



INTERNAL AUDIT DIVISION

AUDIT REPORT

Audit of human rights programme in UNAMID

Overall results relating to the effective management of the human rights programme were initially rated as partially satisfactory. Implementation of one important recommendation remains in progress.

FINAL OVERALL RATING: PARTIALLY SATISFACTORY

25 JULY 2012

Assignment No. AP2011/634/03

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AUDIT REPORT

Audit of human rights programme in UNAMID

I. BACKGROUND

1. The Office of Internal Oversight Services (OIOS) conducted an audit of human rights programme in the African Union-United Nations Hybrid Operations in Darfur (UNAMID).
2. In accordance with its mandate, OIOS provides assurance and advice on the adequacy and effectiveness of the United Nations internal control system, the primary objectives of which are to ensure (a) efficient and effective operations; (b) accurate financial and operational reporting; (c) safeguarding of assets; and (d) compliance with mandates, regulations, and rules.
3. UNAMID was established by Security Council resolution 1769 (2007) with the mandate to assist in achieving lasting political solution and sustained security in Darfur. The protection and promotion of human rights were essential elements of the United Nations' efforts to prevent conflicts, maintain peace, and assist in post-conflict reconstruction.
4. The Human Rights Section (HRS) was the largest substantive unit in UNAMID with 172 authorized posts with an estimated cost of \$11 million for the year 2010/11. The Head of HRS, at D-level, reported directly to the Principal Deputy Joint Special Representative of UNAMID, and to the Office of the United Nations High Commissioner for Human Rights (OHCHR).
5. Comments provided by UNAMID are incorporated in *italics*.

II. OBJECTIVE AND SCOPE

6. The audit of human rights programme in UNAMID was conducted to assess the adequacy and effectiveness of UNAMID's governance, risk management and control processes in providing reasonable assurance regarding the **effective management of the human rights programme**.
7. The audit was included in the 2011 OIOS risk-based work plan because of the criticality of human rights issues in the mandate and operations of UNAMID.
8. The key controls tested for the audit were: (a) performance monitoring; (b) project management; and (c) coordinated management. For the purpose of this audit, OIOS defined these key controls as follows:
 - (a) **Performance monitoring** - controls that provide reasonable assurance that metrics are: (i) established and appropriate to enable measurement of the efficiency and effectiveness of operations; (ii) prepared in compliance with rules and are properly reported on; and (iii) used to manage operations appropriately.
 - (b) **Project management** - controls that provide reasonable assurance that there is sufficient project management capacity (e.g. sufficient financial and human resources and tools) and a system to report programme performance, including its financial performance, timely, accurately and completely.

(c) **Coordinated management** - controls that provide reasonable assurance that potential overlaps in the performance and delivery of the human rights programme are mitigated, and that issues affecting or involving other United Nations partners and actors are identified, discussed and resolved timely and at the appropriate forum.

9. The key controls were assessed for the control objectives shown in Table 1.

10. OIOS conducted this audit from March to July 2011. The audit covered the period from 1 January 2008 to 28 February 2011.

11. OIOS conducted an activity-level risk assessment to identify and assess specific risk exposures, and to confirm the relevance of the selected key controls in mitigating associated risks. Through interviews, analytical reviews and tests of controls, OIOS assessed the existence and adequacy of internal controls and conducted necessary tests to determine their effectiveness.

III. AUDIT RESULTS

12. UNAMID's governance, risk management and control processes examined were assessed as **partially satisfactory** in providing reasonable assurance regarding the **effective management of the human rights programme**. OIOS made one recommendation to address the issue identified in the audit. HRS was implementing its mandated activities including monitoring, documenting, reporting and investigating human rights violations and abuses, and advocating and dialoguing with the Government on human rights matters. HRS was also undertaking technical cooperation and capacity building activities and human rights compliance assessments of relevant Sudanese legislation; however, funding constraints impeded its level of capacity building activities. HRS was in the process of developing policies and procedural guidelines to meet the requirements of UNAMID's operating environment.

13. The initial overall rating of partially satisfactory was based on the assessment of key controls presented in Table 1 below. The final overall rating is **partially satisfactory** as implementation of one important recommendation remains in progress.

Table 1: Assessment of key controls

Business objective	Key controls	Control objectives			
		Efficient and effective operations	Accurate financial and operational reporting	Safeguarding of assets	Compliance with mandates, regulations and rules
Effective management of the human rights programme	(a) Performance monitoring	Satisfactory	Satisfactory	Satisfactory	Satisfactory
	(b) Project management	Partially satisfactory	Partially satisfactory	Partially satisfactory	Partially satisfactory
	(c) Coordinated management	Satisfactory	Satisfactory	Satisfactory	Satisfactory
FINAL OVERALL RATING: PARTIALLY SATISFACTORY					

A. Performance monitoring

Human rights programme performance monitoring controls were satisfactory

14. HRS implemented activities including monitoring, documenting, reporting, and investigating human rights violations and abuses, and advocating and dialoguing with the Government on human rights matters. HRS also undertook technical cooperation and capacity building activities and human rights compliance assessments of relevant Sudanese legislation. HRS monitored, investigated and reported over 1,517 incidents of human rights violations involving 4,559 victims.

15. The Mission's results-based budgeting framework and performance reports contained adequate output indicators and the results thereof. Its performance and achievements were also presented in relevant Secretary-General reports. Moreover, HRS was guided by outcome indicators developed every two years in line with OHCHR global indicators, which enabled HRS to monitor its performance with regard to UNAMID's human rights mandate. On this basis, OIOS assessed performance monitoring controls as satisfactory.

B. Project management

Funding for human rights activities was improved with the involvement of HRS in the budget process

16. Funding for mandated human rights activities was to be provided from assessed contributions to the peacekeeping operation, while OHCHR mobilized resources for technical cooperation activities.

17. At least 50 per cent of the technical cooperation activities initially planned by HRS for the biennium ending 31 December 2011 were not implemented. HRS efforts to obtain additional funding from donors were not successful, and HRS continued to rely on the funding from OHCHR.

18. HRS had not been involved in the budget process and therefore, had been unable to ensure that its support requirements were adequately reflected. As a result, there were no funds allocated in the Mission's budgets specifically dedicated for HRS activities. Nonetheless, HRS confirmed that they were involved in the RBB budgetary process for 2012/13, which enabled additional resource requirements to be proposed, and it would continue to seek its involvement in future budget processes. OIOS was satisfied with the efforts being made by HRS.

High vacancy rate was due to factors outside the Mission's control

19. HRS had an average vacancy rate of about 50 per cent. The vacancies included 19 professional posts that had not been filled since the start of the Mission. The recruitment and on-boarding of human rights officers was slow due to visa restrictions and the requirement of the Tripartite Meeting of the United Nations, African Union and the Government of Sudan to either recruit Arabic-speakers or local staff or national professional officers to serve as translators. HRS however had processed all pending vacancies in both the national and international staff categories. OIOS was satisfied with the recruitment process, and noted that vacancies were mostly due to factors outside the Mission's control.

Deployment of human rights officers was slow

20. HRS had planned to deploy human rights officers to 11 team sites, but they were only deployed to one site. This was primarily due to: (a) lack of accommodation and facilities at the team sites; and (b) the Government's restriction on the travel of human rights officers to areas of alleged human rights abuses. Also, clearance to travel often came late, sometimes more than one week after the alleged violations

occurred making it difficult to effectively report on incidents. UNAMID had addressed the issue of accommodation and team sites, and continued its engagement with the Government to seek timely access to investigate reported human rights violations. OIOS was satisfied with the action taken by UNAMID to remedy the situation.

Lack of Mission-specific standard operating procedures

21. UNAMID had adopted the human rights standard operating procedures developed by the United Nations Mission in Sudan (UNMIS) and was also complying with those issued by OHCHR. However, the procedures of UNMIS (which covered Darfur prior to the establishment of UNAMID) did not fully meet the requirements of UNAMID's present operating environment, and those of OHCHR were too generic to be appropriate guidance. For example, OHCHR's procedures did not include details for assessing risks of human rights violations and identifying interventions; recommended frequency of field visits; and format for recording and reporting on incidents of abuses.

(1) UNAMID should develop comprehensive mission-specific standard operating procedures for the Human Rights Section.

UNAMID accepted recommendation 1 and stated that it would be implemented by 10 August 2012. Recommendation 1 remains open pending receipt of a copy of Mission-specific standard operating procedures for the human rights programme.

C. Coordinated management

Coordination was being enhanced

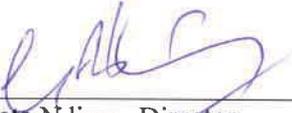
22. There were no formal mechanisms to facilitate cooperation and information sharing between HRS and other human rights actors including the Child Protection Unit, Civil Affairs Section, Judicial System and Prison Advisory Unit and the Humanitarian Liaison Office. Additionally, the roles and responsibilities of these units relating to human rights issues were not clearly defined to ensure achievement of common human rights goals. HRS was developing a framework for cooperation and coordination between HRS, the Rule of Law Section, the Gender Unit and United Nations Police.

23. Moreover, UNAMID Police had deployed its own human rights officers throughout Darfur. However, there was no formal mechanism for coordination between UNAMID Police human rights officers and HRS, and this had resulted in lack of clarity on roles and responsibilities and ineffective reporting and investigation of human rights violations. For example, a human rights incident was investigated by UNAMID Police and reported to DPKO without informing HRS.

24. HRS was in the process of incorporating the bilateral coordination framework into the standard operating procedures currently being drafted, which would address the coordination lapses between internal human rights actors. On this basis, OIOS assessed UNAMID's action as satisfactory.

IV. ACKNOWLEDGEMENT

25. OIOS wishes to express its appreciation to the Management and staff of UNAMID for the assistance and cooperation extended to the auditors during this assignment.



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STATUS OF AUDIT RECOMMENDATIONS
Audit of human rights programme in UNAMID

Recom. no.	Recommendation	Critical/¹/ important²	C/ O³	Actions needed to close recommendation	Implementation date⁴
1.	UNAMID should develop comprehensive mission-specific standard operating procedures for the Human Rights Section.	Important	O	Receipt of a copy of mission-specific standard operating procedures for the human rights programme.	10 August 2012

1 Critical recommendations address significant and/or pervasive deficiencies or weaknesses in governance, risk management or internal control processes, such that reasonable assurance cannot be provided regarding the achievement of control and/or business objectives under review.

2 Important recommendations address important deficiencies or weaknesses in governance, risk management or internal control processes, such that reasonable assurance may be at risk regarding the achievement of control and/or business objectives under review.

3 C = closed, O = open

4 Date provided by UNAMID in response to recommendations.