



## **INTERNAL AUDIT DIVISION**

### **REPORT 2017/141**

---

#### **Audit of the protection of civilians programme in the African Union-United Nations Hybrid Operation in Darfur**

**UNAMID needed to improve strategic planning  
and oversight of the protection of civilians  
programme, and enhance its early warning and  
alert system**

**14 December 2017**

**Assignment No. AP2016/634/10**

# **Audit of the protection of civilians programme in the African Union-United Nations Hybrid Operation in Darfur**

## **EXECUTIVE SUMMARY**

The Office of Internal Oversight Services (OIOS) conducted an audit of the protection of civilians (PoC) programme in the African Union-United Nations Hybrid Operation in Darfur (UNAMID). The objective of the audit was to assess the adequacy and effectiveness of governance, risk management and control processes over of the PoC programme in UNAMID. The audit covered the period from July 2014 to June 2017 and included: the PoC strategy and governance structure; operations and activities including early warning activities and crisis response; and information collection and reporting.

UNAMID developed a PoC strategy and established a Joint Protection Group to coordinate the activities of all relevant Mission components and the United Nations Country Team. However, the Mission needed to improve strategic planning and oversight of the PoC programme, adequately plan patrols, and enhance its early warning and alert system.

OIOS made six recommendations. To address issues identified in the audit, UNMAID needed to:

- Address inadequacies in the PoC strategy to reflect current reconfiguration priorities;
- Ensure that the Protection Management Group is fully functional to provide strategic direction, oversight and guidance;
- Address impediments to the establishment of fully functional Integrated Field Protection Teams at prioritized team sites and develop a mechanism to provide early warnings and alerts in the form of a forward-looking threat and risk assessment;
- Conduct regular in-Mission training on PoC;
- Develop procedures for closing team sites including impact assessment for the ones identified for closure; and
- Clarify patrol objectives, priorities and composition, and optimize coverage of hotspots.

UNAMID accepted the recommendations and has initiated action to implement them.

# CONTENTS

	<i>Page</i>
I. BACKGROUND	1-2
II. AUDIT OBJECTIVE, SCOPE AND METHODOLOGY	2
III. AUDIT RESULTS	2-9
A. Strategic planning and governance	2-4
B. Operations and activities for the protection of civilians	5-8
C. Collecting and reporting information	9
IV. ACKNOWLEDGEMENT	9
ANNEX I      Status of audit recommendations	
APPENDIX I   Management response	

# **Audit of the protection of civilians 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 protection of civilians (PoC) programme in the African Union-United Nations Hybrid Operation in Darfur (UNAMID).

2. Security Council resolutions 2296 (2016) and 2148 (2014) mandated UNAMID to use its available capacity and resources to: protect civilians across Darfur; ensure safe, timely and unhindered humanitarian access; and provide for the safety and security of humanitarian personnel and activities. The Department of Peacekeeping Operations/Department of Field Support (DPKO/DFS) policy on PoC in United Nations peacekeeping missions established the policies governing the implementation of the PoC mandate. The UNAMID PoC strategy dated 10 May 2015, which was revised on 21 February 2017, followed a three-tiered approach as articulated in the DPKO/DFS policy:

(a) Protection through dialogue and engagement (through peace negotiations and implementation, and conflict management and reconciliation);

(b) Providing protection from physical violence (through engagement with warring parties, tactical deployments, robust patrolling and use of force as a last resort to prevent human rights violations); and

(c) Establishing a protective environment, such as facilitating humanitarian assistance, promotion of human rights through advocacy and capacity-building.

3. According to statistics provided by UNAMID and the United Nations Country Team (UNCT), in 2016, there were 2.7 million internally displaced persons (IDPs) in 174 settlements, including 60 camps, 33 gathering sites and 75 host community sites in Darfur. Camps, which were recognized by the government, hosted 63 per cent of the 2.7 million people.

4. As of 30 June 2017, the UNAMID military component had 13,629 personnel comprising 13,180 military personnel, 121 military observers, 34 liaison officers and 294 staff officers while the police component had 3,149 personnel comprising 1,332 individual police officers and 1,817 from formed police units. On 30 June 2017, the Security Council approved the recommendations from the special report of the Chairperson of the African Union Commission and the Secretary-General of the United Nations on the strategic review of UNAMID to close 11 team sites and withdraw the military from 7 of the 36 team sites and to reduce the authorized ceiling for the military by 44 per cent and the police component by 30 per cent. This reconfiguration was required to be carried out in two phases, each extending over a period of six months. At the end of the second phase, the military troop level should be reduced to 8 infantry battalions (from the previous 16), with a total military strength of 8,735, while the police strength would stand at 2,360.

5. There was no separate budget for the PoC programme as the activities relating to it were executed as the core mandate by the entire Mission. However, UNAMID established the Protection of Civilians/Humanitarian Liaison Section (PoC/HLS), under the supervision of the Deputy Joint Special Representative (DJSR) for Protection, to help in coordinating PoC and humanitarian liaison activities in support of the DJSR and Heads of Offices at the Sectors. The Section is headed by a coordinator at the D-1 level and is supported by 31 staff.

6. Comments provided by UNAMID are incorporated in italics.

## **II. AUDIT OBJECTIVE, SCOPE AND METHODOLOGY**

7. The objective of the audit was to assess the adequacy and effectiveness of governance, risk management and control processes over the PoC programme in UNAMID.

8. This audit was included in the 2016 risk-based work plan of OIOS since PoC is the core mandate of UNAMID and the failure to properly carry out PoC activities and address issues such as persistent human rights abuses and loss of lives may result in reputational risk to the Organization.

9. OIOS conducted this audit from November 2016 to June 2017. The audit covered the period from July 2014 to June 2017. Based on an activity-level risk assessment, the audit covered higher and medium risk areas, which included: the PoC strategy and governance structure; operations and activities including early warning activities and crisis response; and information collection and reporting. The audit did not cover PoC activities pertaining to dialogue and engagement (peace negotiations and implementation, and conflict management and reconciliation).

10. The audit methodology included: (a) interviews of key personnel, (b) review of relevant documentation, (c) analytical review of data, (d) sample testing of controls, and (e) visits to six camps and villages, in three of the five sectors in Darfur, where IDPs were residing.

11. The audit was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.

## **III. AUDIT RESULTS**

### **A. Strategic planning and governance**

#### Need to address inadequacies in the Mission's PoC strategy to reflect current reconfiguration priorities

12. The 9 April 2010 DPKO/DFS Operational Concept on PoC in the United Nations requires UNAMID to integrate protection strategies into its overarching Mission Plan (also called the Mission Concept). The operational concept also stipulates that the strategy should: provide clarity on the Mission's roles and responsibilities vis-à-vis that of the host government; articulate the communication strategies to support the Mission; provide direction for Mission components' planning documents; include a threat and vulnerability assessment; and detail how the Mission would respond to acute crises relating to PoC.

13. The revised UNAMID PoC strategy in May 2015 was refined in February 2017 to: focus on coordination of Mission components; provide clarity of roles and responsibilities of the Mission and the Government, and enhance training and communication and messaging. However, a review of the strategy indicated the following deficiencies:

- The Mission Concept, developed and approved in October 2014 and covering the period October 2014 to June 2016, had not been updated to reflect the various annual changes in the Mission's mandate. Hence, the PoC strategy was not integrated into it;
- The PoC strategy recognized the primary role of the Government of Sudan (GoS) in protecting its civilians; however, it did not sufficiently expound on the role of the Government and actions to be taken by the Mission when the host government became a party to the conflict. For

instance, from mid-December 2014 until July 2015, the GoS Armed Forces launched and conducted “Operation Decisive Summer” focusing on Jebel Mara which was held by the rebel movement, Sudan Liberation Army/Abdul Wahid. Also, the 26 February 2015 Secretary-General’s report indicated that atrocities were committed by both parties resulting in a number of fatalities, with the Government being responsible for 15 out of 37 cases reported. Consequently, the Mission did not take the necessary actions to protect civilians under threat. A further expansion of the Government’s role in the strategy especially the actions to be taken when the government became party to the conflict would have helped the Mission consider possible preventive actions to mitigate such threats;

- Although the strategy indicated that a two-fold approach of disseminating news stories and photos using the Mission’s various media platforms and the Media Relations Unit/Office of the Spokesperson, the work plans of the Public Information Section did not: (a) reflect the substantive sections’ priority activities relating to PoC; and (b) include a specific message and/or vision of the Mission’s leadership encompassing requirements for implementing the PoC mandate; and
- The modalities of Mission’s response to acute PoC crises were also not clear.

14. The gaps in the POC strategy were caused by the lack of strategic PoC vision and coordination of action plans by all concerned Mission components. Furthermore, with the recent decision of the Security Council to reconfigure the Mission, including the closure of team sites and the reduction of uniformed personnel, the needs for the protection of the civilians may not be sufficiently addressed. Therefore, there was a risk that the Mission may not adequately ensure that protection needs of civilians are effectively and efficiently identified and addressed.

**(1) UNAMID should address the gaps in its strategy for the protection of civilians and update and align its Mission Concept to reflect the current reconfiguration priorities to form the basis for the work plans of relevant sections.**

*UNAMID accepted recommendation 1 and stated that in view of the ongoing reconfiguration of the Mission, it would update the PoC strategy to align it with the reconfiguration and new priorities under the new mandate and Mission Concept which had now been finalized. Recommendation 1 remains open pending receipt of a copy of the new PoC strategy reflecting the ongoing reconfiguration and new priorities.*

Need for a fully functional and effective oversight body at the Mission leadership level to provide strategic direction and guidance

15. The UNAMID PoC strategy requires the Mission to establish a Protection Management Group (PMG) at the strategic level, comprising the Joint Special Representative (JSR), DJSR, Force Commander, Police Commissioner and other relevant senior Mission managers to provide oversight, strategic direction and guidance on the implementation of the PoC strategy, and to provide timely, informed and proactive decisions on responses to threats.

16. The Mission established a PMG, but it was not fully functional because the group did not meet during the period under review. UNAMID advised that this was mainly because UNAMID had other fora responsible for discussing PoC issues. This included a Joint Protection Group (JPG), which was established in 2013 to collaborate and coordinate with all Mission components and the UNCT on PoC activities and to facilitate humanitarian activities and programmes. The JPG was co-chaired by the UNAMID Force Chief of Staff and the Chief, PoC/HLS, with membership comprising the Force Chief of Operations and Police Chief of Operations; Chiefs of Substantive Sections, the Safety and Security Section, Joint Operations

Centre (JOC), Joint Mission Analysis Centre (JMAC) and a representative from the Office of the Director of Mission Support (DMS), as well as representatives from the UNCT. The JPGs were also established in the sectors.

17. However, the JPG was also not fully functional as relevant representatives from the substantive sections, the police and the military did not systematically participate in meetings, and action points identified during its meetings were not always followed up and addressed. Additionally, although the PoC strategy required the sector JPGs to meet regularly or at least once every month, this had not always happened in any of the five sectors. As a result, there was a risk that PoC-related issues were not systemically discussed in a complete forum, reviewed and escalated to the DJSR. In the absence of fully functional PMG and JPGs, there was a risk that PoC issues were not properly and effectively coordinated throughout the Mission.

18. The Mission also had in place a Senior Advisors Management (SAM) group, with senior management representation, to discuss issues at the highest level. The SAM was chaired by the JSR and comprised the DJSR (Protection), Police Commissioner, Force Commander, DMS, Mission Chief of Staff, and the chiefs of Safety and Security, Political Affairs, Legal, and Communications and Public Information sections as members. The SAM was expected to discuss PoC issues in the absence of a fully functional PMG and provide leadership and guidance to the JPG. However, only action points were maintained of its meetings, and OIOS review of the 34 SAM action points revealed that PoC issues were only discussed in five meetings. However, as minutes of SAM meetings were not maintained; the JRS explained that this was done deliberately in order to allow members to discuss issues freely. As such, OIOS was unable to analyse whether PoC issues were adequately discussed or resolved. Additionally, OIOS noted that action points were not followed up on in subsequent meetings to ensure appropriate actions were taken. Therefore, the SAM action points did not give sufficient direction or guidance to the JPG secretariat on PoC issues. OIOS also noted that during the process of revising the PoC strategy, there was no evidence that the JPG received specific guidance from senior management or terms of reference on how to conduct this process.

19. Without a fully functional PMG, there was a risk that the PoC strategy and activities may not properly reflect the priorities of the Mission's leadership, impacting mandate implementation, including the ability of the Mission to respond appropriately during a crisis.

**(2) UNAMID should ensure that the Protection Management Group is fully functional to provide: (a) strategic direction and guidance on the implementation of the protection of civilians' strategy; (b) informed and proactive decisions on responses to threats; and (c) adequate oversight of the Joint Protection Groups' activities to ensure their effectiveness and relevance.**

*UNAMID accepted recommendation 2 and stated that the PMG was established in the framework of the refined PoC strategy of February 2017 and held several meetings to provide guidance on important developments in Darfur related to PoC. Nevertheless, additional efforts would be made to strengthen the functioning of the PMG in line with the audit recommendation. Recommendation 2 remains open pending receipt and review of subsequent minutes of PMG meetings discussing PoC issues.*

## **B. Operations and activities for the protection of civilians**

### Need to enhance mechanism for early warnings and alerts to prevent the occurrence of violence

20. The DPKO/DFS policy on PoC in peacekeeping operations requires UNAMID to conduct a forward-looking threat and risk assessment to anticipate and prevent violence before it occurs or, at a minimum, mitigate its impact on civilians. The policy also requires UNAMID to identify the indicators, information sources, processes, resources and capabilities to provide adequate early warning analysis and alerts on PoC activities including considering all situations of impending physical violence on civilians as part of the threats to their protection, no matter the source of the threat.

21. UNAMID had developed mechanisms and structures to gather information on threats and risks to civilians. However, although these were useful in gathering information, they were not fully effective or sufficiently comprehensive, as outlined below:

- In February 2015, UNAMID completed the Protection Priority Matrix, which documented existing threats and risks to civilians; but this Matrix had not been updated to reflect ongoing threats and risks. This was because the sectors' management, responsible for completing the Matrix, found the process too cumbersome and not a useful tool for managing threats and risks.
- During the beginning of 2015, the Mission established Integrated Field Protection Teams (IFPTs) at prioritized team sites to collect and analyse information on early warnings as a means of documenting threats and risks to civilians. However, at the time of the audit: (a) 12 of 36 team sites did not have IFPTs; (b) the IFPTs at 7 team sites were not functioning; and (c) the IFPTs at 7 other team sites were only partially functioning. This was mainly because of the severe shortage of civilian staff at team sites, as IFPTs should have been composed of staff from all relevant Mission components. The shortage of staff also impacted on IFPTs interaction with the local population, to enhance community-level information-gathering and develop targeted weekly patrol plans of particular relevance to women and girls. The expected effectiveness of IFPTs could also be reduced with the closure of team sites and reduction of patrols following the Mission's reconfiguration.
- In October 2016, UNAMID coordinated with the UNCT, and conducted a mapping exercise of IDPs to define their protection priorities. The exercise comprised: a review of existing threats and assessment of the risks faced by the IDPs; analyses of the situation in the camps and settlements; and recommendations to prioritize the protection of the most vulnerable IDPs. The Mission also had various sources of information on early warning and alerts from the JMAC, IFPTs, JOC, the Team Sites and Community Network Alerts; however, these were not consolidated. For example, JMAC provided analysis and projections pertaining to PoC issues in its monthly trend assessments and other ad hoc analytical products, which served as a source of information for early warning and alerts. Although these reports also identified hotspot areas for armed conflicts, inter-communal conflicts and criminality and identified the likelihood and impact of threats to the implementation of the Mission's mandate, they were not meant for PoC activities alone and therefore were not sufficient as an early warning tool or a sufficient means to anticipate threats and risks to civilians.

22. Therefore, there was a risk that the mechanisms in place to collect and analyse information on early warnings and alerts could preclude the Mission from effectively identifying and responding to threats and risks to the IDPs.



**(3) UNAMID should: put in place an effective mechanism to collect and analyse information on early warnings and alerts; and address impediments to the establishment of fully functional Integrated Field Protection Teams at prioritized team sites.**

*UNAMID accepted recommendation 3 and stated that an effective mechanism to collect and analyse information on early warnings and alerts existed, but acknowledged that the IFPTs functioning at prioritized team sites needed to be strengthened. Recommendation 3 remains open pending receipt of: evidence that IFPTs at prioritized team sites are established and fully functioning; and results of the evaluation of the existing mechanisms to collect and analyse information on early warnings and alerts.*

Need to conduct regular in-mission PoC training

23. The DPKO/DFS policy on PoC in peacekeeping operations requires the Integrated Mission Training Centre (IMTC) to organize in-mission training on PoC based on contents provided by the PoC Adviser and relevant substantive sections. UNAMID is also required to conduct training on PoC through workshops, courses or exercises, at least twice each year.

24. IMTC developed PoC scenario-based training modules with inputs from substantive sections. However, IMTC training records showed that only 763 of more than 17,000 police and military personnel in the Mission had been trained. This was because the IMTC had not allocated sufficient time and resources to conducting training on PoC-related topics. Although, IMTC had trained trainers to train other staff throughout the Mission, there were no records or systematic follow-up to ensure that these trainers trained others. Civilians only participated in the mandatory induction training on arrival to the Mission. A review of the course contents indicated that PoC-related topics were limited considering the importance of this overarching component of the Mission's mandate. In addition, a review of the Mission's budget indicated that resources provided for training relating to PoC was not commensurate to adequately support the efforts required to strengthening training and capacity building in this critical area. According to discussion with the management of IMTC, the military and police contingents were provided with PoC-related training in their home countries before they were deployed to the missions. However, IMTC did not provide any evidence that they reviewed the contents of such trainings to determine their adequacy, taking into consideration the operating environment in Darfur.

25. As a result, there was a risk that staff were not adequately trained in Mission-specific PoC activities, which may affect the implementation of the mandate.

**(4) UNAMID should take steps to ensure that relevant Mission personnel are trained on protection of civilian related topics.**

*UNAMID accepted recommendation 4 and stated that the IMTC, in close coordination and collaboration with the military and police training cells and relevant substantive sections/units, would develop PoC training modules, programmes and stand-alone presentations for its civilian and uniformed personnel to ensure that priority PoC issues were conveyed in a targeted, accessible and operational manner, given that the uniformed personnel were the ones actively implementing physical protection activities on the ground. Recommendation 4 remains open pending receipt and review of the PoC training modules, programmes and stand-alone presentations for UNAMID uniformed and civilian personnel.*

Need to formalize procedures with criteria for identification of possible team sites to be closed including impact assessment of their closure on implementation of the PoC mandate

26. The report on the after-action review on field office closure issued by the DPKO/DFS Policy and Best Practice Service provides guidance for the drawdown and closure of field offices using the case of the United Nations Stabilization Mission in Haiti. To close a field office or team site, the guidance recommends that the following should be taken into consideration: the number of security incidents; political importance of the location and its impact on overall stability; cost-benefit analysis; the ratio of the national police personnel to the local population; crowd control capacity; crime statistics; capability of the national police; and the presence of other actors able to provide security.

27. In October 2016, GoS provided UNAMID with a list of team sites across Darfur for closure. At that point, the Mission had not conducted any assessment or established criteria for selecting sites to be closed. The JSR therefore established a task force comprising the military, police, PoC/HLS, Civil Affairs, Rule of Law and UNCT to: assess all team sites for continuation or closure; review and analyse available information; and present a report to be used to determine the team sites to withdraw from. The task force recommended the closure of several team sites using the following criteria: the presence of IDP camps and population of IDPs; farming in the areas; occurrence of violent inter-communal conflicts; humanitarian operations/assistance; criminality; return areas; and the presence and capacity of GoS police. However, the task force did not consider other criteria from the lessons learned from Haiti such as: the political importance of the region and its impact on state stability; cost-benefit analysis of locations; the ratio of police to the population; crime statistics; capability of the national police; and the presence of other actors able to provide security. The task force had also not obtained inputs from the IDPs and the National Police.

28. Following a recommendation by the Secretary-General in his 28 October 2016 letter to the Security Council for a joint African Union-United Nations team to conduct a strategic review of UNAMID and provide recommendations to the Security Council and the African Union Peace and Security Council on the Mission's priorities and configuration, on May 2017, a team completed the strategic review of the Mission and proposed a two-pronged approach to a new concept of operations that combined peacebuilding and peacekeeping tasks. This concept included the closure of 11 team sites and the withdrawal of the military from another 7 team sites out of the current total of 36.

29. Going forward, the identification of team sites for closure is not one-time exercise, but needs to be carried out by the Mission on a regular basis. The Mission; however, had not developed procedures with a set of criteria for identifying future sites to be closed and related impact assessment on the PoC programme. With the ongoing withdrawal from team sites and the reduction in personnel, there was a risk that the scope and speed at which the Mission was reducing its footprint could have a negative impact on the PoC programme and overall mandate implementation, if not adequately anticipated and mitigated.

**(5) UNAMID should develop and implement standard operating procedures, which should include criteria for closing team sites and assessment of the impact of the closure of team sites on the implementation of the mandate of the protection of civilians programme.**

*UNAMID accepted recommendation 5 and stated that the Mission Support Division had already implemented a standard operating procedure on the closure of Team Sites. Similarly, the substantive component would develop relevant guidelines, including the criteria for team site closure and an assessment of its impact on the civilian population. Recommendation 5 remains open pending development by UNAMID substantive components of the relevant guidelines/standard operating procedures, including the criteria for team site closure and its impact assessment on the civilian population.*

Need for adequate planning of patrols including their composition

30. Security Council resolution 2296 (2016) requires UNAMID, in its decisions on the use of available capacity and resources, to prioritize the PoC activities across Darfur and move to a more preventive and pre-emptive posture in pursuit of its priorities and in active defense of its mandate. The resolution also requires UNAMID to protect civilians facing imminent threats of physical violence as they carry out livelihood activities.

31. For fiscal years 2014/15 and 2015/16, the military component budgeted a total of 1,675,670 troop-mobile and foot-patrol days, and 456,768 troop-mobile and foot-patrol days for the police component to maintain the safety and protection of civilians. The corresponding budget performance reports reported that actual totals of troop-mobile and foot-patrol days were 2,250,135 for the military and 427,050 for the police. However, the figures reported in the budget performance were not supported as they were not based on actual patrol days, instead they were based on hypothetical estimates. For example, the 2015/16 budget performance report showed that the police conducted 427,050 patrol days. This was computed using 90 troops per patrol, 13 formed police units, and one patrol per day at each of the 34 team sites for 365 days. As a result, the budget performance reports were not reliable.

32. A review of the patrol planning process indicated a lack of evidence that adequate assessments were conducted to select areas to patrol and where to prioritize patrolling resources. Instead, the monthly patrol plans by military and police covered the same areas without considering or reassessing risk levels and/or priorities. As a result, the Mission's limited resources were not always allocated to patrol hotspot areas, areas where IDPs were returning to, humanitarian supply and nomadic migration routes. For example, OIOS visited a village that was patrolled bi-monthly by UNAMID and discovered that there was no apparent reason to patrol this area since IDPs no longer resided at the location.

33. The above occurred because the Mission's senior management had not taken effective steps to ensure that patrols/field visits were planned with civilian components and prioritized. As a result, the utilization of resources for such patrols/field visits may not be effective and efficient.

**(6) UNAMID should: clarify the patrol objectives, priorities and composition, and optimize coverage of hotspot areas where civilians face imminent threats of physical violence and attacks.**

*UNAMID accepted recommendation 6 and stated that in 2017, as part of the reconfiguration/drawdown exercise, UNAMID patrols had been optimized to achieve its objectives and priorities and 41 high-priority IDP camps were identified and covered in addition to other areas to protect IDPs from imminent attacks. In spite of the limited resources/personnel and the lack of civilians in the deep field, the Mission stated that it would re-emphasize the clarification of the patrol objectives, priorities and composition of the patrols in order to bring Mission personnel and resources closer to the civilian population and to respond swiftly to protection challenges. Recommendation 6 remains open pending receipt of evidence of clarification of the patrol objectives, priorities and composition of the patrols.*

## C. Collecting and reporting information

### Need to ensure consistent reporting of information on crimes, violations and other incidents

34. Security Council resolution 2296 (2016) requires the Mission to report: (a) reduction, if any, in the number of violent crimes against civilians and human rights violations, including incidents of sexual and gender-based violence; and (b) on the security situation in IDP camps and temporary settlements.

35. UNAMID had various sources of information available on violent crimes against civilians and human rights violations. These sources included: JMAC, JOC, the Police and Military, Civil Affairs, Human Rights, to mention a few.

36. JMAC reports on the number of incidents of violent crimes against civilians showed that in 2015 there were 30 cases of armed conflicts between GoS and the rebel movements that resulted in 536 fatalities. There were also 1,610 civilian deaths affecting 710 locals, 166 IDPs and 734 tribesmen. In 2016, there were 29 cases that resulted in 328 fatalities and 1,127 civilian deaths due to criminality (571), armed conflicts between GoS and the rebel movements (193), inter-communal clashes (201) and accidents/others (162).

37. On the other hand, abuses reported separately by the Human Rights Section showed that in 2016 there were 535 cases of human rights violations and abuses involving 1,428 victims, an increase of 281 cases with a corresponding increase of 271 victims compared to 2015 that were attributed to government security entities, armed militias and other groups. In 2016, 100 such cases were reported affecting 222 victims. The Section also reported that there were 118 rapes in 2015 and 167 rapes in 2016.

38. However, OIOS analysis of police reports showed 1,498 incidents of violence and crimes in 2016 against which JMAC had reported 1,428. Furthermore, the Secretary-General's reports to the Security Council had referred to attacks by the GoS Rapid Support Forces causing civilian displacement; however, there were no indication of the magnitude of the other serious abuses, such as sexual violence, extrajudicial killings, and burning of villages in these reports.

39. The above occurred because each section/component used its own data without counter-checking with others. Consequently, the Mission was precluded from providing accurate information and complete analysis of patterns of violence against civilians necessary for informed decision-making. The Mission explained that while it had a centralized database and the Statistics Task Force, chaired by JMAC, was reconciling information from all sources, it would, nonetheless, take additional efforts to ensure that members of the Statistics Task Force used the reconciled information when providing information to all users/stakeholders. Based on additional audit work done and explanation and assurance provided by the Mission, OIOS is not making a recommendation in this regard.

## IV. ACKNOWLEDGEMENT

40. 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) Eleanor T. Burns  
Director, Internal Audit Division  
Office of Internal Oversight Services

## STATUS OF AUDIT RECOMMENDATIONS

## Audit of the protection of civilians programme in the African Union-United Nations Hybrid Operation in Darfur

Rec. 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 should address the gaps in its strategy for the protection of civilians and update and align its Mission Concept to reflect the current reconfiguration priorities to form the basis for the work plans of relevant sections.	Important	O	Receipt of a copy of the new PoC strategy reflecting the ongoing reconfiguration and new priorities.	30 June 2018
2	UNAMID should ensure that the Protection Management Group is fully functional to provide: (a) strategic direction and guidance on the implementation of the protection of civilians' strategy; (b) informed and proactive decisions on responses to threats; and (c) adequate oversight of the Joint Protection Groups' activities to ensure their effectiveness and relevance.	Important	O	Receipt and review of subsequent minutes of PMG meetings discussing PoC issues.	30 June 2018
3	UNAMID should: put in place an effective mechanism to collect and analyse information on early warnings and alerts; and address impediments to the establishment of fully functional Integrated Field Protection Teams at prioritized team sites.	Important	O	Receipt of: evidence that IFPTs at prioritized team sites are established and fully functioning; and results of the evaluation of the existing mechanisms to collect and analyse information on early warnings and alerts	30 June 2018
4	UNAMID should take steps to ensure that relevant Mission personnel are trained on protection of civilian related topics.	Important	O	Receipt and review of the PoC training modules, programmes and stand-alone presentations for UNAMID uniformed and civilian personnel.	30 June 2018
5	UNAMID should develop and implement standard operating procedures, which should include criteria for closing team sites and assessment of the impact of the closure of team sites on the implementation of the mandate of the protection of civilians programme.	Important	O	Development by UNAMID substantive components of the relevant guidelines/standard operating procedures, including the criteria for team site closure and its impact assessment on the civilian population.	31 March 2018

<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.

## STATUS OF AUDIT RECOMMENDATIONS

## Audit of the protection of civilians programme in the African Union-United Nations Hybrid Operation in Darfur

Rec. 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>
6	UNAMID should: clarify the patrol objectives, priorities and composition, and optimize coverage to hotspot areas where civilians face imminent threats of physical violence and attacks.	Important	O	Receipt of evidence of clarification of the patrol objectives, priorities and composition of the patrols.	31 January 2018

# **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*

13 December 2017

To: Mr. Arnold Valdez, Officer-in-Charge  
Peacekeeping Audit Service  
Internal Audit Division, OIOS

From: Jeremiah Mamabolo, Joint Special Representative  
UNAMID

Subject: **Draft report on an audit of protection of civilians programme in the African Union-United Nations Hybrid Operation in Darfur (Assignment No. AP2016/634/10)**

1. With reference to your memorandum of 23 November 2017 on the abovementioned audit, please find attached revised UNAMID's response (Appendix I) to the draft report for your consideration.
2. I further confirm the factual accuracy of the report.

Thank you.

cc: Mr. Aderemi Adekoya, OIC Deputy Joint Special Representative (Protection), UNAMID  
Lieutenant General Leonard Muriuki Ngondi, Force Commander, UNAMID  
Ms. Priscilla Makotose, Police Commissioner, UNAMID  
Ms. Victoria Browning, Director, Mission Support Division, UNAMID  
Mr. Zurab Elzarov, Officer-in-Charge, Protection of Civilian Section, UNAMID  
Mr. Carlos Araujo, Chief Public Information Section, UNAMID  
Mr. Boubacar Dieng, Chief Child Protection Unit, UNAMID  
Ms. Francoise Simard, Chief Rule of Law Section, UNAMID  
Mr. Dayan Paul Bassi, OIC Joint Operations Centre, UNAMID  
Mr. Sergei Andreyev, Chief Joint Mission Operations Centre, UNAMID  
Mr. Pierre Ubaljoro, Chief Civil Affairs Section, UNAMID  
Ms. Ruth Kibiti, Chief Gender Advisory Unit, UNAMID  
Ms. Sunaina Lowe, Head of Office, Sector North, UNAMID  
Mr. Landing Badjie, Head of Office, Sector East, UNAMID  
Mr. Oumar Kane, Head of Office, Sector West, UNAMID  
Mr. Lameck Kawiche, Head of Office, Sector Central, UNAMID  
Mr. Berhanemeskel Nega, Head of Office, Sector South, UNAMID  
Ms. Dorothy Choto, Audit Focal Point, UNAMID  
Mr. Alexandre Etocke, Chief Resident Auditor, UNAMID  
Ms. Cynthia Avena-Castillo, Professional Practices Section, Internal Audit Division, OIOS



**APPENDIX I**

**Management Response**  
**Audit of the protection of civilians programme in the African Union–United Nations Hybrid Operation in Darfur**

Rec. no.	Recommendation	Critical <sup>1</sup> / Important <sup>2</sup>	Accepted? (Yes/No)	Title of responsible individual	Implementation Date	Client comments
1	UNAMID should address the gaps in its strategy for the protection of civilians and update and align its Mission Concept to reflect the current reconfiguration priorities to form the basis for the work plans of relevant sections.	Important	Yes	Deputy Joint Special Representative (Protection) and Mission Chief of Staff	30 June 2018	In view of the ongoing reconfiguration of UNAMID as per UNSC Resolution 2362 (2017) of June 2017, UNAMID will update the PoC Strategy to align it with the reconfiguration and priorities under the new mandate and Mission Concept which has now been finalized and the Jebel Marra Task Force Concept Paper.
2	UNAMID should ensure that the Protection Management Group is fully functional to provide: (a) strategic direction and guidance on the implementation of the protection of civilians’ strategy; (b) informed and proactive decisions on responses to threats; and (c) adequate oversight of the Joint Protection Groups’ activities to ensure their effectiveness and relevance.	Important	Yes	Joint Special Representative	30 June 2018	The Protection Management Group (PMG) was established in the framework of the Refined PoC Strategy of February 2017 and held several meetings to provide guidance on important developments in Darfur related to protection of civilians. Nevertheless, additional efforts will be made to strengthen the functionality of the PMG in line with the audit recommendation.
3	UNAMID should: put in place an effective mechanism to collect and analyse information on early warnings and alerts; and address impediments to the establishment of fully functional Integrated Field Protection Teams at prioritized team sites.	Important	Yes	Heads of Office	30 June 2018	UNAMID would like to note that an effective mechanism to collect and analyse information on early warnings and alerts exist, however, the Mission accepts that the functionality of the Integrated Field Protection Teams at prioritized team sites needs to be strengthened.

<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.

**APPENDIX I**

**Management Response**

**Audit of the protection of civilians programme in the African Union-United Nations Hybrid Operation in Darfur**

Rec. no.	Recommendation	Critical <sup>1</sup> / Important <sup>2</sup>	Accepted? (Yes/No)	Title of responsible individual	Implementation Date	Client comments
						<p>The analysis and projections pertaining to PoC are provided in the JMAC Monthly Trend Assessments and other ad hoc analytical products including integrated field protection teams (IFPT) and Joint Operation Centers (JOC) at UNAMID Team Sites and community alert networks (CAN) in Sector North, where the likelihood and impact of threats to the mission mandate implementation are identified and assessed. In these products, JMAC also identifies hotspot areas for armed conflict, inter-communal conflicts and criminality as applicable.</p> <p>UNAMID will therefore review and evaluate these mechanisms in order to strengthen the existing early warning and early response capacities of the Mission at team site level.</p>
4	UNAMID should take steps to ensure that relevant Mission personnel are trained on protection of civilian related topics.	Important	Yes	Force Commander, Police Commissioner and Deputy Joint Special Representative (Protection) in coordination with IMTC	30 June 2018	The military and police training cells and relevant substantive sections/units in close coordination and collaboration with Integrated Mission Training Cell (IMTC), will develop PoC training modules, programmes and stand-alone presentations for UNAMID uniformed and civilian personnel. That is to ensure, in particular, that priority PoC issues are conveyed in a targeted, accessible and operational manner for the use of the

APPENDIX I

Management Response

Audit of the protection of civilians programme in the African Union-United Nations Hybrid Operation in Darfur

Rec. no.	Recommendation	Critical <sup>1</sup> / Important <sup>2</sup>	Accepted? (Yes/No)	Title of responsible individual	Implementation Date	Client comments
						Mission's uniformed personnel, given that the latter are the ones actively implementing physical protection activities on the ground.
5	UNAMID should develop and implement standard operating procedures, which should include criteria for closing team sites and assessment of the impact of the closure of team sites on the implementation of the mandate of the protection of civilians programme.	Important	Yes	Deputy Joint Special Representative (Protection)	31 March 2018	UNAMID Mission Support Division has already developed and implemented a standard operating procedure on the closure of Team Sites. Similarly, the substantive component will also develop relevant guidelines, including the criteria for team site closure and its impact assessment on civilian population
6	UNAMID should: clarify the patrol objectives, priorities and composition, and optimize coverage to hot spot areas where civilians face imminent threats of physical violence and attacks.	Important	Yes	Force Commander and Police Commissioner	31 January 2018	In 2017, as part of the reconfiguration / draw down exercise, UNAMID patrols had been optimized to achieve its objectives and priorities and 41 high priority IDP camps were identified and are being covered in addition to other areas to protect civilians (IDPs) from imminent attacks. With the limited resources/personnel and the lack of civilians in the deep fields (TSs), clarification of the patrol objectives, priorities and composition will be reemphasized to the contingents in order to bring Mission personnel and resources closer to the civilian population and achieve a swift response to protection challenges.