



INTERNAL AUDIT DIVISION

REPORT 2015/053

Audit of patrolling by military contingents in the African Union-United Nations Hybrid Operation in Darfur

Overall results relating to the audit of patrolling by military contingents in the African Union-United Nations Hybrid Operation in Darfur were initially assessed as unsatisfactory. Implementation of one critical and two important recommendations remains in progress

FINAL OVERALL RATING: UNSATISFACTORY

22 June 2015

Assignment No. AP2014/634 /08

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AUDIT REPORT

Audit of patrolling by military contingents in the African Union-United Nations Hybrid Operation in Darfur

I. BACKGROUND

1. The Office of Internal Oversight Services (OIOS) conducted an audit of patrolling by military contingents 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. The UNAMID military component was responsible for patrolling the UNAMID area of responsibility to establish a stable and secure environment, contribute to the protection of civilians, secure delivery of humanitarian assistance and facilitate the voluntary return of internally displaced persons and refugees. UNAMID was also responsible for monitoring the security situation and building confidence of the local population in Darfur.
4. The military component was headed by a Force Commander at the level of Assistant Secretary-General, assisted by a Deputy Force Commander at the level of D-2. As at 30 June 2014, the military component strength of 13,339 represented 82 per cent of the authorized force, and included 12,666 troops, 348 staff officers, 242 military observers and 83 liaison officers. The 2012/13 and 2013/14 budgets for the military component were \$498.8 million and \$414.8 million respectively.
5. Comments provided by UNAMID are incorporated in italics.

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 patrolling by military contingents in UNAMID**.
7. This audit was included in the 2014 risk-based work plan of OIOS because of the operational, safety and security risks relating to patrolling by military contingents.
8. The key controls tested for the audit were: (a) risk assessment and planning; and (b) programme management. For the purpose of this audit, OIOS defined these key controls as:
 - (a) **Risk assessment and planning** - controls that provide reasonable assurance that risks and opportunities relating to patrolling by UNAMID military contingents are identified, assessed and used as a basis for planning military patrols in UNAMID.
 - (b) **Programme management** - controls that provide reasonable assurance that a system exists to monitor, assess and report on patrolling by military contingents in UNAMID.

9. The key controls were 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 the audit from May to October 2014. The audit covered the period from 1 July 2012 to 30 June 2014. OIOS visited eight camps in five sectors in Darfur.

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. The UNAMID governance, risk management and control processes examined were initially assessed as **unsatisfactory**¹ in providing reasonable assurance regarding the **effective management of patrolling by military contingents in UNAMID**. OIOS made five recommendations to address the issues identified. The UNAMID military contingents were conducting various types of patrols through towns, villages and internally displaced persons camps. UNAMID also established measures to ensure that each patrol included the required minimum number of troops; and implemented a mechanism to increase management oversight of patrols to ensure they were conducted as planned. However, UNAMID needed to: (a) ensure internally displaced persons (IDPs) were adequately consulted when assessing their protection needs and preparing patrol plans; (b) train and assist the military component to develop and implement a system to accurately record and report on patrols; and (c) formalize its agreement with the Department of Peacekeeping Operations on the reassignment of military observers and liaison officers.

13. The initial overall rating was based on the assessment of key controls presented in Table 1. The final overall rating is **unsatisfactory** as implementation of one critical and two important recommendations 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 patrolling by military contingents in UNAMID | (a) Risk assessment and planning | Partially Satisfactory | Partially Satisfactory | Not assessed | Partially satisfactory |
| | (b) Programme management | Unsatisfactory | Unsatisfactory | Not assessed | Unsatisfactory |
| FINAL OVERALL RATING: UNSATISFACTORY | | | | | |

¹ A rating of “**unsatisfactory**” means that one or more significant and/or pervasive deficiencies exist in governance, risk management or control processes such that reasonable assurance cannot be provided regarding the achievement of control and/or business objectives under review.

A. Risk assessment and planning

Patrol planning needed improvement by taking into account the needs of internally displaced persons

14. The UNAMID military concept of operations required the military component to patrol UNAMID areas of responsibility. In order to do this, sector commanders were required to develop patrol plans in line with targets set by the Force Commander. These plans were expected to take into consideration the protection needs of IDPs and associated risks, as well as availability of equipment to conduct effective and safe patrols.

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

16. The above resulted as UNAMID: (a) had not implemented adequate procedures to make sure IDPs were adequately consulted when assessing their protection needs; (b) had not established planning targets that were consistently met in patrol plans; and (c) did not have the contingent-owned equipment that it had expected when developing its patrol plans. As a result, there was reduced confidence of the local population in the ability of UNAMID to protect them. Also, IDPs were taking measures to protect themselves or acting without waiting for UNAMID escorts.

(1) UNAMID should implement adequate procedures to ensure: (a) internally displaced persons are adequately consulted when assessing their protection needs and preparing patrol plans; (b) established planning targets are consistently incorporated in patrol plans; and (c) the availability of contingent-owned equipment is fully considered in patrol planning.

UNAMID accepted recommendation 1 and stated that Force Headquarters: begun having weekly

consultation with IDPs leadership during security meetings with UNAMID military and police components and Security Section; issued standard operating procedures on the minimum number of patrols to be conducted; and (c) improved the serviceability of major equipment used in patrolling to 87 per cent. Recommendation 1 remains open pending receipt of a copy of the procedures issued by Force Headquarters and evidence that: IDPs have been consistently consulted when assessing their protection needs and in preparing patrol plans, and the serviceability of major equipment has improved.

B. Programme management

A monitoring and reporting system was needed for the patrol days included in budget performance reports

17. The UNAMID results-based budgeting standard operating procedures required the military component to maintain adequate documents (portfolio of evidence) to support actual patrols conducted and reported in the results-based performance report. The UNAMID military standard operating procedures required the military component to develop and maintain an information and data management system to document its activities.

18. A review of the monitoring and reporting of military patrols indicated that the Mission had not maintained adequate supporting documents to compute the number of troop-mobile and foot-patrol days conducted. As a result, UNAMID used hypothetical numbers of patrols and troops per patrol to derive the numbers of troop-mobile and foot-patrol days reported in the budget performance report. For example, UNAMID reported in the 2012/13 results-based performance report that the military component conducted 893,520 troop-mobile and patrol-days to monitor and verify movement of forces engaged in the Darfur conflict. These patrol-days were computed using 72 troops per patrol, one patrol per day at each of 34 team sites for 365 days. Similarly, UNAMID reported it conducted 1,340,280 troop-mobile and foot-patrol-days to identify nomadic migration routes. These patrol-days were computed using 36 troops per patrol, 3 patrols per day at each of 34 team sites for 365 days.

19. Also, a review of the military component's database indicated that the component maintained some data on the planned and actual number of troops per patrol conducted. However, the database did not include information on troop-mobile and foot-patrol days and it was incomplete as follows: data on planned patrols was available for only two months during 2012/13 and 2013/14,; and data on actual patrols was available for only six months during 2012/13 and 2013/14,.

20. This resulted as: (a) the military component was not fully aware about the requirement to report on troop-mobile and foot-patrol days and therefore had not developed a related system to record such information; and (b) UNAMID had not developed and implemented procedures to ensure that the database was regularly updated and data was properly classified for easy retrieval. As a result, UNAMID was precluded from adequately monitoring the achievement of indicators reflected in the result-based budget and demonstrating the achievement of such indicators.

(2) UNAMID should: provide training to the military component on the requirement to monitor and report on troop-mobile and foot-patrol days; and develop and implement a system to accurately record and report on actual troop-mobile and foot-patrol days.

UNAMID accepted recommendation 2 and stated that Force Headquarters designed a new patrol reporting format in line with the indicators in UNAMID results-based budget that would be used by all sectors. UNAMID would also provide training to the military component on the maintenance of accurate records in respect of actual troop mobile and foot patrol days. Recommendation 2 remains

open pending receipt of evidence that the Mission has developed and implemented a system to accurately record data and report on troop-mobile and foot-patrol days.

Performance targets for patrolling were not achieved

21. The UNAMID military concept of operations required each sector commander to conduct monthly patrols at team sites manned by a company of military contingents as follows: 84 routine patrols, 24 short range patrols, four long range patrols and 56 night patrols. For team sites with two companies of military contingents, the concept required the military contingents to conduct 112 routine patrols, 24 short range patrols, four long range patrols and 56 night patrols develop patrol plans per month. Further, the UNAMID military standard operating procedures required: (a) a routine patrol to cover 5 to 20 kilometers; (b) a short-range patrol to cover 20 to 40 kilometers; (c) a long-range patrol to cover more than 40 kilometers; and (d) night patrols to cover at least 10 kilometers. The procedures also required long-range patrols to stay overnight at a particular location to monitor activities at that location.

22. An analysis of 3,017 daily reports of patrols conducted for all sectors in April 2014, the only month for which complete data was available, indicated achievement rates ranging from 36 to 75 per cent of the targets when compared to the relevant patrol plans. Further analysis of the April 2014 reports indicated the following:

(a) Three hundred and twenty-six of the 1,873 routine patrols made by the contingents covered less than the standard of 5 kilometers;

(b) Fifty-five of the 323 short-range patrols made by the contingents covered less than the standard of 20 kilometers;

(c) Fifty-two of the 107 long-range patrols made by the contingents were made within less than the standard of 40 kilometers and none of the 107 patrols resulted in an overnight stay;

(d) Four hundred and fifty-two of the 714 night patrols made by the contingents were made within less than the standard of 10 kilometers from the contingent's respective team sites. As most of the nearest IDPs camps were more than 10 kilometers from the military base, this indicated that contingents had not adequately patrolled the camps;

(e) A battalion located in Sector South was required to conduct 280 routine, 96 short-range, 16 long-range and 532 night patrols per month. However, of the 280 required routine patrols, the battalion conducted only 43 patrols including six escort services that were misclassified as routine patrols instead of logistical/administrative escorts; and

(f) Due to rotation of one battalion of 800 troops assigned to Sector West, there were no patrols conducted in the Sector for 13 days in April 2014. This was because the military relied on the Mission's civilian air assets to transport contingents and their supplies to various patrol sites. However, a review of UNAMID air assets and discussion with the Force Commander indicated that the air fleet was inadequate as the helicopters could only transport a maximum of 20-25 passengers per trip.

23. The above resulted because: (a) the Office of Force Commander was not monitoring the conduct of patrols; and (b) there was an insufficient number of armored personnel carriers to conduct patrols as 79 of the required 434 were out of service as of 30 June 2014; and (c) there was an inadequate capacity of air assets. The lack of adequate patrols reduced the confidence of the local population in the ability of UNAMID to protect them, and exposed IDP camps and the local population to increased security risks.

(3) UNAMID should implement a mechanism to increase management oversight of military patrols to ensure all planned patrols are conducted, and prompt actions are taken to address impediments to planned patrols.

UNAMID accepted recommendation 3 and stated that it began analyzing patrol reports on a regular basis to monitor compliance with planned targets and to take prompt actions to address impediments. Based on the action taken by UNAMID, recommendation 3 has been closed.

Patrol teams did not always have the required minimum number of troops

24. The UNAMID military commanders' directive required each patrol team to be at least a platoon of 37 troops and commanded by a commissioned officer.

25. An analysis of troop deployment during April 2014 for all sectors indicated that UNAMID had 37 to 89 per cent less troops per patrol than the requirement. For example, only 556 of the 1,873 routine patrols conducted had the required minimum number of troops and only 76 of the 714 night patrols conducted had the required minimum number of troops. In addition, the required platoon strength was achieved for only 230 of the 709 patrols conducted in all sectors during April 2014.

26. The above resulted as UNAMID had not implemented adequate measures to ensure the military component complied with the requirement for minimum number of troops per patrol. As a result, United Nations personnel, IDPs and the local population were exposed to increased security risks.

(4) UNAMID should implement adequate measures to ensure that each patrol includes the required minimum number of troops.

UNAMID accepted recommendation 4 and issued instructions on the minimum configuration/composition of a patrol and escort. Based on the action taken by UNAMID, recommendation 4 has been closed.

Roles of United Nations military observers and liaison officers in patrolling duties needed to be reviewed

27. The UNAMID military concept of operation required liaison capabilities to focus on establishing and maintaining a local network of contacts to visit IDP camps and other centers of the local population to gauge the current security situation and bolster confidence in the peacekeeping process. The concept of operation also required United Nations military observers and liaison officers to conduct patrol duties independent of the contingent troops to monitor and report incidents related to the peace process. Reassignment of liaison officers and military observers required the approval of the Department of Peacekeeping Operations (DPKO), which was involved in the preparation and approval of the concept of operations and the sourcing of officers.

28. A review of the deployment of military observers and liaison officers indicated that 39 of the 269 military observers and all 83 liaison officers, as of 30 June 2014, had been assigned duties as staff officers instead of the functions specified in the concept of operations such as establishing local networks and visiting IDP camps.

29. UNAMID had not taken time to obtain formal approval from DPKO to reassign these officers, as it urgently needed additional staff officers in El Fasher and in newly created Sectors East and West

Headquarters to perform critical functions. As a result, there were insufficient numbers of military observers and liaison officers available to perform mandated functions.

(5) UNAMID should formalize its agreement with DPKO on the reassignment of military observers and liaison officers.

UNAMID accepted recommendation 5 and stated that it requested DPKO to reassign 25 military observers and liaison officers to Mission Headquarters and Sector Joint Operation Centres. Recommendation 5 remains open pending receipt of evidence that a formal arrangement has been made with DPKO regarding the reassignment of United Nations military observers and liaison officers to non-patrol duties.

IV. ACKNOWLEDGEMENT

30. 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 patrolling by military contingents in the African Union-United Nations Hybrid Operation in Darfur

| Recom. no. | Recommendation | Critical ² / Important ³ | C/ O ⁴ | Actions needed to close recommendation | Implementation date ⁵ |
|------------|---|---|----------------------|--|----------------------------------|
| 1 | UNAMID should implement adequate procedures to ensure: (a) internally displaced persons are adequately consulted when assessing their protection needs and preparing patrol plans; (b) established planning targets are consistently incorporated in patrol plans; and (c) the availability of contingent-owned equipment is fully considered in patrol planning. | Important | O | Receipt of a copy of the procedures issued by the Force Headquarters and evidence that IDPs have been consistently consulted when assessing their protection needs and in preparing patrol plans, and the serviceability of major equipment has been improved. | 18 May 2015 |
| 2 | UNAMID should: provide training to the military component on the requirement to monitor and report on troop-mobile and foot-patrol days; and develop and implement a system to accurately record and report on actual troop-mobile and foot-patrol days. | Critical | O | Receipt of evidence that the Mission has developed and implemented a system to accurately record data and report on troop-mobile and foot-patrol days. | 30 December 2015 |
| 3 | UNAMID should implement a mechanism to increase management oversight of military patrols to ensure all planned patrols are conducted and prompt actions taken to address impediments to planned patrols. | Important | C | Action taken | Implemented |
| 4 | UNAMID should implement adequate measures to ensure that each patrol includes the required minimum number of troops. | Important | C | Action taken | Implemented |
| 5 | UNAMID should formalize its agreement with the Department of Peacekeeping Operations on the reassignment of military observers and liaison officers. | Important | O | Receipt of evidence that a formal arrangement has been made with DPKO regarding the reassignment of United Nations military observers and liaison officers to non-patrol duties. | 30 September 2015 |

² 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.

³ 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.

⁴ C = closed, O = open

⁵ Date provided by UNAMID in response to recommendations.

APPENDIX I

Management Response

AFRICAN UNION

الاتحاد الأفريقي



UNAMID



UNITED NATIONS

الأمم المتحدة

African Union – United Nations Hybrid Operation in Darfur

19 May 2015

To: Ms. Eleanor T. Burns, Director
Internal Audit Division, OIOS

From: Abiodun Oluremi Bashua
Acting Joint Special Representative
UNAMID

Subject: Draft report on an audit of patrolling by military contingents in the African Union-United Nations Hybrid Operation in Darfur (Assignment No. AP2014/634/08)

1. With reference to your memorandum of 04 May 2015, on the captioned-subject matter, please find attached UNAMID's response (Appendix I) to the draft report for your consideration.
2. I further confirm on the factual accuracy of the report.

Thank you.

cc: Lt. Gen. Paul Mella, Force Commander, UNAMID
Maj. Gen. Bella Keita, Deputy Force Commander, UNAMID
Brig. Gen. Ferdinand Safari, Force Chief of Staff, UNAMID
Mr. Bolton Tarleh Nyema, Chief, Peacekeeping Audit Service, IAD/OIOS
Mr. Prances Sooja, Chief Resident Auditor, Internal Audit Division, OIOS
Mr. Velayutham Gopal, Audit Focal Point, UNAMID
Ms. Cynthia Avena-Castillo, Professional Practices Section, Internal Audit Division, OIOS

Management Response

Audit of patrolling by military contingents 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 implement adequate procedures to ensure that: (a) internally displaced persons are adequately consulted when assessing their protection needs and preparing patrol plans; (b) established planning targets are consistently addressed in patrol plans; and (c) the availability of contingent-owned equipment is fully considered in patrol planning. | Important | Yes | Force Commander | 18 May 2015 | (a) The Force Headquarters had initiated the process of consulting IDPs for their security concerns during patrol planning. This is done on a weekly basis during security meetings involving IDP leadership, UNAMID military, CIVPOL and UNDSS at SHQs to discuss general security issues and IDPs security concerns. (b) The Force Headquarters (FHQ) had issued Standard Operating Procedures on the minimum number of patrols to be conducted by company and battalion size Team Sites. Enforcement of this SOP at Sectors and Team Sites lies with the Sector and Team Site commanders respectively. The FHQ monitors the implementation through weekly, monthly and quarterly patrol reports to ensure compliance with planned targets. (C) The average serviceability of Major Equipment for the military currently stands at 87%. This improvement in Contingent Owned Equipment (COE) serviceability contributes to the achievement of patrol targets and increased the security of IDP camps. |
| 2 | UNAMID should provide training to the military component on the requirement to monitor and report on troop-mobile and foot-patrol days and develop and implement a system to accurately record and report on actual troop-mobile and foot-patrol days. | Critical | Yes | Force Commander | 30 Dec 2015 | Force Headquarters-J3 branch which is responsible for the management of military patrols data has designed a new patrol reporting format. This new format is configured in line with the objectives of Result Based-Budget (RBB). The new format will be used by all sectors in patrol reporting and record keeping in July 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.

Management Response

Audit of patrolling by military contingents 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 |
|----------|--|---|-----------------------|---------------------------------------|------------------------|---|
| | | | | | | In addition, the FHQ has contacted Mission Support to provide training to the military staff to develop and implement accurate record on actual troop mobile and foot patrol days for RBB implementation. Similar training will be accorded to all Sector Headquarters to ensure that patrol records are kept safe and easily retrieval when required. |
| 3 | UNAMID should implement a mechanism to increase management oversight of military patrols to ensure all planned patrols are conducted and prompt actions taken to address impediments to planned patrols. | Important | Yes | Force Commander | 18 May 2015 | Force Headquarters had assigned responsibility to sector headquarters for tasking, monitoring of planned patrols and deviations from them to Sector Headquarters to ensure that patrols are properly supervised at sector and team site level to improve oversight. Force Headquarters –J3 branch analyzes reports on a daily, weekly, monthly and quarterly basis in order to monitor compliance with planned patrol targets set in the work plan. This is to ensure that patrols are conducted and prompt actions taken to address impediments to planned patrols at the Force Headquarters. |
| 4 | UNAMID should implement adequate measures to ensure that each patrol includes the required minimum number of troops. | Important | Yes | Force Commander | 18 May 2015 | Force Headquarters has issued clear instructions on the minimum configuration / composition of a patrol and escort to address the lack of robustness hitherto experienced. |
| 5 | UNAMID should formalize its agreement with the Department of Peacekeeping Operations on the reassignment of military observers and liaison officers. | Important | Yes | Force Commander | 30 Sept 2015 | Force Headquarters had requested DPKO to reassign 25 military observers and liaison officers to Mission Headquarters and Sectors Joint Operation Centre (JOC) - 10 officers at MHQ and 15 officers' at all five sectors JOC. However, the Mission is awaiting the final approval from DPKO. |