



INTERNAL AUDIT DIVISION

REPORT 2014/035

Audit of corrections advisory activities
in the African Union-United Nations
Hybrid Operation in Darfur

Overall results relating to the effective
management of corrections advisory
activities in the African Union-United Nations
Hybrid Operation in Darfur were initially
assessed as partially satisfactory.
Implementation of four important
recommendations remains in progress

FINAL OVERALL RATING: PARTIALLY
SATISFACTORY

9 May 2014
Assignment No. AP2013/634/09

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AUDIT REPORT

Audit of corrections advisory activities in the African Union-United Nations Hybrid Operation in Darfur

I. BACKGROUND

1. The Office of Internal Oversight Services (OIOS) conducted an audit of corrections advisory activities 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 role of UNAMID was to assist the General Directorate of Prisons and Reform of the Government of Sudan in: (a) promoting rule of law in Darfur by strengthening an independent judiciary and prison system; and (b) providing additional capacity to strengthen, restructure and reform, as necessary, the prison system in Darfur, in accordance with international standards. A Memorandum of Understanding was signed on 21 February 2010 between UNAMID and the Government of Sudan on a common partnership for strengthening the prisons system in Darfur. The Memorandum of Understanding required UNAMID, as a partner with the Government, to jointly undertake activities such as institutional management capacity-building, institution-building, infrastructural improvement and collaboration with relevant stakeholders.
4. The UNAMID Prisons Advisory Unit was headed by a Senior Corrections Advisor at the P-5 level who reported to the Chief, Judicial Affairs Officer heading the Rule of Law, Judicial Systems and Prisons Advisory Section. The Prisons Advisory Unit had 12 authorized posts. There were six additional posts allocated under the government-provided personnel agreement and 20 personnel loaned by the UNAMID Police. The estimated staffing cost for the Unit for fiscal year 2012/13 was \$645,000.
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 corrections advisory activities in UNAMID**.
7. The key controls tested for the audit were: (a) programme management; and (b) coordinated management. For the purpose of this audit, OIOS defined these key controls as follows:
 - (a) **Programme management** - controls that provide reasonable assurance that there is sufficient capacity to achieve mandates. This includes: a system to report programme performance; sufficient financial resources; sufficient and competent human resources; and appropriate project management tools, methodologies and systems.
 - (b) **Coordinated management** - controls that provide reasonable assurance that potential overlaps in the performance of the corrections advisory programme are mitigated, and that issues

affecting or involving programme delivery are coordinated with UNAMID sections, United Nations partners, the Government of Sudan, donors and other actors to ensure that they are discussed and resolved in a timely manner.

8. 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.

9. OIOS conducted the audit from September to November 2013. The audit covered the period from 1 July 2011 to 30 June 2013. OIOS visited 6 of the 13 prisons in Darfur to observe safety, security and living conditions and ongoing projects.

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 **partially satisfactory** in providing reasonable assurance regarding the **effective management of corrections advisory activities in UNAMID**. OIOS made four of recommendations to address the issues identified. After efforts at drafting and agreeing on a plan, UNAMID, with the help of the United Nations Development Programme (UNDP), finalized a five-year strategic plan covering the years 2014 to 2018, and had it approved by all stakeholders on 23 December 2013. With the strategic plan now in place, UNAMID needed to, jointly with the Government, increase its efforts on resource mobilization to ensure funds were available to: (a) train and build the capacity of prison officers; and (b) improve the conditions of prisons. Also, although UNAMID had supported the Government in prison institution-building, additional work was required to develop guidelines for the reform process and to further encourage the General Directorate of Prisons and Reform to implement a data management system. UNAMID also needed to define the Prisons Advisory Unit’s expected programme accomplishments and indicators to better monitor and report achievements.

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

Table 1: Assessment of key controls

Business objective	Key controls	Control objectives			Compliance with mandates, regulations and rules
		Efficient and effective operations	Accurate financial and operational reporting	Safeguarding of assets	
Effective management of corrections advisory activities in UNAMID	(a) Programme management	Partially satisfactory	Partially satisfactory	Not assessed	Partially satisfactory
	(b) Coordinated management	Satisfactory	Satisfactory	Not assessed	Satisfactory
FINAL OVERALL RATING: PARTIALLY SATISFACTORY					

A. Programme management

The Mission and stakeholders had agreed and approved the strategic development plan for prison reforms

13. The Memorandum of Understanding signed on 21 February 2010 between the General Directorate of Prisons and Reform and UNAMID required UNAMID and the Government to formulate a joint strategic development plan to guide prisons development. Subsequently, the National Prisons Development Committee was established to provide a forum for the formulation of the strategic development plan. After efforts at drafting and agreeing on a plan, UNAMID, with the help of UNDP, finalized a five-year strategic plan covering the years 2014 to 2018, and had it approved by all stakeholders on 23 December 2013. OIOS concluded that UNAMID adequately contributed to the development of the strategic plan for prison reforms in Darfur.

Progress in developing and implementing programmes for strengthening the prison system was slow due to insufficient resource mobilization

14. The Memorandum of Understanding between UNAMID and the General Directorate of Prisons and Reform required UNAMID to support: (a) the Government with training and capacity-building of prison personnel; and (b) the work of the General Directorate of Prisons and Reform in improving the conditions of prisons. The Memorandum required UNAMID and the Government to jointly undertake resource mobilization to supplement the Government's funding, and for UNAMID to enlist support of the United Nations Country Team, donors, international organizations and civil society groups for prisons programmes in Darfur.

15. To support the Government in training and capacity-building of prison officers, UNAMID conducted a preliminary assessment of the capacity of prison officers in Darfur to identify gaps in skills as the basis for developing and delivering training courses. Based on this preliminary assessment, UNAMID planned to conduct 32 training courses in fiscal years 2011/12 and 2012/13 covering areas such as effective prison administration and rehabilitation of prisoners, record-keeping and management, and training methodology. Of the 32 training courses planned for 2011/12 and 2012/13, due to insufficient funding, only 21 were conducted covering subjects such as vocational skills under the rehabilitation programmes, improving the effectiveness and efficiency of prisons administration, international law principles, record-keeping and management, and prisons staff basic duties. These training courses were sponsored mainly by UNDP and UNAMID.

16. OIOS field visits to 6 of the 13 prisons in Darfur showed that UNAMID and the United Nations Country Team had taken action to improve conditions in prisons. For example, the parties had engaged in projects to upgrade infrastructures in prisons, initiated rehabilitation and capacity-building programmes, and developed the prison healthcare system. However, UNAMID needed to implement mechanisms for additional support in improving conditions in prisons as the United Nations Standard Minimum Rules for the Treatment of Prisoners were not being met. For instance:

- The Standards required at least one qualified medical officer per institution; however, in Darfur, there were no qualified medical officers assigned to prisons in Darfur. Also, although UNAMID had constructed medical clinics through UNAMID quick-impact projects and UNDP funding, these clinics were not fully equipped due to insufficient support from the Darfur State Ministry of Health; and
- The Standards required the separation of different categories of prisoners by sex, age, criminal record, and the legal reason for their detention. There was inadequate segregation of

males and females, as in seven prisons females were either detained in wings attached to the male prisons or dedicated cells within the male prisons. There was also inadequate separation of convicted hard-core criminals, criminals convicted of petty crimes and pre-trial detainees. These conditions were attributed to the lack of space to segregate prisoners.

17. UNAMID had made efforts to address these problems through quick-impact projects and by engaging the United Nations Country Team to construct additional space in one of the prisons. However, UNAMID needed to mobilize additional resources to support both the training and capacity-building programme and to further improve the conditions of prisons.

(1) UNAMID should implement a mechanism for coordinating with the United Nations Country Team, donors, international organizations and civil society groups to generate additional funding to assist in the implementation of the correction reform programme.

UNAMID accepted recommendation 1 and stated that the National Prisons Development Committee for the prisons system in Darfur, responsible for coordinating with donors and other stakeholders, was organizing a donor round table meeting to mobilize resources for the implementation of the five-year strategic plan. Recommendation 1 remains open pending receipt of evidence that there is an effective mechanism in place for generating additional funding for corrections reform in Darfur.

Progress on support for institution-building was slow

18. The 2010 Memorandum of Understanding required UNAMID, jointly with the Government of Sudan, to promote the development and implementation of the following as part of institution-building: (a) joint work plans on prisons development; (b) a computerized prison data management system for prisoners and staff; and (c) guidelines to provide a framework for conducting internal monitoring, inspections and audit in prison institutions.

(a) Joint plans on prison development were in place

19. The Prisons Advisory Unit, after holding consultations with Sector Team Leaders, the State Directors of Prisons in Darfur and other stakeholders such as UNDP, developed plans for prison development to be jointly implemented by UNAMID and the Government of Sudan. In addition, in developing these joint work plans, UNAMID and the Government of Sudan prioritized areas where institutional deficiencies were identified in prison facilities.

(b) Computerized prison data management system for prisons was not yet implemented

20. While UNAMID in collaboration with UNDP conducted six computer training sessions for prison officers in sectors West, South and North, and donated computer and accessories to prisons in these areas, no advancement had been made in the development of a computerized prison data management system. UNAMID explained that this was because there was reluctance from the General Directorate of Prisons and Reforms to provide reliable statistics on prisoners and staff. Nonetheless, UNAMID continued to have ongoing discussions with the General Directorate of Prisons and Reform to advocate the importance of such a system to support the development of the prisons system in Darfur.

- (c) Necessary guidelines for the reform process were not developed

21. UNAMID had not yet initiated with the General Directorate of Prisons and Reform the development of guidelines for conducting internal monitoring, inspections and audits in prison institutions. Although UNAMID had sufficient expertise in the Prisons Advisory Unit to draft them, and could have been proactive in initiating the process, the Prisons Advisory Unit was of the view that these guidelines could not be developed due to the lack of an agreed strategic development plan.

- (2) UNAMID should further engage with the General Directorate of Prisons and Reforms in developing a computerized prison data management system as agreed in the Memorandum of Understanding signed between the General Directorate of Prisons and UNAMID.**

UNAMID accepted recommendation 2 and stated that the design of the database and associated network infrastructure development would be implemented within the specified timeline as part of the activity in the five-year strategic plan. Recommendation 2 remains open pending receipt of evidence that a computerized prison database management system has been established.

- (3) UNAMID should further engage with the General Directorate of Prisons and Reforms in developing guidelines to provide a framework for conducting internal monitoring, inspections and audits in prison institutions.**

UNAMID accepted recommendation 3 and stated that the activity for the National Prisons Development Committee to develop guidelines was included in the five-year strategic plan. Recommendation 3 remains open pending receipt of a copy of the guidelines developed that provide a framework for conducting internal monitoring, inspections and audits in prison institutions.

Expected programme accomplishments and indicators were not clearly defined in the work plan for fiscal years 2011/12 and 2012/13

22. The DPKO/DFS guidelines on component level planning (also known as the planning toolkit) required, at a minimum, component level plans that include expected accomplishments along with the related indicators and outputs with established target dates for completion.

23. The Prisons Advisory Unit annual work plans for fiscal years 2011/12 and 2012/13 included activities without output indicators and timelines. For example, the Unit did not include output indicators for expected accomplishments, including: number of meetings held, number of position papers and reports submitted, number of Prisons Development Committees established and number of visits to sectors. UNAMID would have difficulties in monitoring and measuring programme accomplishments in the absence of clearly defined programme output indicators.

- (4) UNAMID should include in annual work plans of the Prison Advisory Unit clearly defined expected programme accomplishments and output indicators that are quantifiable and time-bound to measure and report programme accomplishments.**

UNAMID accepted recommendation 4 and stated that the activity would be implemented as recommended. Recommendation 4 remains open pending receipt of a copy of the 2014/15 work plan of the Prisons Advisory Unit that provides clearly defined expected programme accomplishments and output indicators that are quantifiable and time-bound.

B. Coordinated management

There was adequate coordination between the Prisons Advisory Unit and other stakeholders

24. As part of the overall programme objective agreed in the Memorandum of Understanding to provide support for the training and capacity-building of Government prisons personnel, the UNAMID Prisons Advisory Unit had established its presence in all prisons in Darfur by co-locating its personnel at local and state levels where they were working with prison administrations to strengthen the corrections reform programme. The Prisons Advisory Unit also conducted regular visits, held workshops and sponsored quick-impact projects to improve infrastructures and healthcare systems in the various prisons.

25. The Prisons Advisory Unit engaged with the Government of Sudan Prisons and Reform officials through the National Prisons Development Committee. Since the National Prisons Development Committee's inauguration on 30 March 2010, UNAMID had attended all of its four meetings to provide advice on technical matters and to be involved in discussing implementation of activities agreed in the Memorandum of Understanding. State prisons development committees, chaired by respective heads of prisons at state levels, were also established, and UNAMID also attended these meetings. These committees were responsible for providing feedback to the National Prisons Development Committee.

26. Within UNAMID, the Prisons Advisory Unit engaged with various sections, including Human Rights, Gender Advisory, Civil Affairs and UNAMID Police to ensure synergies and to avoid overlap in programme activities. Within the United Nations Country Team, UNAMID engaged with members in the development of projects; albeit additional efforts were required to reach other interested parties, as described in paragraph 17 of the present report. Overall, except for the need to obtain additional funding for projects as OIOS had recommended (recommendation 1 above), UNAMID was satisfactorily coordinating its activities.

IV. ACKNOWLEDGEMENT

27. 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 corrections advisory activities 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 implement a mechanism for coordinating with the United Nations Country Team, donors, international organizations and civil society groups to generate additional funding to assist in the implementation of the correction reform programme.	Important	O	Receipt of evidence that there is an effective mechanism in place for generating additional funding for corrections reform in Darfur.	30 September 2014
2	UNAMID should further engage with the General Directorate of Prisons and Reforms in developing a computerized prison data management system as agreed in the Memorandum of Understanding signed between the General Directorate of Prisons and UNAMID.	Important	O	Receipt of evidence that a computerized prison database management system has been established.	30 June 2015
3	UNAMID should further engage with the General Directorate of Prisons and Reforms in developing guidelines to provide a framework for conducting internal monitoring, inspections and audits in prison institutions.	Important	O	Receipt of a copy of the guidelines developed that provide a framework for conducting internal monitoring, inspections and audits in prison institutions.	31 December 2014
4	UNAMID should include in annual work plans of the Prison Advisory Unit clearly defined expected programme accomplishments and output indicators that are quantifiable and time-bound to measure and report programme accomplishments.	Important	O	Receipt of a copy of the 2014/15 work plan of the Prisons Advisory Unit that provides for clearly defined expected programme accomplishments and output indicators that are quantifiable and time-bound.	1 July 2014

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

1 May 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 corrections advisory activities in the African Union-United Nations Hybrid Operation in Darfur (Assignment No. AP2013/634/09)**

1. With reference to your memorandum of 16 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
Mr. Milan Trojanović, Director of Mission Support, UNAMID
Mr. Jairus Gilbert Omondi, Officer-in-Charge, Rule of Law Section, 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

Management Response

Audit of the corrections advisory activities 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 a mechanism for coordinating with the United Nations Country Team, donors, international organizations and civil society groups to generate additional funding to assist in the implementation of the correction reform programme.	Important	Yes	Senior Corrections Adviser	30 September 2014	The National Prisons Development Committee (NPDC) for the Prisons System in Darfur as a mechanism for coordinating donors and other stakeholders is organizing a Donor Round Table (DRT) meeting to mobilize resources for the implementation of the 5 Years Strategic Plan.
2	UNAMID should further engage with the General Directorate of Prisons and Reforms in developing a computerized prison data management system as agreed in the Memorandum of Understanding signed between the General Directorate of Prisons and UNAMID.	Important	Yes	Senior Corrections Adviser	30 June 2015	The activity is in the 5 Year Strategic Plan. Design of the database and associated network infrastructure development will be implemented within the specified timeline.
3	UNAMID should further engage with the General Directorate of Prisons and Reforms in developing guidelines to provide a framework for conducting internal monitoring, inspections and audits in prison institutions.	Important	Yes	Senior Corrections Adviser	31 December 2014	The activity is in the 5 Year Strategic Plan. The NPDC to develop guidelines by the stated timeline.
4	UNAMID should include in annual work plans of the Prison Advisory Unit clearly defined expected programme accomplishments and output indicators that are quantifiable and time-bound to measure and report programme accomplishments.	Important	Yes	Senior Corrections Adviser	1 July 2014	Activity will be implemented as recommended.

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.