



INTERNAL AUDIT DIVISION

REPORT 2018/024

Audit of the human rights programme in the United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic

There is a need to enhance risk assessment and strategic planning, work plan implementation and monitoring, and coordination of human rights activities

29 March 2018

Assignment No. AP2017/637/03

Audit of the human rights programme in the United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic

EXECUTIVE SUMMARY

The Office of Internal Oversight Services (OIOS) conducted an audit of the human rights programme in the United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic (MINUSCA). The objective of the audit was to assess the adequacy and effectiveness of management and implementation of the human rights programme in MINUSCA. The audit covered the period from July 2015 to September 2017 and included a review of higher and medium risk areas in the human rights programme, including: risk assessment and strategic planning; work plan implementation and monitoring; and coordination activities.

MINUSCA developed strategic priorities, planned and implemented its human rights programme, and submitted mandatory performance reports. In addition, MINUSCA had supported the establishment of the National Human Rights Commission and Special Criminal Court and continued to provide support for their operational effectiveness through its capacity-building programme. However, the Mission needed to enhance risk assessment and strategic planning, work plan implementation and monitoring, and coordination activities of the human rights programme.

OIOS made eight recommendations. To address issues identified in the audit, MINUSCA needed to:

- Identify and assess risks, and develop mitigation measures to effectively implement the human rights programme;
- Ensure that implementing partners working with and on behalf of the Mission are informed and provided copies of the standards of conduct and written undertakings of acceptance of the standards are obtained;
- Ensure that: all reported human rights violation cases are promptly recorded and reviewed; access rights to the database is promptly deactivated for staff who have left the mission; and Human Rights Officers are provided with database training;
- Enforce the procedures to plan, prepare and issue public reports in a timely manner;
- Enforce the human rights due diligence policy to MINUSCA components that provide services to non-United Nations security forces;
- Conduct a needs assessment before preparing the training plan and an impact assessment of its human rights programme to measure its effectiveness and impact on the population;
- Ensure that all staff members complete the mandatory online human rights course; and
- Enforce the procedures to promptly report information on people detained by the United Nations police to the Human Rights Division.

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

CONTENTS

	<i>Page</i>
I. BACKGROUND	1
II. AUDIT OBJECTIVE, SCOPE AND METHODOLOGY	1-2
III. AUDIT RESULTS	2-8
A. Risk assessment and strategic planning	2-3
B. Work plan implementation and monitoring	3-8
C. Coordination activities	8
IV. ACKNOWLEDGEMENT	9
ANNEX I Status of audit recommendations	
APPENDIX I Management response	

Audit of the human rights programme in the United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic

I. BACKGROUND

1. The Office of Internal Oversight Services (OIOS) conducted an audit of the human rights programme in the United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic (MINUSCA).
2. Security Council resolutions 2149 (2014), 2217 (2015), 2130 (2016) mandated MINUSCA to monitor, investigate and report on human rights violations and abuses committed against children, women and persons with disabilities, and other forms of sexual violence in armed conflict throughout the Central African Republic. The MINUSCA Human Rights Division (HRD) is responsible for implementing these aspects of the mandate. Furthermore, the HRD has the responsibility for: contributing to efforts to identify and prosecute perpetrators; preventing human rights violations and abuses; and assisting the Central African Republic's authorities in the effort to protect and promote human rights, including through the establishment of a national human rights commission and to strengthen the capacity of civil society organizations.
3. Alongside the Security Council resolutions, a Human Rights Council resolution mandated an independent expert on human rights in the Central African Republic to assess, monitor and report on the human rights situation with a view to making recommendations related to technical assistance and capacity-building.
4. The HRD is headed by a Chief at the D-1 level who reports to the Deputy Special Representative of the Secretary-General (DSRSG), Political and Protection and to the Office of the High Commissioner for Human Rights (OHCHR). Two section heads at the P-5 level support the Chief, and the Division has 85 staff comprising 39 international staff, 20 national staff and 26 United Nations volunteers.
5. The HRD is funded by MINUSCA and OHCHR for its programmatic activities. For 2015/16, 2016/17, and 2017/18, the HRD operational budgets from MINUSCA were \$649,500, \$500,000 and \$197,200 respectively, while the OHCHR budget was \$108,177 for the biennium 2016-2017.
6. Comments provided by MINUSCA are incorporated in italics.

II. AUDIT OBJECTIVE, SCOPE AND METHODOLOGY

7. The objective of the audit was to assess the adequacy and effectiveness of management and implementation of the human rights programme in MINUSCA.
8. This audit was included in the 2017 risk-based work plan of OIOS due to the criticality of human rights issues in the mandate and operations of MINUSCA.
9. OIOS conducted this audit from September 2017 to January 2018. The audit covered the period from July 2015 to September 2017. Based on an activity-level risk assessment, the audit covered higher and medium risk areas in the human rights programme of MINUSCA, which included: risk assessment and strategic planning; work plan implementation and monitoring; and coordination activities.

10. The audit methodology included interviews of key personnel, reviews of relevant documentation, analytical reviews of data and sample testing.

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

III. AUDIT RESULTS

A. Risk assessment and strategic planning

Human Rights Division has developed strategic priorities to implement its programme

12. The Policy on Human Rights in United Nations Peacekeeping Operations and Political Missions (Human Rights Policy) requires MINUSCA to analyze and evaluate on an ongoing basis the information gathered through its monitoring and investigation work. Such analysis and evaluation aims to identify and understand the root causes of conflicts and the nature and causes of human rights violations and problems to design appropriate strategies and actions.

13. The HRD, in coordination with OHCHR in Geneva, developed strategic priorities using a country note originally developed by the United Nations Integrated Peacebuilding Office in the Central African Republic covering the period from 2014 to 2017, the United Nations Integrated Strategic Framework, and the independent expert report for the Central African Republic for fiscal year 2016/17. The identified priorities included review of: extrajudicial and arbitrary killings; arbitrary arrests and detentions; torture and cruel, inhuman and degrading treatment of prisoners; sexual and gender-based violence; and violations against persons suspected of practicing witchcraft. These priorities formed the basis of the expected accomplishments in the Mission's budgets and annual work plans.

14. In addition, the HRD established five units to better position itself to efficiently and effectively address human rights priority areas namely: Capacity-Building; Human Rights Due Diligence Policy (HRDDP) and Fight Against Impunity; Transitional Justice; Protection and Mobile Investigation; and Reporting and Documentation.

15. Furthermore, the HRD conducted two strategic planning retreats during the period under review. The first retreat was held from 14 to 17 April 2015 for the human rights plan for 2015/16 and the second was held from 21 to 23 April 2016 for 2016/17. The planning retreats developed a vision and priorities of the programme, tailored towards achieving human rights objectives as outlined in the Human Rights Policy. OIOS concluded that the HRD has developed strategic priorities to implement its human rights programme.

Need to conduct risk assessments and develop mitigation measures in its human rights work plan

16. The Human Rights Policy requires MINUSCA to identify and assess risks and opportunities relating to planning of the human rights programme and develop appropriate strategies and actions to provide remedies to violations, assistance to victims and durable solutions to human rights issues.

17. Interview with the Chief Human Rights Officer (CHRO) indicated that the HRD did not undertake programme risk assessment that identified the existing controls and risk response strategies. This happened because the Division had prioritized other operations due to the difficult human rights environment that existed in the country during the initial phase of the Mission. The absence of a risk assessment plan may affect the human rights programme from being implemented effectively. A risk assessment could have

identified further operational priorities and assisted in developing effective mitigation strategies for the Division.

(1) MINUSCA should identify and assess risks, and develop mitigation measures to effectively implement the human rights programme.

MINUSCA accepted recommendation 1 and stated that risk assessments are included in the new OHCHR management plan for 2018-2021. Recommendation 1 remains open pending receipt of copies of the approved country programme and OHCHR management plan for the Central African Republic (2018-2021) that includes the identified risks and mitigation measures to effectively implement the human rights programme.

Need to inform human rights implementing partners of the United Nations standards of conduct

18. The Secretary-General's bulletin on special measures for protection from sexual exploitation and sexual abuse (ST/SGB/2003/13) states that United Nations entities entering into cooperative arrangements with non-United Nations entities or individuals should inform those entities or individuals of the standards of conduct and shall obtain a written undertaking from those entities or individuals that they accept these standards.

19. None of the 12 implementing partners that HRD worked with were informed and provided with a copy of the United Nations standards of conduct by the HRD. This was due to oversight on the part of the HRD. Failure to comply with the United Nations standards of conduct by non-United Nations implementing partners may negatively affect the reputation of the organization.

(2) MINUSCA should implement measures to ensure that implementing partners working with and on behalf of the Mission are informed and provided copies of the standards of conduct, and written undertakings of acceptance of the standards are obtained.

MINUSCA accepted recommendation 2 and stated that the HRD had informed its implementing partners of the United Nations zero tolerance policy on sexual exploitation and abuse and would obtain undertaking of acceptance of the standards of conduct. Recommendation 2 remains open pending receipt of copies of written undertakings from the implementing partners that they accept the United Nations standards of conduct.

B. Work plan implementation and monitoring

Human Rights Division planned and implemented its human rights programme

20. The Human Rights Policy requires MINUSCA to develop annual programme planning based on the results-based budgeting model. The policy further states that the development of specific work plans should be in line with mission mandates, capacity and priorities.

21. The HRD developed annual work plans that included activities in support of the Mission's human rights mandate. Thematic priorities in the 2016/17 annual work plan included: combating impunity and strengthening accountability and the rule of law; strengthening the effectiveness of international human rights mechanisms and the progressive development of international human rights law and standards; and early warning and protection of human rights in situations of conflict, violence and insecurity.

22. A review of the annual work plan for fiscal years 2015/16 and 2016/17 and the Mission's budget showed that planned indicators of achievement in the work plan were aligned with the Mission's budget output. For instance, one of the many planned outputs was to support the establishment of a National Commission for Human Rights and Fundamental Freedom (NCHRFF) and the Special Criminal Court. Through vigorous advocacy and meetings held with the Government of the Central African Republic, the NCHRFF and the Special Criminal Court were established. The HRD continued to support the operationalization and functioning of these institutions through advocacy, capacity-building, training and technical advice. In addition, the HRD developed a mapping report that listed individuals for whom the Mission had credible evidence of their involvement in alleged grave violations of human rights and international human rights law and recommended prosecution.

23. The work plan was approved by OHCHR and monitored in the OHCHR Performance Monitoring System with a progress report generated at the end of the year. OIOS concluded that the HRD had planned and implemented its activities in accordance with the approved work plan, which was aligned with the Mission's human rights mandate.

Need to systematically record in the database and appropriately follow up incidents of human rights violations and abuses reported

24. The Human Rights Policy requires MINUSCA to enter data gathered in monitoring, fact-finding and investigations into the OHCHR human rights case database used to systematically register, manage and follow up cases of human rights violations. The policy further states that: the CHRO is responsible for ensuring consistent use and quality control of the information entered into the database; and due to the sensitivity and confidential nature of the information, access to the database is limited to rights granted by OHCHR.

25. The HRD did not systematically record reported cases of human rights violations. A review of 93 of the 1,392 human rights cases recorded in the database during the period from July 2015 to September 2017 indicated the following weaknesses:

- Some 17 cases were entered into the database with delays between 40 and 567 days after the reported incident date;
- Some 72 of the 93 sampled cases had been open for an average of 377 days from the time they were entered into the database. Furthermore, 29 of the 72 cases had not been updated/edited from the time the cases were entered in the database and these cases were 186 days old on average; and
- Some 21 cases had been closed in the database, out of which, a supervisor reviewed 12 cases. However, review comments made by the supervisor were not addressed by Human Rights Officers (HROs) before closing the cases; and six cases were closed without being reviewed by a supervisor. For 13 of 21 closed cases where violations were confirmed, there was no evidence in the database that indicated the results of the follow-up actions as required.

26. A review of five select monthly reports for 2015/16 and 2016/17 indicated 604 new human rights cases. However, in the database, there were only 486 cases registered.

27. Also, a review of the access rights granted to staff members to use the MINUSCA-specific part of the OHCHR global database identified seven staff members who had left the mission but still had access to the database after one to six months of their departure.

28. Despite repeated reminders from the HRD management to HROs to update the database timely, the database management issues remained unchanged. The HROs confirmed that they all did not have adequate skills to use the database. HROs also felt overwhelmed by their daily tasks since they are also tasked with other field administration duties such as acting as the head of office.

29. The above resulted because: the HRD had not implemented adequate monitoring controls over the use of the database; of inadequate training provided to staff members on the use of the database; and of delay in reporting the information related to those staff who no longer need access to the database.

30. Incomplete and inaccurate reporting of human rights violations in the database may affect the basis of the protection, promotion and advocacy of human rights performed by MINUSCA. In addition, lack of proper follow-up on reported human rights violations may result in perpetrators of human rights violations not being held accountable for their actions, continuing to violate human rights.

(3) MINUSCA should establish a monitoring mechanism to ensure that: (a) all reported human rights violation cases are promptly recorded and reviewed, and that review comments are applied and the result of the case is indicated in the database; (b) access rights to the database is promptly deactivated for staff who have left the Mission; and (c) Human Rights Officers are provided with database training.

MINUSCA accepted recommendation 3 and stated that the HRD had informed all HROs that all reported cases should be entered in the database and non-compliance would be reflected in the performance evaluation. In addition, a P-3 HRO was designated to monitor timely entries of cases and follow up with the concerned HRO in the field, and to report to the Division leadership on the quality of the information entered in the database. The HRD established a coordination mechanism with the OHCHR in Geneva on the updating of access rights and database training to the HROs. Recommendation 3 remains open pending receipt of evidence: of recording and review of all reported human rights cases, including their resolution; of review and deactivation of access rights to the database; and that database training has been provided to the HROs.

Need to issue public reports on the status of the human rights situation in the Central African Republic in a timely manner

31. The policy on public reporting by the human rights component of United Nations peace operations requires MINUSCA to: prepare ad hoc reports and annual reports; and share draft reports with other relevant components within the Mission for review and comments. The Head of Mission and OHCHR are to clear reports before issuance.

32. During the audit period, the HRD prepared and issued four public reports including: one annual report (covering a period of two six-monthly reports) and three ad hoc reports to inform national stakeholders and the international community of the human rights situation and to formulate coherent and consistent strategies to address the situation. In addition, the HRD prepared and issued a mapping report that listed individuals that had allegedly committed grave violations of human rights and international human rights law in the Central African Republic between January 2003 and December 2015.

33. However, the HRD public reports were not issued within acceptable timeframes of at most six months for annual reports, following the end of the reporting period. For example, the annual report covering the period from April 2016 to March 2017 was issued nine months after the end of the reporting period, and the three ad hoc reports were on average issued four months after the respective events took place.

34. The above resulted due to other competing priorities of the HRD and a prolonged and untimely internal and external review process. Lack of timely public reports on human rights situation may prevent action from the United Nations to alert national stakeholders to act in a timely manner and keep abreast of the evolution and trends of human rights violations in the country.

(4) MINUSCA should take action to enforce procedures in place to plan, prepare and issue public reports in a timely manner.

MINUSCA accepted recommendation 4 and stated that an operational plan identifying three public reports to be issued in 2018 with expected timeframe for clearance and publication had been put in place; dates had been chosen and agreed by the HRD, Deputy Special Representative of the Secretary-General and OHCHR. Recommendation 4 remains open pending receipt of copies of the issued public reports on the dates indicated in the operational plan.

Need to adequately enforce the Human Rights Due Diligence policy to Mission components

35. MINUSCA standard operating procedures on the HRDDP on support to non-United Nations forces require MINUSCA not to provide support to non-United Nations security forces without going through a proper screening process. Requests for support shall be submitted in a request form template, at least 72 hours (or three days) prior to providing support. When support is granted, mitigating measures shall be put in place and the United Nations component concerned shall report to the HRDDP Unit on their implementation.

36. During the audit period, the HRDDP Unit received and processed 150 requests for support from MINUSCA components and the United Nations Country Team. However, a review of 34 of the 150 requests submitted to the Unit indicated the following weaknesses:

- Some 10 of 34 requests were submitted to the HRDDP Unit by MINUSCA components a day before or after the activity instead of three days prior to providing support. Due to the late submission, the HRDDP Unit could not complete the screening process. However, support was provided to non-United Nations security forces prior to obtaining the approval. For instance, MINUSCA provided transport support for national police counterparts without obtaining approval from the HRDDP Unit due to late requests from the United Nations police;
- For 8 of 34 requests that resulted in support being provided to national security forces, the MINUSCA components did not report back to the HRDDP Unit on the mitigating measures taken to reduce the risk of violations; and
- Some 10 of 34 requests that were submitted by MINUSCA components did not use the correct template; instead the components sent emails that did not include all the required information thereby slowing down the screening process.

37. The above resulted because MINUSCA management had adequately enforced Mission components to comply with the policy and procedures related to the screening process of non-United Nations forces. Non-compliance by MINUSCA with the HRDDP may increase the risk of providing support to non-United Nations forces that committed grave human rights violations, thereby increasing reputational risk to the United Nations.

(5) MINUSCA should take action to adequately enforce the human rights due diligence policy to MINUSCA components that provide services to non-United Nations security forces.

MINUSCA accepted recommendation 5 and stated that the HRD had been working to enhance coordination and efficiency in reviewing the requests for support. Recommendation 5 remains open pending receipt of evidence of compliance with HRDDP when providing services to non-United Nations security forces.

Need to conduct needs and impact assessment of the capacity-building programme

38. The OHCHR handbook for human rights educators' states that a training needs assessment is to be conducted once it is determined that a lack of human rights knowledge, skills, and/or attitudes and values is contributing to an existing problem. The Secretary-General's bulletin (ST/SGB/2000/8) on regulations and rules governing programme planning, the programme aspects of the budget, the monitoring of implementation and the methods of evaluation requires MINUSCA to undertake periodic self-evaluation and/or engage an independent evaluator to determine as systematically and objectively as possible the relevance, efficiency, effectiveness and impact of the Section's activities in relation to their objective.

39. The HRD planned and implemented capacity-building training at various MINUSCA locations. The Capacity-Building Unit is responsible for implementing and monitoring the training plan; however, the HRD did not conduct training needs assessment prior to programmatic intervention. Such assessment would allow the HRD to address the most pressing needs of the beneficiaries. In addition, the HRD had not evaluated the capacity-building training sessions it conducted since 2014 at all MINUSCA locations or conducted an independent evaluation to measure the performance of the human rights training programme and assess its impact on the population.

40. The above resulted because other pertinent programmes were prioritized over the training needs and impact assessment even though the HRD had identified these needs in its 2016 staff retreat. As a result: the human rights capacity-building training provided to beneficiaries may not address their needs; and the absence of training impact assessment may prevent the HRD from measuring its training programme's effectiveness, outcomes and impact made on the population in order to make appropriate changes.

(6) MINUSCA should take action to conduct: (a) needs assessment before preparing the training plan; and (b) impact assessment of its human rights programme to measure its effectiveness and impact on the population.

MINUSCA accepted recommendation 6 and stated that the OHCHR proposed to support a training needs assessment. After that, OHCHR could provide adequate training materials to the Capacity-Building Unit to build standard training folders to enhance clarity and ensure coherent messaging nationwide. Recommendation 6 remains open pending receipt of copies of the needs and impact assessments of the human rights training programme.

Need to enhance staff members' awareness of human rights laws and practices

41. The Secretary-General's memorandum of December 2015 to staff announced the launch of the mandatory online course on the United Nations human rights responsibilities urging all United Nations entities to ensure that staff at all levels take the course.

42. MINUSCA has not put a monitoring mechanism in place to keep track of staff members that do not complete the mandatory online human rights course. The Office of the Director of Mission Support has issued a circular on 22 December 2015 informing staff to complete the mandatory training as required.

However, since then, no reminder circular had been issued. Although the HRD in conjunction with the Integrated Mission Training Centre delivered human rights awareness training module during staff induction course for new Mission staff, the human rights module was only introductory and not as detailed as the mandatory online course.

43. The above resulted due to the lack of a mechanism in place to ensure that staff members completed the mandatory online human rights training. Non-participation of staff in the mandatory human rights online training could result in staff not being aware of, and abiding by international human rights and humanitarian law standards.

(7) MINUSCA should implement a monitoring mechanism to ensure that all staff members complete the mandatory online human rights course.

MINUSCA accepted recommendation 7 and stated that an email broadcast was issued to all personnel to complete the mandatory online training on human rights by 15 March 2018 with certificates to be provided to their respective Administrative Assistants. The Integrated Mission Training Centre would consolidate data and share records with OIOS by 31 December 2018. Recommendation 7 remains open pending receipt of evidence that all staff members completed the mandatory online human rights course.

C. Coordination activities

Need to improve the coordination and information-sharing between United Nations police and Human Rights Division

44. The Human Rights Policy requires the HRD to be promptly informed of all detention by United Nations personnel and be granted unconditional access to detained persons in United Nations premises at all times, as well as to all documents related to the taking, handling and management of detained persons.

45. There was inadequate coordination between the United Nations police and the HRD regarding detained people by the United Nations police under the formal request of the Central African Republic's authorities Urgent Temporary Measures to arrest and detain individuals caught or suspected of committing a crime. For example, a review of 24 of 232 detained people by the United Nations police in 2017 indicated that 16 detainees were not visited by the HRD since the HROs were not informed of these detentions by the United Nations police.

46. The above resulted due to lack of systematic coordination between the United Nations police and the HRD with regards to detained persons. Lack of disclosure of information to the HRD of detainees by the United Nations police may prevent the Division from properly evaluating the detainees' human rights, thereby adversely affecting the reputation of the United Nations.

(8) MINUSCA should take action to enforce the procedures in place to promptly report information of people detained by the United Nations police to the Human Rights Division.

MINUSCA accepted recommendation 8 and stated that the HRD was finalizing cooperation arrangements with the United Nations police and the Force. Recommendation 8 remains open pending receipt of a copy of the final cooperation agreement on reporting and sharing of information on people detained by the United Nations and evidence of its implementation.

IV. ACKNOWLEDGEMENT

47. OIOS wishes to express its appreciation to the management and staff of MINUSCA 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 human rights programme in the United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic

Rec. no.	Recommendation	Critical ¹ / Important ²	C/ O ³	Actions needed to close recommendation	Implementation date ⁴
1	MINUSCA should identify and assess risks, and develop mitigation measures to effectively implement the human rights programme.	Important	O	Receipt of copies of the approved country programme and OHCHR management plan for the Central African Republic (2018-2021) that includes the identified risks and mitigation measures to effectively implement the human rights programme.	31 December 2018
2	MINUSCA should implement measures to ensure that implementing partners working with and on behalf of the Mission are informed and provided copies of the standards of conduct, and written undertakings of acceptance of the standards are obtained.	Important	O	Receipt of copies of written undertakings from the implementing partners that they accept the standards of conduct.	15 May 2018
3	MINUSCA should establish a monitoring mechanism to ensure that: (a) all reported human rights violation cases are promptly recorded and reviewed, and that review comments are applied and the result of the case is indicated in the database; (b) access rights to the database is promptly deactivated for staff who have left the Mission; and (c) Human Rights Officers are provided with database training.	Important	O	Receipt of evidence: of recording and review of all reported human rights cases, including their resolution; of review and deactivation of access rights to the database; and that database training has been provided to the HROs.	31 December 2018
4	MINUSCA should take action to enforce procedures in place to plan, prepare and issue public reports in a timely manner.	Important	O	Receipt of copies of the issued public reports on the dates indicated in the operational plan.	30 November 2018

¹ 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.

² 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.

³ C = closed, O = open

⁴ Date provided by MINUSCA in response to recommendations.

STATUS OF AUDIT RECOMMENDATIONS

Audit of the human rights programme in the United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic

Rec. no.	Recommendation	Critical ¹ / Important ²	C/ O ³	Actions needed to close recommendation	Implementation date ⁴
5	MINUSCA should take action to adequately enforce the human rights due diligence policy to MINUSCA components that provide services to non-United Nations security forces.	Important	O	Receipt of evidence of compliance with HRDDP when providing services to non-United Nations security forces.	31 May 2018
6	MINUSCA should take action to conduct: (a) needs assessment before preparing the training plan; and (b) impact assessment of its human rights programme to measure its effectiveness and impact on the population.	Important	O	Receipt of copies of the needs and impact assessments of the human rights training programme.	31 December 2018
7	MINUSCA should implement a monitoring mechanism to ensure that all staff members complete the mandatory online human rights course.	Important	O	Receipt of evidence that all staff members completed the mandatory online human rights course.	31 December 2018
8	MINUSCA should take action to enforce the procedures in place to promptly report information of people detained by the United Nations police to the Human Rights Division.	Important	O	Receipt of a copy of the final cooperation agreement on reporting and sharing of information on people detained by the United Nations and evidence of its implementation.	30 June 2018

APPENDIX I

Management Response

United Nations

United Nations Multidimensional Integrated
Stabilization Mission in the Central African Republic



MINUSCA

Nations Unies

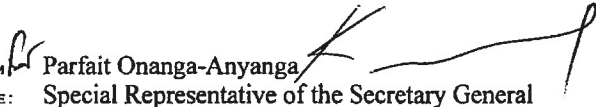
Mission Multidimensionnelle Intégrée des Nations Unies
pour la Stabilisation en République centrafricaine

INTEROFFICE MEMORANDUM

MEMORANDUM INTERIEUR

TO: Mr. Arnold Valdez, OIC
A: Peacekeeping Audit Service
Internal Audit Division, OIOS

DATE: 27 march 2018

FROM:  Parfait Onanga-Anyanga
DE: Special Representative of the Secretary General
and Head of MINUSCA

REFERENCE: IAD: 18-637-03-04

SUBJECT: **Draft report on an audit of the human rights programme in the United Nations Integrated**
OBJET: **Stabilization Mission in the Central African Republic (Assignment No. AP2017/637/03)**

1. With reference to your memorandum of 15 March 2018, on the above captioned-subject matter, please find attached MINUSCA's response (Appendix 1) for your consideration.
2. I further confirm the factual accuracy of the report.

Regards,

Attachments: (1) Appendix 1- management response
(2) Top 100 "frequent users" of the OHCHR Human Rights Case Database-2017

cc: Mr. Kenneth Gluck, DSRSG-P
Ms. Vivian van de Perre, COS
Mr. Musa Gassana, Chief, HRD
Mr. Laud Botchwey, Chief Resident Auditor for MINUSCA
Ms. Cynthia Avena-Castillo, Internal Audit Division, OIOS
Ms. Zeneda Feratlari, Audit Focal Point, MINUSCA

Management Response

Audit of the human rights programme in the United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
1	MINUSCA should identify and assess risks, and develop mitigation measures to effectively implement the human rights programme.	Important	Yes	Chief, HRD	31 December 2018 05 February 2018 31 May 2018	Conducting risks assessments have been included in the OHCHR Management Plan for 2018-2021 and complements the MINUSCA RBB. Once approved, HRD shall provide the country plan and OMP for 2018-2021. HRD completed the draft terms of reference for the human rights due diligence policy (HRDDP) under the general and preliminary risk assessment framework (GPRAF). MINUSCA leadership and HRDDP Task Force to adopt the GPRAF.
2	MINUSCA should implement measures to ensure that implementing partners working with and on behalf of the Mission are informed and provided copies of the standards of conduct, and written undertakings of acceptance of the standards are obtained.	Important	Yes	Chief, HRD and Human Rights Officers	15 May 2018	HRD will endeavor to obtain written undertakings of acceptance of the United Nation's zero tolerance policy as well as assurances that partners will enforce the policy with their respective personnel.
3	MINUSCA should establish a monitoring mechanism to ensure that: (a) all reported human rights violation cases are promptly recorded and reviewed, and that review	Important	Yes	Chief, HRD and Human Rights Officers	21 February 2018	While MINUSCA HRD staff belong to the top 20 per cent users of the OHCHR database (Attachment 1), HRD personnel have been instructed

¹ 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.

² 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 human rights programme in the United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
	comments are applied and the result of the case is indicated in the database; (b) access rights to the database is promptly reported to be deactivated for staff that left the Mission; and (c) Human Rights Officers are provided with database training.				1 April 2018 31 March 2018 31 December 2018	to populate/upload in the OHCHR database all cases received relating to alleged human rights violations in Central African Republic. In order to achieve 100 per cent prompt reporting and review, individual HRD units and staff will be instructed to include in their work plans, for performance period 01 April 2018-31 March 2019, prompt upload and review of cases in the database. With immediate effect, HRD will deactivate the accounts of personnel who have left the Mission. Training/refresher training on the use of the database shall be accordingly provided.
4	MINUSCA should take action to enforce procedures in place to plan, prepare and issue public reports in a timely manner.	Important	Yes	Chief, HRD	31 May 2018; 31 August 2018; 30 November 2018	As indicated in the Operational Plan, three public reports will be issued in 2018 OHCHR Geneva will send a team to support the functioning of the HRD, including the preparation and planning and rapid release of public reports.
5	MINUSCA should take action to adequately enforce the human rights due diligence policy to MINUSCA components	Important	Yes	Chief, HRD	05 February 2018	HRD completed the draft terms of reference for the human rights due diligence policy (HRDDP) under the framework the general and

Management Response

Audit of the human rights programme in the United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
	that provide services to non-United Nations security forces.				<p style="text-align: center;">31 May 2018</p> <p style="text-align: center;">There are no specific dates as requests for support from MINUSCA components and the UNCT are received at any time/date.</p>	<p>preliminary risk assessment framework (GPRAF).</p> <p>MINUSCA leadership and HRDDP Task Force to adopt the GPRAF.</p> <p>HRD will enforce the due diligence policy (HRDDP) to all MINUSCA components that provide support to non-United Nations forces aimed at mitigating grave human rights violations that may impact negatively on the reputation of the United Nations and MINUSCA. HRD will liaise with Chief of Staff and DSRSG Political to ensure good coordination and compliance from Force and Police components with the HRDDP.</p>
6	MINUSCA should take action to conduct: (a) needs assessment before preparing the training plan; and (b) impact assessment of its human rights programme to measure its effectiveness and impact on the population.	Important	Yes	Chief, HRD	31 December 2018	HRD shall coordinate with OHCHR to conduct a training needs assessment. OHCHR could then provide adequate training material to the Capacity Building Unit, which could then be responsible for building training folders for each field offices. This would help to enhance clarity in training sessions and ensure coherent messaging nationwide. HRD will continue to hold discussions with the Government, NGOs and partners to identify training needs. HRD will

Management Response

Audit of the human rights programme in the United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
						undertake annual impact assessment of its work.
7	MINUSCA should implement a monitoring mechanism to ensure that all staff members complete the mandatory online human rights course.	Important	Yes	IMTC and Office of Chief of Staff	05 March 2018 31 December 2018	An email broadcast was issued to all MINUSCA personnel to complete the on-line mandatory training on human rights by 15 March 2018 with certificates to be provided to their respective offices' Administrative Assistants. IMTC shall consolidate compliance data to said on-line course and shall accordingly provide to the Office of the Chief of Staff for on-forwarding to the OIOS – IAD.
8	MINUSCA should take action to enforce the procedures in place to promptly report information of people detained by the United Nations police to the Human Rights Division.	Important	Yes	Chief, HRD and Human Rights Officers	30 June 2018	HRD will endeavor to finalize the following aimed at enhancing reporting of people detained by UNPOL/Force: – HRD - UNPOL cooperation agreement – HRD - Force cooperation agreement HRD shall continue to enforce the following SOPs aimed at improving cooperation and reporting by MINUSCA partners: - OHCHR-DPKO-DPA-DFS Policy on Human Rights in United Nations Peace Operations and Political Missions

Management Response

Audit of the human rights programme in the United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
						<ul style="list-style-type: none"> - SOP on Information sharing and response on human rights violations for MINUSCA Human Rights, Military, Police and Corrections Components - DPKO Interim SOP on Detention in United Nations Peace Operations - SOP on Detention and Handover for MINUSCA Police and Military