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INTEROFFICE MEMORANDUM

MEMORANDUM INTERIEUR

OFFICE OF INTERNAL OVERSIGHT SERVICES - BUREAU DES SERVICES DE CONTRÔLE INTERNE
INTERNAL AUDIT DIVISION - DIVISION DE L'AUDIT INTERNE

TO: Mr. Jasbir Lidder,
A: Deputy Special Representative of the Secretary-General,
United Nations Mission in Sudan (UNMIS)

DATE: 25 October 2011

REFERENCE: IAD: 11- 00640

FROM: Fatoumata Ndiaye, Director
DE: Internal Audit Division, OIOS



SUBJECT: **Assignment No. AP2011/632/04 – Audit of public information programme in UNMIS**

OBJET:

Overall results relating to effective management of public information programmes of UNMIS were partially satisfactory

1. Attached please find the final report on the above-mentioned audit.
2. Please note that under General Assembly resolution 59/272, a Member State may request that the final report be made available. Also note that pursuant to General Assembly resolution 64/263, OIOS has included the complete management response as an appendix to the present report.
3. We wish to express our appreciation to the Management and staff of UNMIS for the assistance and cooperation extended to the auditors during the assignment.

cc: Mr. Nicolas Von Ruben, Director of Mission Support, UNMIS
Mr. Paul McNeill, Senior Administrative Officer, UNMIS
Ms. Susanne Frueh, Executive Secretary, Joint Inspection Unit
Mr. Swatantra Goolsarran, Executive Secretary, UN Board of Auditors
Mr. Seth Adza Chief Audit Response Team, DFS
Mr. Moses Bamuwanye, Executive Secretary, IAAC
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Ms. Eleanor T. Burns, Chief Peacekeeping Audit Service, OIOS
Ms. Amy Wong, Programme Officer, Internal Audit Division, OIOS

AUDIT REPORT

Audit of public information programme in UNMIS

BACKGROUND

The United Nations Mission in Sudan (UNMIS) was mandated to provide guidance and technical assistance to the parties of the Comprehensive Peace Agreement and to support the preparations for and to conduct the referendums.

The Public Information Office (PIO) in UNMIS is responsible for formulating the Mission's public information strategy and work plan. The PIO has five units, namely the Media Relations, Radio, Outreach, Video and Still photography and Print and Web. The Office has 237 authorized posts (198 national and 39 international). The budgets for the fiscal years 2009/10 and 2010/11 were \$2.8 million and \$1.6 million, respectively.

This audit was included in OIOS' 2011 risk-based work plan because of the importance of the public information programme in assisting the Mission in implementing its mandate.

OBJECTIVE AND SCOPE

The audit was conducted to assess the adequacy and effectiveness of risk management, control and governance processes of UNMIS in providing reasonable assurance regarding the effective management of its public information programmes. The key controls tested for the audit included those related to: (a) risk management and strategic planning; (b) project management; (c) performance monitoring; and (d) regulatory framework. The audit covered the period from 1 January 2010 to 31 March 2011.

AUDIT RESULTS

In the opinion of OIOS, risk management, control and governance processes of UNMIS examined were **partially satisfactory** to provide reasonable assurance regarding the effective management of its public information programmes. UNMIS had developed two event-specific public information strategies to support the mandate of the Mission, disseminated different types of media to reach targeted audiences, and generally managed its public information activities effectively. However, as lessons learned, there was a need to: (a) improve editorial controls over radio programmes; (b) provide additional training to public information staff; (c) evaluate programme activities as to whether goals were met and contributed to the achievement of the mandate of UNMIS; and (d) ensure that provisions of the Memorandum of Understanding, established with an international Non-governmental Organization for the radio network are periodically reviewed. Moreover, PIO assets were not properly recorded in Galileo.

Risk management and strategic planning

The PIO had developed two event-specific public information strategies: a Preliminary Pointers for Public Information Campaign in Abyei and a Public Information Communications Strategy for the Sudan Referendum and Popular Consultation Process. Both strategies emanated from UNMIS Comprehensive Peace Agreement's implementation strategy and were adequate to support the specific events under relevant subjects. The PIO had also developed a public information strategy covering the fiscal year 2008/09, which had been rolled-forward to subsequent years, as the mandate had not changed. In addition, the PIO had developed detailed annual work plans with timelines for implementation. Media

campaign action plans for supporting the 2010 referendum and plans for the post-referendum period were developed and implemented to support the Mission's mandate.

Project management

The PIO was disseminating different types of media to reach target audiences in a clear, reliable and credible manner. Approval procedures of media messages were generally in place; however, they needed to be improved for radio programmes. An international Non-governmental Organization was assisting UNMIS in radio broadcasting, and while UNMIS stated that this Organization was under the overall authority of the Chief of the Radio Unit, and sensitive matters were discussed and approved by the Chief, there was no documentation evidencing this, and there were no standard operating procedures in place for identifying sensitive materials and referring programme materials to the Chief of the Radio Unit for approval. There were two incidents of radio broadcasts that were politically sensitive and criticized by the Government of South Sudan highlighting an unmitigated risk that radio programmes are broadcast without proper editorial approval by United Nations personnel.

Performance monitoring

UNMIS used several communication channels to reach its target audience; however, its monitoring mechanisms to determine their effectiveness were limited. An audience survey was conducted to obtain feedback on radio programmes. In other areas such as video, outreach programmes and printed materials, there were no mechanisms to determine the effectiveness of specific media tools. This prevented the CPIO from taking corrective actions and modifying its strategies and products accordingly.

Property management

Under the terms of the Memorandum of Understanding with the international Non-governmental Organization, radio equipment and spare parts were handed-over to the Mission in order to broadcast its radio programmes. The PIO did not maintain a list of the items, and there was no record of them in Galileo. In addition, while the international Non-governmental Organization stated that they provided 2,376 pieces of equipment and spare parts, there was only evidence of UNMIS receiving and accepting 374 items.

Up to 25 per cent of assets selected for inspection could not be located. While action was already initiated for the loss of some of these assets, further follow-up was necessary. Moreover, it was noted that assets were transferred and reassigned without being documented.

ACKNOWLEDGEMENT

OIOS wishes to express its appreciation to the Management and staff of UNMIS for the assistance and cooperation extended to the auditors during this assignment.

AUDIT RESULTS

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AUDIT RESULTS

I. INTRODUCTION

1. The Office of Internal Oversight Services (OIOS) conducted an audit of public information programme in the United Nations Mission in Sudan (UNMIS).

II. AUDIT OBJECTIVE

2. The audit was conducted to assess the adequacy and effectiveness of risk management, control and governance processes of UNMIS in providing reasonable assurance regarding the effective management of public information (PI) programmes. The key controls tested for the audit included those related to: (a) risk management and strategic planning; (b) project management; (c) performance monitoring; and (d) regulatory framework. For the purpose of this audit, OIOS defined these key controls as follows:

(a) Risk management and strategic planning - controls that are designed to provide reasonable assurance that risks and opportunities relating to PI programme strategies and work plans are identified and that appropriate actions are taken to mitigate risks and seize opportunities to improve its activities.

(b) Project management - controls that are designed to provide reasonable assurance that there is sufficient capacity such as financial and human resources and project management tools to effectively manage and implement PI programmes.

(c) Performance monitoring - controls that are designed to provide reasonable assurance that metrics are established to report on the performance of PI programmes in achieving its mandate. Controls include measures to assess progress towards the PI Office (PIO) work plan goals and use of resources against established indicators.

(d) Regulatory framework - controls that are designed to provide reasonable assurance that policies and procedures exist to guide PIO to ensure effective implementation of its programmes.

III. AUDIT SCOPE AND METHODOLOGY

3. OIOS conducted the audit from March 2011 to June 2011. The audit covered PI operations for the period from 1 January 2010 to 31 March 2011.

4. To gain a general understanding of the processes of UNMIS PI activities, OIOS interviewed the Chief of the Public Information Office (CPIO), the Mission's spokesperson, PI heads of units, and other relevant staff. OIOS reviewed the 2009-2011 UNMIS strategy, its PI strategies, work plans, budget documents, the Operational Policy for PI in United Nations Peacekeeping Operations (OPPI), and standard operating procedures (SOPs). Site visits to Juba, El-Obeid, Malakal and Radio Miraya, Khartoum were undertaken. An activity-level risk assessment was conducted to identify and evaluate specific risk exposures, and to confirm the relevance of the selected four key controls in mitigating the associated risks.

5. Through interviews, analytical reviews and tests of controls, OIOS assessed the existence and adequacy of written policies and procedures, and whether they were implemented consistently in line with the OPPI.

IV. OVERALL ASSESSMENT

6. In the opinion of OIOS, risk management, control and governance processes of UNMIS examined were **partially satisfactory** to provide reasonable assurance regarding the effective management of its public information programmes. UNMIS had developed two event-specific public information strategies to support the mandate of the Mission, disseminated different types of media to reach targeted audiences, and generally managed its public information activities effectively. However, as lessons learned there was a need to: (a) improve editorial controls over radio programmes; (b) provide additional training to public information staff; (c) evaluate programme activities as to whether goals were met and contributed to the achievement of the mandate of UNMIS; and (d) ensure that provisions of the Memorandum of Understanding, established with an international Non-governmental Organization for the radio network are periodically reviewed. Moreover, PIO assets were not properly recorded in Galileo.

V. AUDIT RESULTS

A. Risk management and strategic planning

7. The PIO had developed annual work plans showing details of its activities per Unit, as well as timelines for implementation. Media campaign action plans for supporting the 2010 referendum and plans for the post-referendum period (7 January to 30 June 2011) were developed and implemented to support the Mission's mandate.

The Public Information strategy of the Mission was adequate

8. The PIO had developed two event-specific PI strategies: a Preliminary Pointers for Public Information Campaign in Abyei and a PI Communications Strategy for the Sudan Referendum and Popular Consultation Process. Both the strategies emanated from the Mission's Comprehensive Peace Agreement implementation strategy and were adequate to support the specific events under the relevant subjects. The PIO had also developed a PI strategy covering the year 2008/09 which included, *inter alia*, PI mandated tasks, functional principles, channels and products, target audiences, content-themes and messages, a coordination system, a programme implementation process and the planned PI products. In addition, at the PIO retreat held in April 2009, it was agreed that since there was no change to the mandate of UNMIS, the strategy for 2008/09 was still relevant and could be the basis for subsequent years. OIOS review of the 2008/09 strategy noted opportunities for improvement including: (a) drafting a section on how to deal with the media, if there was a hostage situation, a requirement of the OPPI; and (b) coordinating with programme managers to ensure substantive issues were adequately addressed. Moreover, the strategy had not been approved by the Head of Mission.

B. Project management

9. A review of PIO work plans, action plans, weekly and monthly reports indicated that information was disseminated through different media outlets to reach targeted audiences in a clear, reliable and credible manner. There was a system to disseminate messages in a coordinated way, which included approval by heads of Units for normal materials and the CPIO for sensitive materials.

10. There was a 15 per cent vacancy rate in the PIO. However, on review of documents and discussion with Management and staff, the PI programmes were generally not impacted by this. Also, a review of PIO staff's background showed that they had the experience and expertise required to perform their functions.

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Editorial controls over radio programmes needed to be strengthened

11. The Mission broadcasted its programmes through Radio Miraya. To assist UNMIS in radio broadcasting, it entered into a Memorandum of Understanding (MoU) with an international Non-governmental Organization (INGO). The MoU stated that the radio would be operated under the overall authority of the Chief of Radio Unit (CRU) of UNMIS and under the operational editorial management of an Editor-in-Chief, appointed by the INGO. However, in practice, the editorial function for programmes was primarily controlled by the Deputy Editor-in-Chief in Khartoum and the Editor-in-Chief in Juba, both staff of the INGO. This was inconsistent with OPPI, which requires that the PIO retain editorial control of all PI materials. It also states that editing of United Nations materials by anyone other than authorized United Nations personnel is inadmissible.

12. The CPIO stated that editors were working closely and under the supervision of the Chief of Radio Unit and that the Chief of Radio Unit had ultimate responsibility for all editorial matters relating to radio programmes. The Chief of Radio Unit was consulted for highly sensitive matters as determined by editors. However, there was no documentation showing that highly sensitive materials were systematically referred to the Chief of Radio Unit for approval/action, and there were no SOPs developed for identifying sensitive materials and referring such programme materials to the Chief of Radio Unit for approval. OIOS identified two instances of radio broadcasts, which were politically sensitive, and criticized by the Government of South Sudan. Therefore, in the absence of an effective editorial control mechanism, there was an unmitigated risk that radio programmes could be broadcast without proper editorial approval of United Nations personnel.

Trainings to Public Information Office staff needed to be linked with training needs

13. The PIO is comprised of staff with technical skills who require periodic training to keep their skills current. As a good practice, a training plan should be designed based on the results of a training needs assessment. Only the Radio Unit conducted a needs assessment, and staff of the Unit attended lectures, workshops, and were provided with structured on-the-job training. However, details of the trainings were not kept including objectives of course, duration and number of attendees. Therefore, OIOS was not able to verify whether the trainings addressed the needs of the Unit. From documentation made available to OIOS, two journalists were sent to Baraka FM radio in Mombasa, Kenya, and two others to Star Radio, Liberia for training. Due to the lack of pre-determined objectives and expected results, these trainings did not fully meet the expectations of the trainees. The Mission should have developed a comprehensive training programme to address the training needs of its staff, and monitor its implementation.

C. Performance monitoring

Public information programmes were not always evaluated

14. The CPIO is responsible for formulating and implementing the substantive work of the PIO, overseeing the management of activities undertaken, and ensuring that programme activities are carried out effectively and in a timely manner.

15. The PIO prepared monthly monitoring reports that showed major activities performed during a month. Also, the PIO prepared quarterly performance reports for results-based budgeted (RBB) reporting showing its actual performance against budgeted indicators of achievement. These achievements were

AUDIT RESULTS

supported by adequate documentation. The RBB report was also linked to the programme budget and included outputs and achievements of each Unit of PIO.

16. However, the monthly and quarterly monitoring reports were generic, and only listed the key activities performed during the reporting period. They did not provide any assessment of the effectiveness of the PI programmes implemented, as programmes were not periodically evaluated to determine whether goals were met and contributed to the achievement of the mandate of UNMIS.

17. The OPPI requires the PIO to make provisions to conduct surveys among target audiences either by PI personnel or by a specialized local firm in order to measure the impact of PI programmes in supporting Mission mandates. While UNMIS used several communication channels to reach its target audience, its monitoring mechanisms to determine their effectiveness were limited. An audience survey was conducted in order to obtain feedback on FM radio programmes; however in other areas such as video, outreach programmes and printed materials, there were no mechanisms to determine their effectiveness. This prevented the CPIO from taking corrective actions and modifying its strategies and products accordingly. The space designed in the web-page for audience feedback was also not functioning due to a technical problem.

18. OIOS was informed that communication within the Mission and discussions during periodic meetings with government officials, political leaders, and press representatives were taken as the means of getting feedback on PI programmes. This type of feedback was not collated and documented.

D. Regulatory framework

The provisions of the Memorandum of Understanding were not periodically reviewed and up-dated

19. The MoU with the INGO was signed on 4 May 2005 for the establishment and operation of a United Nations radio network in Sudan. The MoU required designated representatives to meet regularly to review the implementation of the MoU and determine whether it needed to be up-dated.

20. There was no evidence that periodic meetings were held. While key provisions in establishing and operating Radio Miraya were complied with by the INGO, some issues could have been clarified and implemented if formal meetings had been convened. This included: (a) inconsistencies in provisions included in the annexes to the MoU to the provisions stated in the body of the MoU; (b) the non-establishment of a joint assessment team for determining resources including radio equipment and staffing requirements; and (c) clarification on payment of travel allowances to the international Non-governmental Organization's staff while traveling. Moreover, the UNMIS Legal Officer, while providing advice on one issue, had also suggested several other issues of concern that needed to be clarified, particularly on intellectual property and supervision of United Nations staff by the international Non-governmental Organization's staff. These issues were not resolved.

Public information assets were not accounted for

21. In accordance with the MoU, the INGO provided radio equipment and spare parts to the Mission in order to operate Radio Miraya. These assets were handed-over to the Mission, and became Mission property. However, the PIO did not maintain a list of the items, and there was no record of them in Galileo indicating their location, physical condition and who was assigned responsibility for them. The INGO stated that they provided 2,376 pieces of equipment and spare parts; however, no details of the cost were available. Moreover, there was insufficient evidence that all 2,376 items were handed-over and

AUDIT RESULTS

physically accepted by UNMIS, as hand-over (acceptance of assets by UNMIS) was available for only 374 items. There is a need for the PIO to prepare a list of all equipment and spare parts handed over by INGO to the Radio Unit. This will be required by the Office of Mission Support for possible donation or write-off during the liquidation period. OIOS is following-up on this issue during its liquidation audits.

22. Up to 25 per cent of assets selected for inspection could not be located. While a change was already initiated for the loss of some of these assets, follow-up was necessary. Moreover, some of the assets tested had been transferred either to other sectors or to team sites, but were still recorded in the system as 'in stock'. For example, SDS-A-25477 and MIS 76728 were recorded as in Malakal, but had been transferred to Khartoum. There was no documentation of the transfer. In addition, PI items (particularly radio equipments/spare parts) were issued to a responsible staff of the respective Unit of PIO although the items were not immediately required. The responsible staff subsequently gave items to different persons at different locations without documenting it, and ensuring that Galileo records were updated. UNMIS will need to ensure that public information assets are accounted for. OIOS is following-up on this during its liquidation audits.

There is a need to complete the archiving of public information products

23. The PI Units were required to maintain an archive of all PI materials. While some PI Units had procedures in place to archive documents, they were not fully effective, as follows:

- The Video Unit was archiving its films, but its archiving was not complete for 2010, and no films were archived in 2011.
- The Print and Web Unit were not archiving samples of hard copy magazines. Soft copies of printed materials were kept in the shared drive; however, they still needed to be transferred to compact disks for archiving purposes.
- The Media Relations Unit maintained soft copies of transcripts, press release statements, media monitoring reports and mailing lists in the shared drive and PI website.

24. OIOS verified during its audit of archiving and records management in UNMIS – AP2011/632/19 that the records of UNMIS were adequately archived.

AUDIT RESULTS
