this learning programme. The staff member concerned agreed to complete the programme as soon as the RFSCO forwards the CD-ROM of the programme. *The DO informed OIOS that the staff concerned had subsequently completed the program.*

H. Security Section of the Mission

20. Due to its size, it is not feasible for the Mission to establish its own Security Section. The RFSCO takes care of security matters of the Mission.

I. Security Equipment and facilities

Communication equipment

21. The Mission has been adequately provided with communication equipment for the usage of its staff in an emergency situation. However, the Mission had experienced disconnections of its telephone lines more than once, due to delays in making payments for telephone bills by UNDP. The Mission has 8 VHF Mobile radios but the radio network lines are not yet operational. According to the RFSCO, the radio network system service is at the tail end of procurement and it will be up by August 2004. The DO responded to OIOS that “although there has been some problems with UNDP paying bills for UNOMB resulting in the loss of land line communication twice over a twelve month period, the missions are all allocated satellite phones for emergency use as back up. The communication set up provides HF communication with both Buka and Port Moresby through the helicopter company (HEVI-LIFT) HF system, which is also used by the Australian Federal Police Unit for their emergency communication system. UHF is well maintained through the local security company”.

Fire extinguisher and smoke detector

22. The Mission has four units of Australian made portable (2.1 kg powder type) fire extinguishers for emergency use. The label on the fire extinguisher requires maintenance based on

the Australian Standard No. 1851.5, which calls for servicing by an authorized agent once in every six months. However, these fire extinguishers have never been serviced since their purchase in 1998. There is a need for smoke detectors for the office premises; this observation was shared by the Head of Mission.

Facilities for emergency evacuation

23. The Security Plan issued by the DO provides four options for emergency evacuation of UN staff from Arawa out of Bougainville Island as follows:

- Option one – fly by helicopter to Buka, located at the northern part of Bougainville Island, where there is a commercial airline link.
- Option two – fly by helicopter to Gizo in Solomon Islands.
- Option three – Travel by road from Arawa to Buka.
- Option four – use the UNDP/UNOPS power boat that is equipped with two 75 hp four stroke outboard motors, safety equipment, life jackets for ten persons, HF and VHF communications, GPS, depth sounder and navigational charts.

24. On 22 June 2004, the auditor, together with the staff of the Mission, physically inspected the powerboat that was kept at the UNDP/UNOPS office compound in Arawa. The local UNDP head and the staff who operates the boat confirmed that only one outboard motor is functional and the other outboard motor has been under repair since October 2003 due to unavailability of spare parts.



Photo 4 - UNDP Speed boat for evacuation by sea

Also, it does not keep stock of ready-to-eat ration packs for emergency use. The DO informed OIOS that “On the RFSCO visit to Arawa in May 2004 both motors were working with the latest information stating they remain in a state of operational readiness for the mission. Ready-to-eat meal packs will be supplied by the RFSCO office as soon as possible to the mission; however the mission has emergency rations in the way of canned food and portable 1 liter water bottles for emergency use if required”.

However, the auditor was unable to verify the above statement of the RFSCO about the state of the boat during his visit.

25. There is no helicopter service specially dedicated to the Mission. It has procured 35 hours of helicopter flight service per month from a contractor. The contractor also provides the helicopter service to two other private parties located in Arawa. However, the Head of Mission stated *that they have access to helicopter service 7 days a week if needed and can be arranged schedule wise with other users. In an emergency, the helicopter can and will be used by all international staff (and local) as required.*

26. The auditor concluded that the overall security preparedness of the Mission to face an emergency needed further improvement. Its helicopter service was only three days a week. The evacuation boat required repair. Fire extinguishers had not been maintained since 1998. The telephone lines could be out of order for non-payment of bills. The radio communication had not yet been commissioned. All these factors suggested a need for reviewing the security arrangements for an imminent action, should there be an emergency.

Recommendation 1

The Designated Official should carry out an exhaustive review of Mission preparedness for an emergency situation. In particular, he should:

- repair the power boat's motor,
- commission radio communication on a priority,
- ensure fault-free telephone service and
- arrange for the periodical maintenance of the Mission's fire extinguishers. (AP2004/660/01/1)

Recommendation 2

The Designated Official should request that the Department of Political Affairs, in consultation with UNSECOORD, consider relocating the Mission offices from Arawa/Buka to Port Moresby in the interest of greater security. (AP2004/660/01/2)

27. *The Mission responded that as time has passed, Bougainville is in fact far more secure than Port Moresby as far as international staff are concerned and in addition the general situation on Law and Order is improving rapidly. Further, to relocate would mean that UNOMB would not be able to fulfill its mandated tasks. Therefore, it is absolutely essential that UNOMB stays on the ground.* The DPA also confirmed the view of the Head of UNOMB on this issue. In view of the above, recommendation 2 has been withdrawn from OIOS recommendation database. Recommendation 1 will remain in the OIOS database pending its implementation.

VI. ACKNOWLEDGEMENT

28. We wish to express our appreciation for the assistance and cooperation extended to the auditors by the Designated Official, Regional Field Security Coordination Officer and his staff and the Head of Mission and his staff.

Copy to: Mr. Jean-Marie Guehenno, Under-Secretary-General for Peacekeeping Operations
Ms. Hazel Scott, Director, ASD/DPKO
UN Board of Auditors
Programme Officer, OIOS
Mr. Prances Soosa, Chief Resident Auditor, UNMEE



OIOS/IAD Client Satisfaction Survey

The Internal Audit Division 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.: OIOS Audit No. AP2004/660/01: Field Security Procedures in the United Nations Observer Mission in Bougainville (UNOMB)

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

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: _____

Organization: _____

Thank you for taking the time to fill out this survey. Please send the completed survey form as soon as possible in the enclosed envelope addressed to: Ms. Patricia Azarias, Director, Internal Audit Division - I, OIOS, Room DC2-518 United Nations Headquarters New York, NY 10017 U.S.A. or by fax to: 212-963-8100.