



## INTERNAL AUDIT DIVISION

# REPORT 2015/161

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Audit of the humanitarian assistance programme in the African Union-United Nations Hybrid Operation in Darfur

Overall results relating to the effective management of the humanitarian assistance programme in the African Union-United Nations Hybrid Operation in Darfur were initially assessed as partially satisfactory. Implementation of two important recommendations remains in progress

FINAL OVERALL RATING: PARTIALLY SATISFACTORY

4 December 2015  
Assignment No. AP2015/634/09

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# AUDIT REPORT

## Audit of the humanitarian assistance 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 humanitarian assistance 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 2173 (2014) requires UNAMID to ensure safe, timely and unhindered humanitarian access, and the safety and security of humanitarian personnel and activities. The UNAMID Protection of Civilian/Humanitarian Liaison Section is responsible for coordinating with United Nations agencies, funds and programmes, humanitarian organizations and the UNAMID military, police and civilian components for the provision of logistical support and armed escorts for humanitarian assistance. The Section is headed by a staff at the D-1 level who reports to the Deputy Joint Special Representative. The Section has 35 approved posts including: 16 international professionals, 1 field service staff, 10 national professionals and 8 local staff. The 2013/14 and 2014/15 budgets for the Section were \$3.4 million and \$3.3 million, respectively.
4. Comments provided by UNAMID are incorporated in italics.

### II. OBJECTIVE AND SCOPE

5. 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 humanitarian assistance programme in UNAMID**.
6. The audit was included in the 2015 risk-based work plan of OIOS because of the operational and reputational risks related to the implementation of the humanitarian assistance programme by UNAMID.
7. The key control tested for the audit was risk assessment, planning and coordination. For the purpose of this audit, OIOS defined this key control as the one that provides reasonable assurance that: risks related to the UNAMID humanitarian assistance programme are identified and assessed; appropriate actions are taken to mitigate or anticipate these risks; and plans and mechanisms are in place to guide the UNAMID humanitarian assistance programme and to avoid potential overlaps with other humanitarian actors in Darfur.
8. The key control was assessed for the control objectives shown in Table 1. A control objective shown in Table 1 as “Not assessed” was not relevant to the scope defined for this audit.
9. OIOS conducted the audit in September and October 2015. The audit covered the period from 1 July 2013 to 31 July 2015. The audit included a review of UNAMID coordination with other members of

the United Nations Country Team (UNCT) to: facilitate the delivery of humanitarian assistance; and conduct joint and coordinated advocacy for timely and quality humanitarian access to people in need.

10. 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

11. The UNAMID governance, risk management and control processes examined were initially assessed as **partially satisfactory**<sup>1</sup> in providing reasonable assurance regarding the **effective management of the humanitarian assistance programme in UNAMID**. OIOS made two recommendations to address the issues identified. UNAMID implemented adequate mechanisms for coordinating the delivery of humanitarian assistance, and facilitated the delivery of 70,819 metric tons of food from November 2013 to July 2015. However, UNAMID needed to: (a) in collaboration UNCT, strengthen mechanisms for communicating the need for and scheduling humanitarian escorts; and (b) establish a comprehensive and reliable system for recording and monitoring requests for escorts and reporting on its humanitarian assistance programme.

12. The initial overall rating was based on the assessment of key control presented in Table 1. The final overall rating is **partially satisfactory** as implementation of two important recommendations remains in progress.

**Table1: 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 humanitarian assistance programme in UNAMID	Risk assessment, planning and coordination	Partially satisfactory	Partially satisfactory	Not assessed	Partially satisfactory

### Risk assessment, planning and coordination

#### Need for improved facilitation of the delivery of humanitarian assistance

13. Security Council resolution 2173 (2014) requires UNAMID to facilitate safe, timely and unhindered humanitarian access, and ensure the safety and security of humanitarian personnel and activities. The UNCT Integrated Strategic Framework for the period 2014 to 2016 requires UNAMID to coordinate with other members of the UNCT to facilitate the delivery of humanitarian assistance and conduct joint and coordinated advocacy with UNCT for timely and quality humanitarian access to people in need.

<sup>1</sup> A rating of “**partially satisfactory**” means that important (but not critical or pervasive) deficiencies exist in governance, risk management or control processes, such that reasonable assurance may be at risk regarding the achievement of control and/or business objectives under review.

14. A review of UNAMID humanitarian assistance facilitation activities, armed escort requests from humanitarian organizations, the Office of the Coordination for Humanitarian Assistance (OCHA) access-escort monitoring survey reports for January to July 2015, and joint protection group meeting minutes indicated that UNAMID established and/or participated in various coordination mechanisms for the delivery of humanitarian assistance. This included: (a) establishment of a dedicated section to ensure liaison and coordination between various United Nations entities and humanitarian organizations; (b) implementation of the Integrated Strategic Framework for the delivery of humanitarian assistance in coordination with UNCT; (c) participation in various coordination meetings with UNCT; and (d) sharing of office facilities with the UNCT focal point to coordinate armed escorts for aid delivery. Also, from November 2013 to July 2015, UNAMID facilitated the delivery of 70,819 metric tons of food by safely escorting humanitarian assistance convoys to persons in need.

15. However, UNAMID was not always able to facilitate safe, timely and unhindered delivery of humanitarian assistance, and ensure the safety and security of humanitarian personnel and activities. For instance, UNAMID was unable to facilitate 133 of 542 access requests including: (a) 42 of 259 escort requests for food convoys; (b) 71 of 244 requests for escorts in respect of programme delivery, monitoring field visits and logistics support; and (c) 20 of 39 requests for inter-agency humanitarian needs assessment missions.

16. The above resulted mainly because the host government denied 86 requests despite efforts made by UNAMID through communications with the African Union, United Nations Headquarters and relevant government agencies, as well as in other forums and meetings. UNAMID also did not have the military assets and troops to facilitate the other 47 requests due to inadequate planning of escorts in collaboration with its clients, especially during troop rotation. Additionally, UNAMID had not implemented a comprehensive and reliable system for recording, monitoring and reporting on the humanitarian assistance programme, including requests for escorts. For example, the Protection of Civilian/Humanitarian Liaison Section provided OIOS with a list of 742 escort requests made by humanitarian partners. However, the database used by the military component showed 5,797 escorts including those received directly from various agencies and substantive sections of the Mission.

17. As a result, there was a risk that UNAMID was not able to facilitate the delivery of humanitarian assistance to a significant number of persons in need as highlighted in the Secretary-General's quarterly reports for the period July 2013 to December 2014, which stated that only 488,759 of 1,060,700 internally displaced persons had been reached by humanitarian agencies.

**(1) UNAMID, in collaboration with members of the United Nations Country Team, should take action to strengthen its mechanism for planning and communicating the need for humanitarian escorts, and scheduling such escorts to ensure the availability of military assets.**

*UNAMID accepted recommendation 1 and stated that, in liaison with OCHA, it reactivated civilian-military coordination forums at sector levels to strengthen logistical and security arrangements for humanitarian agencies. As of November 2015, civilian-military coordination meetings were held in four sectors and it was expected that all five civilian-military coordination forums would be fully operational by March 2016. Recommendation 1 remains open pending receipt of evidence that UNAMID has implemented an effective mechanism for planning and communicating requests for escorts to ensure the availability of military assets in all sectors.*

**(2) UNAMID should establish a comprehensive and reliable system for recording and monitoring requests for escorts and reporting on its humanitarian assistance programme.**

*UNAMID accepted recommendation 2 and stated that it would develop sector-specific databases as well as a consolidated database for the Mission to enable the UNAMID military and police components and UNCT to report on the escorts requested. Recommendation 2 remains open pending receipt of evidence that UNAMID has established a comprehensive and reliable system for recording and monitoring requests for escorts and reporting on its humanitarian assistance programme.*

#### **IV. ACKNOWLEDGEMENT**

18. 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, Acting Head  
Office of Internal Oversight Services

## STATUS OF AUDIT RECOMMENDATIONS

## Audit of the humanitarian assistance programme in the African Union-United Nations Hybrid Operation in Darfur

Recom. no.	Recommendation	Critical <sup>1</sup> / Important <sup>2</sup>	C/ O <sup>3</sup>	Actions needed to close recommendation	Implementation date <sup>4</sup>
1	UNAMID, in collaboration with members of the United Nations Country Team, should take action to strengthen its mechanism for planning and communicating the need for humanitarian escorts, and scheduling such escorts to ensure the availability of military assets.	Important	O	Receipt of evidence of implementation of an effective mechanism for planning and communicating requests for escorts to ensure the availability of military assets in all the sectors.	31 March 2016
2	UNAMID should establish a comprehensive and reliable system for recording and monitoring requests for escorts and reporting on its humanitarian assistance programme.	Important	O	Receipt of evidence of implementation of a comprehensive and reliable system for recording and monitoring requests for escorts and reporting on its humanitarian assistance programme.	31 March 2016

<sup>1</sup> Critical recommendations address critical and/or pervasive deficiencies in governance, risk management or control processes, such that reasonable assurance cannot be provided with regard to the achievement of control and/or business objectives under review.

<sup>2</sup> Important recommendations address important (but not critical or pervasive) deficiencies in governance, risk management or control processes, such that reasonable assurance may be at risk regarding the achievement of control and/or business objectives under review.

<sup>3</sup> C = closed, O = open

<sup>4</sup> 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**

03 December 2015

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

From:  Abiodun Bashua  
Acting Joint Special Representative and Joint Chief Mediator  
UNAMID

Subject: **Draft report on an audit of humanitarian assistance programme in African Union-United Nations Hybrid Operation in Darfur (Assignment No. AP2015/634/09)**

1. With reference to your memorandum of 01 December 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: Mr. Aderemi Adekoya, Officer-in-Charge, Substantive Pillar, UNAMID  
Mr. Zurab Elzarov, OiC, Protection of Civilians/Humanitarian Liaison Office, UNAMID  
Mr. Bolton Tarleh Nyema, Chief Peacekeeping Audit Service, Internal Audit Division, OIOS  
Mr. Prances Soosa, 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 the humanitarian assistance programme in the African Union-United Nations Hybrid Operation in Darfur

Rec. no.	Recommendation	Critical <sup>6</sup> / Important <sup>7</sup>	Accepted? (Yes/No)	Title of responsible individual	Implementation Date	Client comments
1	UNAMID, in collaboration with members of the United Nations Country Team, should strengthen the existing mechanism for planning and communicating the need for humanitarian escorts, and scheduling such escorts to ensure the availability of military assets.	Important	Yes	Chief PoC/HL Section, UNAMID	31 March 2016	In line with the revised PoC Strategy of May 2015, the UNAMID PoC/HL Section has already initiated together with OCHA, the re-activation of Civil-Military Coordination (CMCoord) Forums at Sector level in order to strengthen the logistical and security arrangements for the support that UNAMID offers to humanitarian agencies. As of November 2015, CMCoord meetings have been established and are meeting in four sectors, and the arrangements for their resumption in the remaining one sector are underway. It is expected that the CMCoord Forums will be fully operational in all sectors by March 2016.
2	UNAMID should establish a comprehensive and reliable system for recording and monitoring requests for escorts and reporting on its humanitarian assistance programme.	Important	Yes	Chief PoC/HL Section, UNAMID	31 March 2016	As the liaison between UNAMID and the UNCT, PoC/HL Section will continue to work with military and police components and with the UNCT to ensure that the Mission can speak with one voice as to the number of requests made by humanitarian partners versus the number of actual escorts provided, including any

<sup>1</sup> Critical recommendations address critical and/or pervasive deficiencies in governance, risk management or control processes, such that reasonable assurance cannot be provided with regard to the achievement of control and/or business objectives under review.

<sup>2</sup> Important recommendations address important (but not critical or pervasive) deficiencies in governance, risk management or 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 humanitarian assistance programme in the African Union-United Nations Hybrid Operation in Darfur

Rec. no.	Recommendation	Critical/ Important <sup>7</sup>	Accepted? (Yes/No)	Title of responsible individual	Implementation Date	Client comments
						<p>challenges associated with the successful provision of said escorts (i.e. access denials, non-availability of resources, etc.).</p> <p>To this end, PoC/HL Section will develop Sector (specific) and MHQ (consolidated) databases in this regard. It is expected that such a system can be put in place by March 2016.</p>