



INTERNAL AUDIT DIVISION

REPORT 2014/028

Audit of the Sudanese national police development programme in the African Union-United Nations Hybrid Operation in Darfur

Overall results relating to the effective management of the Sudanese national police development programme in the African Union-United Nations Hybrid Operation in Darfur were initially assessed as partially satisfactory. Implementation of three important recommendations remains in progress

FINAL OVERALL RATING: PARTIALLY
SATISFACTORY

28 April 2014
Assignment No. AP2013/634/11

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AUDIT REPORT

Audit of the Sudanese national police development programme in the African Union-United Nations Hybrid Operation in Darfur

I. BACKGROUND

1. The Office of Internal Oversight Services (OIOS) conducted an audit of the Sudanese national police development programme in the African Union-United Nations Hybrid Operation 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. Security Council resolution S/2007/307/Rev.1, dated 5 June 2007, mandated UNAMID to: (a) monitor through proactive patrolling the parties' (to the Darfur Peace Agreement) policing activities in camps for internally displaced persons, demilitarized zones and areas of control; (b) support the establishment and training of community police in camps for internally displaced persons, capacity-building of the Government of the Sudan police in Darfur in accordance with international standards of human rights and accountability, and institutional development of the police of the armed movements; (c) support the efforts of the Government of the Sudan and of the police of the movements to maintain public order and build the capacity of Sudanese law enforcement through specialized training and joint operations; (d) support the parties in restructuring and building the capacity of the police service in Darfur, including through monitoring, training, mentoring, co-location and joint patrols; and (e) facilitate the provision of full humanitarian access and assistance to people in need.
4. UNAMID Police was headed by a Police Commissioner at the D-2 level, who reported to the UNAMID Joint Special Representative. The Commissioner was assisted by two deputies at the D-1 level who were each responsible for operations, and policy and planning. The headquarters was based in El Fasher. There were five sectors in the five states of Darfur, which were led by the Police Sector Commanders. UNAMID Police strength was 4,550 personnel comprising 2,310 individual police officers and 16 Formed Police Units¹ each comprising 140 police officers as at the end of fiscal year 2012/13. The budgets for UNAMID Police in 2011/12 and 2012/13 were \$239.9 million and \$212.8 million, respectively.
5. Comments provided by UNAMID are incorporated in italics.

¹ Formed Police Units refer to cohesive mobile police units, providing support to United Nations operations and ensuring the safety and security of United Nations personnel and missions, primarily in public order management. Formed Police Units are deployed under a Memorandum of Understanding between the United Nations and the police-contributing country within the contingent-owned equipment system. Individual police officers on the other hand are police or other law enforcement personnel assigned to serve with the United Nations on secondment by governments of Member States at the request of the Secretary-General.

II. OBJECTIVE AND SCOPE

6. The audit was conducted to assess the adequacy and effectiveness of UNAMID governance, risk management and control processes in providing reasonable assurance regarding the **effective management of the Sudanese national police development programme in UNAMID**.
7. The audit was included in the OIOS 2013 risk-based work plan due to the operational and reputational risks of not achieving the mandate of UNAMID to develop the Sudanese national police.
8. The key control tested for the audit was project management. For the purpose of this audit, OIOS defined this control as the one that provides reasonable assurance that the Sudanese national police development programme had: (a) sufficient financial resources; (b) sufficient and competent human resources; and (c) appropriate project management tools.
9. The key control was assessed for the control objectives shown in Table 1. Certain control objectives (shown in Table 1 as “Not assessed”) were not relevant to the scope defined for this audit.
10. OIOS conducted this audit from August to October 2013. The audit covered the period from 1 July 2011 to 30 June 2013 and involved field visits to Mission headquarters, Sector North and the Zam Zam team site.
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.
12. The audit did not cover UNAMID Police operations as these were covered under a separate OIOS audit.

III. AUDIT RESULTS

13. The UNAMID governance, risk management and control processes examined were assessed as **partially satisfactory** in providing reasonable assurance regarding the **effective management of the Sudanese national police development programme in UNAMID**. OIOS made three recommendations to address the issues identified. UNAMID Police had succeeded, after significant delays, in signing with the Government of Sudan in August 2013 a Memorandum of Understanding on the terms of reference for the national police development programme. However, UNAMID needed to: (a) finalize the strategic plan; (b) implement a mechanism to raise additional funding; and (c) ensure that there was an adequate number of police training officers in the Mission to effectively implement the Sudanese national police development programme.
14. The initial overall rating was based on the assessment of key control presented in Table 1 below. The final overall rating is **partially satisfactory** as implementation of three important recommendations remains in progress.

Table 1: Assessment of key control

Business objective	Key control	Control objectives			
		Efficient and effective operations	Accurate financial and operational reporting	Safeguarding of assets	Compliance with mandates, regulations and rules
Effective management of the Sudanese national police development programme in UNAMID	Project management	Partially satisfactory	Partially satisfactory	Not assessed	Partially satisfactory

Project management

A strategy for the implementation of the national police development programme needed to be finalized

15. The implementation of the UNAMID programme to support national police development was delayed because the Memorandum of Understanding with the Government of Sudan was signed only in August 2013, although UNAMID presented the Government with a draft Memorandum of Understanding in 2010. Following its signing, UNAMID started establishing the mechanisms required for effective cooperation with the Government, including setting up the Police Development Committee and Development Coordination Committees in each state in Darfur. On 27 November 2013, UNAMID held a workshop in Khartoum with the Sudanese police as part of the initial steps to draft a strategic plan for the development of the national police. The workshop was attended by 100 UNAMID police and Sudanese police officers, including the Sudanese police directors-general from the five states of Darfur. The Police Commissioner advised that as of 26 January 2014, the strategic development plan was still in the drafting process and that, once finalized, UNAMID would present it to the Government of Sudan for validation and ratification.

16. A major part of the institutional development goal of the programme that was not implemented because of the delay in the signing of the Memorandum of Understanding was the co-location of UNAMID police with Sudanese national police. UNAMID Police had initiated logistics and infrastructure arrangements to facilitate co-location after the Memorandum of Understanding was signed in August 2013.

17. The UNAMID Police concept of operations and standard operating procedures required an assessment of the training needs of the national police to be conducted to identify areas requiring development. After the signing of the Memorandum of Understanding in August 2013, UNAMID and the Government of Sudan had agreed to jointly conduct a training needs assessment.

(1) UNAMID should finalize and submit the strategic plan to the Government of Sudan to ensure the effective implementation of the national police development programme, and implement the co-location of the UNAMID Police with the national police in Darfur and the assessment and identification of the training needs of the national police.

UNAMID accepted recommendation 1 and stated that the strategic workshop held in November 2013 resulted in the identification of four priority pillars: (i) community policing; (ii) capacity building; (iii) institutional framework and procedures; and (iv) programme implementation and evaluation. This initiative included co-location programmes in areas of training, and family and child protection. The workshop also led to the identification of Government of Sudan police needs and what skill-sets were required to address these needs. Recommendation 1 remains

open pending receipt of a copy of the strategic plan and initiatives made on training needs assessment and co-location.

Performance targets relating to training were not achieved

18. UNAMID was conducting training activities based on an informal needs assessment conducted in 2009. With regard to these activities, UNAMID established targets in its budget performance reports. Table 2 shows an analysis of planned and actual training conducted in fiscal years 2011/12 and 2012/13.

Table 2: Analysis of planned and actual training conducted

Nature of training	Fiscal year 2011/12						Fiscal year 2012/13					
	Courses			Participants			Courses			Participants		
	T	A	%	T	A	%	T	A	%	T	A	%
Basic and advanced courses for Sudanese national police	104	62	60%	3,590	1,724	48%	103	57	55%	3,640	1,803	50%
Training for movement police	30	13	43%	750	402	54%	30	3	10%	750	77	10%

Legend: T = Target; A = Actual; % = percentage of target achieved (or A/T)

19. The UNAMID planned targets were not achieved due to: (a) the security situation in certain locations; (b) the general lack of willingness of participants from both the Sudanese national police and the police force of the armed movements to participate in Mission activities prior to the signing of the Memorandum of Understanding; and (c) insufficient funding.

20. With regard to funding, UNAMID was required to fund the Sudanese national police development programme from money raised from donors or through integrated support from other United Nations agencies, funds and programmes. Consequently, the UNAMID budget did not include funds for training non-United Nations personnel, instead UNAMID Police was provided with the P-4 Project and Donor Liaison Officer post. This post had responsibilities for the generation of funds through liaison and coordination with international donors and the United Nations Country Team.

21. Since the establishment of the Mission in 2008, UNAMID Police had neither solicited funds from international donors nor coordinated with other United Nations entities to obtain support for the training of Sudanese national police. This was because the Project and Donor Liaison Officer was focusing on administering quick-impact projects and UNAMID had not established an alternative mechanism to liaise and coordinate with interested parties in raising funds. Therefore, to conduct the planned training, UNAMID channeled funds from savings made from other budgeted activities, and for fiscal years 2011/12 and 2012/13, an amount of \$0.5 million was allocated to the national police training programme. However, the Mission Support Division advised UNAMID Police that funding from the Mission's budget for the Sudanese national police training programmes would be discontinued starting fiscal year 2013/14. The lack of a stable funding source and coordination mechanism impacted the ability of the UNAMID Police to conduct training as part of the Mission's programme to support Sudanese national police development.

(2) UNAMID should implement a mechanism for coordinating with United Nations agencies, funds and programmes and international donors to generate funds to ensure the continuity of training programmes for the Sudanese national police in Darfur.

UNAMID accepted recommendation 2 and stated that a project team comprising representatives from UNAMID, the Government of Sudan and the United Nations Country Team had been established, and had held discussions regarding capacity-building of Sudanese police. The team

identified seven focus areas of cooperation and five projects had been approved for implementation. Recommendation 2 remains open pending receipt of project documents with regard to cooperation and implementation of approved projects.

Police personnel involved in providing training were not certified trainers

22. The UNAMID Police concept of operations required UNAMID to identify different professional skill-sets. This included training officers for conducting needs assessments, developing training curricula and implementing training programmes for the Sudanese national police. Since the Department of Peacekeeping Operations (DPKO) was responsible for the recruitment of police officers, missions were required to inform them of the specific skills and expertise needed.

23. UNAMID Police had not communicated with DPKO the required skills and expertise, or classified the authorized posts according to specialist areas where expertise was needed. This was required to facilitate DPKO discussions with police-contributing countries to ensure that the necessary experts were recruited. As a result, UNAMID Police had insufficient numbers of training officers. Moreover, due to inadequate record-keeping, UNAMID was unable to demonstrate that the police officers assigned to the Mandated Training Unit had the required training skills and expertise needed to implement the capacity-building programme. For example, of the 49 training officers in the Mandated Training Unit, UNAMID Police could only provide details on five of its training officers, for which only one officer was an accredited/certified trainer. UNAMID Police advised that to address the lack of certified training officers, UNAMID was in the process of training its police officers to assist them in becoming certified trainers.

(3) UNAMID should take action, in collaboration with the Department of Peacekeeping Operations, to ensure that they have an adequate number of qualified training officers for the effective implementation of the Sudanese national police development programme.

UNAMID accepted recommendation 3 and stated that the Central Database Management System was being established to coordinate with the Field Service Suite/Heritage Resource Management Information System of the DPKO Police Division. Also, UNAMID Police had identified police officers with skills for its training Unit, and would ensure that training officers were certified by the Integrated Mission Training Center prior to involvement in training programmes. Recommendation 3 remains open pending receipt of evidence that UNAMID Police has established the Central Database Management System and training officers have been certified as trainers.

IV. ACKNOWLEDGEMENT

24. 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.

(Signed) David Kanja
Assistant Secretary-General for Internal Oversight Services

STATUS OF AUDIT RECOMMENDATIONS

Audit of the Sudanese national police development programme in the African Union-United Nations Hybrid Operation in Darfur

Recom. no.	Recommendation	Critical ¹ / Important ²	C/ O ³	Actions needed to close recommendation	Implementation date ⁴
1	UNAMID should finalize and submit the strategic plan to the Government of Sudan to ensure the effective implementation of the national police development programme, and implement the co-location of the UNAMID Police with the national police in Darfur and the assessment and identification of the training needs of the national police.	Important	O	Receipt of a copy of the strategic plan and initiatives made on training needs assessment and co-location	30 June 2015
2	UNAMID should implement a mechanism for coordinating with United Nations agencies, funds and programmes and international donors to generate funds to ensure the continuity of training programmes for the Sudanese national police in Darfur.	Important	O	Receive of copies of project documents with regard to cooperation and implementation of approved projects	30 June 2015
3	UNAMID should take action, in collaboration with the Department of Peacekeeping Operations, to ensure that they have an adequate number of qualified training officers for the effective implementation of the Sudanese national police development programme.	Important	O	Receipt of evidence that UNAMID Police has established the Central Database Management System and training officers have been certified as trainers	30 June 2015

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

APPENDIX I

Management Response

AFRICAN UNION

الاتحاد الأفريقي



UNAMID



UNITED NATIONS

الأمم المتحدة

African Union – United Nations Hybrid Operation in Darfur

Office of the Joint Special Representative

22 April 2014

To: Ms. Eleanor T. Burns
Chief, Peacekeeping Audit Service
Internal Audit Division, OIOS

From: Mohamed Ibn Chambas
Special Joint Representative
UNAMID

Subject: **Draft Report on an audit of the Sudanese national police development programme in the African Union-United Nations Hybrid Operation in Darfur (Assignment No. AP2013/634/11)**

1. With reference to your memorandum of 13 April 2014, on the captioned-subject matter, please find attached UNAMID's response (Appendix I) to the draft report for your consideration and records.

Thank you.

cc: Mr. Joseph Mutaboba, Deputy Joint Special Representative (Principal), UNAMID
Ms. Hester Paneras, Police Commissioner, UNAMID
Mr. Milan Trojanović, Director of Mission Support, UNAMID
Mr. Syed Imam, Deputy Police Commissioner, Operations, UNAMID
Mr. Mutasem Almajali, Deputy Police Commissioner, Police and Planning, UNAMID
Mr. Prances Sooja, Chief, Resident Auditor, OIOS/UNAMID
Mr. Velayutham Gopal, Audit Focal Point, UNAMID
Ms. Anna Halasan, Professional Practices Section, Internal Audit Division, OIOS

APPENDIX I

Management Response

Audit of the Sudanese national police development programme in the African Union-United Nations Hybrid Operation in Darfur

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
1	UNAMID should finalize and submit the strategic plan to the Government of Sudan to ensure the effective implementation of the national police development programme, and implement the co-location of the UNAMID Police with the national police in Darfur and the assessment and identification of the training needs of the national police.	Important	Yes	Reforms and Restructuring Coordination Officer	30 June 2015	<p>UNAMID Police Signed a Memorandum of Understanding with Government of Sudan Police on 20 August 2013. A Strategic Workshop was facilitated with the Government of Sudan Police Leadership on 27 November 2013 in Khartoum. The Workshop resulted in identification of Four Priority Pillars (1. Community Policing. 2. Capacity Building. 3. Institutional Framework and Procedures. 4. Program Implementation and Evaluation).</p> <p>This initiative includes co-location programs in areas of Training & Family and Child Protection. The workshop also led into identification of GoS Police needs such as Forensics, Cyber crime investigation and Human trafficking programmes which are going to be funded by United Nation Country Team (UNCT). In order to address these new GoS Police needs, Police Component is undertaking a review on Skill Set requirements which includes reconfiguration of the Organigram and</p>

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.

Management Response

Audit of the Sudanese national police development programme in the African Union-United Nations Hybrid Operation in Darfur

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
						<p>review on UNAMID Police Planned Strength.</p> <p>There has been also initiation of co-location Pilot Project with Government of Sudan (GoS) Police at Abu Shouk to address issues including Gender that will continue to be replicated in other Sectors. Furthermore, Establishments of Joint Operation Center (JoC) at Team Sites are currently expedited at Sector level for coordination and cooperation.</p>
2	UNAMID should implement a mechanism for coordinating with United Nations agencies, funds and programmes and international donors to generate funds to ensure the continuity of training programmes for the Sudanese national police in Darfur.	Important	Yes	Project Donor Liaison Officer	30 June 2015	<p>UNAMID Police constituted a working group with United Nation Country Team (UNCT) led by Deputy Police Commissioner Policy & Planning, with membership of Chief of Operations, Reform and Restructuring Coordinator, Training Coordinator and Donor Coordinator. They held several meetings with United Nation Country Team (UNCT) Funds and Program on issues in which projects regarding capacity building of Sudanese Police and the community were discussed.</p> <p>UNAMID Police Component and UNCT have identified following 7 focus areas of cooperation :</p> <ol style="list-style-type: none"> 1. Sexual and Gender Based Violence; (SGBV) 2. Government of Sudan Police; 3. Lively hood/ Income Generating Projects;

Management Response

Audit of the Sudanese national police development programme in the African Union-United Nations Hybrid Operation in Darfur

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
						<p>4. Community Policing;</p> <p>5. Rule of Law;</p> <p>6. Protection of Civilians; and</p> <p>7. Criminal Investigations.</p> <p>Five Projects approved</p> <p>1. Capacity Building of Sudanese Police;</p> <p>2. Crime Scene Investigations</p> <p>3. Rehabilitation of Detention Centers in Darfur;</p> <p>4. Incentives/Livelihood Projects for CPVs</p> <p>5. Roll out of Police Forensic to Sudanese Police</p> <p>Project team of UNAMID, GoS and UNCT has been established. Preparation of Project Document of the Pilot Project in Sector South Nyala is underway.</p>
3	UNAMID should take action, in collaboration with the Department of Peacekeeping Operations, to ensure that they have an adequate number of qualified training officers for the effective implementation of the Sudanese national police development programme.	Important	Yes	Training Coordinator	30 June 2015	UNAMID Police revised its deployment Policy on 13 May 2013 , which provided for deployment of all new arrivals to deep field for period not less than three months, after which Redeployments are made through competitive selection criteria and interviews for candidates with requisite qualifications. A Central Database Management System (CDMS) is being established and to coordinate with Human Resources

Management Response

Audit of the Sudanese national police development programme in the African Union-United Nations Hybrid Operation in Darfur

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
						<p>Management Systems (HERMES) - Police Division (Application, recruitment, selection) Currently, Police had identified Skills Set for the Training Department which includes Specialist with Forensics background to cooperate with Government of Sudan Police to enhance crime Scene investigations and management. Other areas include DNA, Finger Print</p> <p>Training Officers must be certified by Integrated Mission Training Center (IMTC) prior to involvement into Selection Assistance and Assessment Team (SAAT) and or Formed Police Assessment Team (FPAT).</p>