



INTERNAL AUDIT DIVISION

REPORT 2018/117

Audit of movement control operations in the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo

**The Mission needed to develop key
performance indicators to measure, monitor
and report on the timeliness and
effectiveness of movement control
operations**

**30 November 2018
Assignment No. AP2018/620/01**

Audit of movement control operations in the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo

EXECUTIVE SUMMARY

The Office of Internal Oversight Services (OIOS) conducted an audit of movement control operations in the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo (MONUSCO). The objective of the audit was to assess the effectiveness and efficiency of the Mission's movement control operations. The audit covered the period from July 2016 to April 2018 and included work planning and performance management, and controls over passengers and cargo movement.

MONUSCO properly planned and conducted troop rotations, managed relevant contracts and trained its staff on the handling of dangerous goods. However, the Mission had not developed some standard operating procedures and key performance indicators to better guide movement control operations and assess their timeliness and effectiveness.

OIOS made five recommendations. To address issues identified in the audit, MONUSCO needed to:

- Develop key performance indicators and expedite completion of the standard operating procedures on movement control operations;
- Provide its movement control personnel with guidance on reporting of movement discrepancies and incidents including development of a standard report template;
- Ensure that its directives for approval of non-United Nations Secretariat passengers on its aircraft are compiled with;
- Establish and implement adequate monitoring controls to ensure all cargo movement requests are properly approved; and
- Engage with the government to ensure that the Mission obtains tax exemptions in a timely manner and to finalize the agreement for the United Nations bonded warehouse in Goma.

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

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Audit of movement control operations in the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo

I. BACKGROUND

1. The Office of Internal Oversight Services (OIOS) conducted an audit of movement control operations in the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo (MONUSCO).
2. The Departments of Peacekeeping Operations and Field Support (DPKO/DFS) Movement Control Manual and MONUSCO guidance and directives guide the movement control operations in the Mission. The MONUSCO Movement Control (MovCon) Section is responsible for planning, managing and controlling the movement of passengers and cargo to assist the Mission in effectively achieving its mandate.
3. The MovCon Section is comprised of the Joint Movement Coordination Centre (JMCC), Traffic and Shipping, Passenger Booking, Quality Assurance and Surveillance, and Administration and Budget Units. The Section is headed by a Chief at P-5 level who reports to the Chief, Supply Chain Management and is supported by 38 international staff, 10 military observers, 133 national staff and 40 United Nations volunteers.
4. In fiscal years 2016/17 and 2017/18, MONUSCO moved 251,086 passengers and 23,703 tons of cargo. The approved Mission's budgets for MovCon operations for the fiscal years 2016/17 and 2017/18 were \$21.3 million and \$26.6 million respectively.
5. Comments provided by MONUSCO are incorporated in italics.

II. AUDIT OBJECTIVE, SCOPE AND METHODOLOGY

6. The objective of the audit was to assess the effectiveness and efficiency of MONUSCO movement control operations.
7. This audit was included in the 2018 risk-based work plan of OIOS due to the operational risks associated with movement of passengers and cargo.
8. OIOS conducted this audit from April to July 2018. The audit covered the period from 1 July 2016 to 30 April 2018. Based on an activity-level risk assessment, the audit covered higher and medium risk areas in the movement control operations, which included work planning and performance management, and controls over passengers and cargo movement
9. The audit methodology included: (a) interviews of key personnel, (b) reviews of relevant documentation, (c) analytical reviews of data, (d) sample testing of passengers and cargo; and (e) field visits to Bunia, Entebbe and Goma.
10. The audit was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.

III. AUDIT RESULTS

A. Work planning and performance management

Need to develop key performance indicators and finalize standard operating procedures

11. The DPKO/DFS Movement Control Manual requires MONUSCO to plan and organize movements of troops, personnel and cargo, provide necessary operational guidance to its personnel, and monitor timeliness of operations, to ensure effectiveness of MovCon operations.

12. The JMCC Unit of the MovCon Section held daily meetings to plan and coordinate troop rotations, movement of cargo and other non-routine movements. These meetings were held with other Mission components such as military, Air Operations Section and Transport Section to coordinate necessary activities and to ensure effective movement of passengers and cargo. A review of 13 of 25 troop rotations conducted during the audit period showed that the MovCon Section implemented an annual rotation plan that detailed the expected rotation dates for all contingents and used it to ensure that required movement orders were timely approved and issued and all rotations conducted as planned. As a result, the Mission was effective in planning for the movement of its troops.

13. However, the Section had not established specific and measurable key performance indicators (KPIs) for various aspects of its operations, such as expected time for the movement and delivery of cargo, processing of passengers at airports, and utilization of aircraft capacity. The Section advised that it was using the relevant contract terms and delivery dates in the task orders issued to contractors for freight forwarding and customs clearance as its KPIs. A review of these documents noted that they were very general, and delivery dates in the task orders were indicated as “as soon as possible”, instead of specific dates. For example, the delivery dates of a task order dated 15 May 2018 for movement of goods from Entebbe to Bunia at \$14,100 and another dated 6 December 2017 for movement of goods from Entebbe to Goma at \$55,800, were indicated as “as soon as possible”. The customs clearance process for example therefore lacked benchmarks to determine whether goods were cleared in a timely manner and when delays should be escalated to the Mission leadership.

14. In addition, out of 16 standard operating procedures (SOPs) prepared by the Section, 5 were still in draft since 2012. The draft SOPs included those on carriage of uninfected blood and air transportation of ex-combatants under the Mission’s disarmament, demobilization and reintegration programme. The lack of updated and approved guidelines resulted in non-standardized operations across field offices. For example, Entebbe and Bunia field offices retained copies of waivers for non-United Nations Secretariat passengers, while the Goma field office did not.

15. This occurred because the Mission was initially of the view that KPIs were not necessary, referring to the timelines included in its task orders. However, as mentioned above, OIOS pointed out that there were no measurable KPIs included in the task orders, and therefore to monitor the effectiveness of all the processes, these needed to be developed. The absence of specific and measurable KPIs made it difficult for the Mission to determine when to make necessary improvements or demonstrate whether MovCon Section’s operations were timely and effective. With regard to SOPs, management had not prioritized their finalization, and the absence of approved SOPs could hamper the ability of MovCon personnel to properly execute their responsibilities, as demonstrated above.

<p>(1) MONUSCO should develop key performance indicators to measure, monitor and report on the effectiveness and timeliness of its movement control operations and expedite completion of its standard operating procedures.</p>

MONUSCO accepted recommendation 1 and stated that it had developed KPIs to measure and monitor MovCon operational effectiveness and that SOPs were under development. Recommendation 1 remains open pending receipt of evidence that appropriate KPIs have been developed, are being monitored and reported on, and that SOPs have been finalized.

Some operational reports were not prepared and monitored

16. The DPKO/DFS Movement Control Manual requires MONUSCO to prepare: backlog reports; movement discrepancy reports when cargo unloaded from an aircraft varies from the manifest; and movement incident reports to effectively monitor and report movement control operations.

17. MovCon staff in field offices prepared and submitted daily backlog reports to the JMCC Unit that showed the cargo held in the cargo terminals at the close of each working day. The Unit used the reports to arrange flights and other transportation options to clear the backlogs. OIOS confirmed that there were no backlogs in the various cargo terminals as at 30 June 2018.

18. However, the MovCon Section and its staff in field offices did not prepare the required monitoring reports indicating discrepancies between unloaded cargo and their corresponding manifests (discrepancy reports) and incidents involving transportation and storage of goods (incidents reports). The MovCon Section explained that its weekly reports contained information on discrepancies and incidents. OIOS however noted that all field offices did not consistently prepare the weekly reports (as only Bunia had) and they were not structured to capture incidents and discrepancies. As a result, MONUSCO did not have complete information on incidents and identified discrepancies in its movement of cargo to ensure proper action was taken.

19. The lack of adequate reporting resulted, as the MovCon Section had not provided sufficient guidance to its field staff on its reporting requirements, such as a standard report template to be used by its field offices to report on discrepancies and incidents. Implementing a standard template would allow data to be more easily consolidated and allow the Mission to identify trends and respond to discrepancies and incidents in a timely manner.

(2) MONUSCO should provide its movement control personnel with guidance on reporting of movement discrepancies and incidents including development of a standard report template and conduct periodic reviews of the discrepancies and incidents for appropriate actions.

MONUSCO accepted recommendation 2 and stated that it had developed a standardized monthly report and would also develop a monthly report for field offices that would include reporting on incidents and discrepancies. Recommendation 2 remains open pending receipt of evidence that a report template that captures discrepancies and incidents has been adopted and implemented.

Movement control staff were trained on handling of dangerous goods and other relevant areas

20. A review of training records of 86 out of 130 MovCon Section staff indicated that they had all completed dangerous goods regulations course of the International Air Transport Association, as required. Additionally, all the staff were trained in movement control-related topics, including aircraft weight and balance, cargo securement, incoterms and station/ground handling management. OIOS concluded that a sufficient number of the MovCon Section staff received required training on movement operations.

B. Controls over passengers and cargo movement

Need to strengthen procedures for non-United Nations Secretariat personnel travelling in United Nations aircraft

21. The DPKO/DFS Movement Control Manual provides that the Mission may authorize certain non-United Nations personnel to travel in United Nations aircraft, after meeting established criteria and undergoing a vetting process, and after approval by designated MONUSCO staff. The United Nations Office of Legal Affairs memorandum to the Logistics Support Division of DFS requires all non-United Nations Secretariat passengers to sign waiver forms when they travel on United Nations aircraft, as they are not under the insurance coverage of United Nations Secretariat.

22. A review of 118 out of 10,257 electronic movement of personnel forms (e-MOPs) for non-United Nations passengers transported on Mission aircraft in Bunia, Goma and Entebbe showed that the approval process was not effective. OIOS noted that 34 of the 118 e-MOPs were approved prior to being properly vetted. For instance, for 27 of the cases: (a) 5 lacked documentation of the flight requests endorsed by the Mission components; (b) 8 did not contain names of the passengers; and (c) 14 did not indicate the required justifications demonstrating that the travels supported the MONUSCO mandate. In an additional seven cases, e-MOPs were raised and approved in the Field Support Suite (FSS) for a provincial governor to travel with his aides on MONUSCO flights, based on a permanent MOP that the Mission had established in 2015. However, names of six individuals who travelled were different from those in the permanent MOP.

23. A further review of travel documents of 555 passengers (consisting of 107 MONUSCO staff, 260 non-United Nations passengers, and 188 United Nations agencies personnel) out of 104,680 passengers that traveled on MONUSCO aircraft in Bunia, Goma and Entebbe during the audit period indicated that all passengers had approved e-MOPs and were included in the final manifests for their respective travel dates. However, the following issues were identified:

- The waiver forms were not always completed as required. For instance, of the 260 waiver forms for non-United Nations passengers, 30 were not signed by the passenger, 30 were not signed by a Mission witness, and 40 were not signed by both the passenger and a witness. This happened as MovCon Section staff were not diligently reviewing the waiver forms; and
- The waiver forms for three non-United Nations Secretariat passengers in Bunia and Entebbe were not signed by the passengers. Also, the Goma field office did not retain any of the waiver forms for the non-United Nations Secretariat passengers because the Mission did not provide sufficient guidance to its MovCon Section staff in field offices on the need to retain waiver forms for this category of non-Mission passengers.

24. Additionally, the Mission charged the non-United Nations Secretariat (United Nations agencies and diplomatic missions) for their passengers on MONUSCO flights; \$500 and \$300 respectively for a one-way travel. During the audit period, the Mission charged a total of \$1.5 million and \$204,000 to United Nations agencies and diplomatic missions, respectively. As of 30 September 2018, due to good efforts by the Mission in collecting outstanding amounts, only \$214,000 and \$50,400 were outstanding from the agencies and diplomatic missions, respectively. However, OIOS noted that MONUSCO waiver forms for these passengers had a clause stating, “no charge has been imposed or paid in relation to my travel on this flight”. The Mission management and the Office of Legal Affairs were reviewing this issue, therefore OIOS did not make a recommendation.

25. The above resulted, as MovCon directives to Heads of Offices did not elaborate the requirements when approving travel of non-United Nations Secretariat personnel on MONUSCO aircraft. As a result, Mission aircraft may be used by unauthorized personnel and for purposes not directly supporting the implementation of the Mission's mandate. The incomplete waiver forms could result in legal challenges exposing the Mission to financial liabilities in case of an incident involving the travelers.

(3) MONUSCO should take action to ensure that its directives for approval of non-United Nations Secretariat passengers on its aircraft are complied with to ensure that: (a) only authorized persons are allowed on board the Mission's aircraft after confirmation of their identity and that the purpose of travel is directly related to implementation of the Mission mandate; and (b) all relevant waiver forms are duly signed and retained.

MONUSCO accepted recommendation 3 and stated that it had revised its directives for the approval of non-MONUSCO passengers, which was pending final approval, and was in the process of updating its SOP to require all relevant waivers to be duly signed and retained. Recommendation 3 remains open pending receipt of an updated guidance directives on approval of non-United Nations Secretariat passengers on the Mission's aircraft and evidence that travels are properly authorized, and relevant signed waiver forms are retained.

Need to ensure all cargo movement requests are electronically approved

26. The DPKO/DFS Movement Control Manual requires MONUSCO to ensure that all cargo permitted on board United Nations flights and ground transport have approved electronic Cargo Movement Requests (e-CMRs) and are on the cargo manifests to ensure only authorized cargo is properly moved. The Manual also requires e-CMRs to be supported by a copy of shipper's declaration of dangerous goods and a notice to the captain to certify that the dangerous goods being transported have been packaged, labeled, and declared in accordance with IATA, the International Air Transport Association.

27. A review of 400 e-CMRs raised to move 680 out of 23,703 tons of cargo during the audit period, indicated that all moved cargo was included in the final manifest, which detailed the e-CMR numbers, cargo final destinations, dimensions and weights. In addition, dangerous goods were supported by a shipper's declaration, and notice to the pilot in command to alert him/her on the existence of dangerous goods on board and to confirm that they have been properly packed. However:

- OIOS and the MovCon Section staff were unable to trace in the FSS system, 27 of the 400 e-CMRs (or 7 per cent) relating to separated staff. This was because the FSS system did not retain e-CMR requests for staff who had separated from the Mission. MONUSCO stated that the e-CMR database for staff who had separated from the Mission was maintained by the United Nations Global Service Centre (UNGSC) in Brindisi and therefore, the Mission could not retrieve these e-CMRs. As a review of UNGSC was not in the scope of this audit, OIOS did not make a recommendation on this issue; and
- 21 e-CMRs were cancelled in FSS even though their related cargo had been moved. This was because the MovCon Section staff at cargo terminals had manually approved the e-CMRs without also approving them in the FSS system, which caused the system to automatically cancel them after 15 days. This resulted because the Mission was not adequately monitoring e-CMRs to ensure they were systematically approved in FSS.

28. As a result, it was difficult for the Mission to capture accurate electronic data on all cargo movements to monitor efficient and effective execution of cargo movements that were properly authorized.

(4) MONUSCO should establish and implement adequate monitoring controls to ensure all cargo movement requests are approved in the system.

MONUSCO accepted recommendation 4 and stated that it would incorporate in its SOPs a requirement for all e-CMRs to be approved in the system. Recommendation 4 remains open pending receipt of evidence that all cargo movement requests are approved in the system and this is included in the Mission's SOPs.

MONUSCO calibrated its weighing scales

29. The DPKO/DFS Movement Control Manual requires MONUSCO to screen passengers and cargo, and calibrate weighing scales to ensure safety of movement operations.

30. MONUSCO screened its passengers, luggage and cargo to ensure that they did not have prohibited items. It also weighed the luggage and cargo to ensure that it did not exceed the recommended capacities. Review of calibration certificates for 74 of 125 weighing scales indicated that MONUSCO, through an independent contractor, had calibrated and certified weighing scales at all its terminals in the Democratic Republic of the Congo and those in Entebbe, Kigali, and Bujumbura. However, 29 weighing scales could not be identified to their calibration certificates because MovCon Section had not uniquely identified all its weighing scales and reviewed the calibration certificates to ensure that they related to specific scales. For example, two certificates for 5,000-kilogram scales related to weighing scales that were identified as "N/A". Subsequent to the audit, MONUSCO uniquely identified all its weighing scales in use.

Need to engage with the government and finalize the agreement for the United Nations bonded warehouse in Goma

31. In accordance with the Status of Forces Agreement signed on 4 May 2000 with the Government of the Democratic Republic of Congo, MONUSCO is allowed to import items free of customs duties and warehouse excise taxes. The DPKO/DFS Movement Control Manual requires MONUSCO to facilitate the clearance of goods from the airport/port bonded areas in a timely manner to avoid demurrage, storage, and other penalties being levied to the Mission.

32. A review of 110 of 2,347 incoming shipments showed that the MovCon Section facilitated clearance of cargo from the bonded areas of airports/ports by presenting the required documents. However, absence of specific and measurable KPIs on clearance of incoming shipments as indicated earlier in this report precluded OIOS from determining the timeliness of the clearance processes. For example, 30 of the 110 incoming shipments took an average of 63 days (with the longest being 256 days) from the date the Mission prepared the exemption letters to the date the local government issued the tax exemptions. Further analysis of these delays indicated that exemption letters for 11 of the above 30 incoming shipments took an average of 12 days (with the longest being 75 days) to be received by the government customs and excise office. These delays were because the government general delegation office, that was responsible for liaising with MONUSCO, did not timely send the exemption letters to the customs and excise office. The office claimed to have been hindered by lack of transport and stationery despite the Mission paying to the office \$380 as facilitation fees and fueling its vehicles.

33. As a result, the Mission incurred demurrage costs, storage and penalty charges for its incoming shipments in Kinshasa and Goma due to delays by the government to issue tax exemptions and lack of a government bonded warehouse in Goma. For example, MONUSCO incurred: a demurrage charge of \$13,775 at a port in Kinshasa due to delays by the government to issue tax exemptions; and charges of \$65,406 for using a private bonded warehouse in Goma as there was no government bonded warehouse in the location

34. To avoid charges in Goma, the Mission constructed its own bonded warehouse, which the government approved on 3 June 2016 on the condition that the Mission paid a guarantee of \$150,000. However, the Mission had not fulfilled the condition as at 30 September 2018. Due to the delays, the United Nations incurred and was exposed to further financial losses.

(5) MONUSCO should engage with local authorities to ensure that the: Mission obtains tax exemptions in a timely manner according to its privileges contained in the Status of Forces Agreement; and the agreement for the United Nations bonded warehouse in Goma is finalized to prevent processing delays and unnecessary storage and demurrage costs.

MONUSCO accepted recommendation 5 and stated that it was engaging the local authorities to resolve the long outstanding issues surrounding custom exemptions, and MovCon Section with the help of the Office of Legal Affairs and the Office of the Director of Mission Support was liaising with local government to finalize the agreement for the MONUSCO bonded warehouse in Goma. Recommendation 5 remains open pending receipt of evidence that outstanding issues on customs exemptions have been resolved, incoming shipments are cleared on time, and the agreement for the United Nations bonded warehouse in Goma has been finalized.

There were adequate controls over execution of contracts for movement control operations

35. The DPKO/DFS Movement Control Manual requires MovCon Section to review and certify invoices and evaluate the performance of each contractor for movement control operations to ensure that contractors are paid for tasks effectively accomplished.

36. MONUSCO had 10 contractors for customs clearance, freight forwarding, transportation services for troops rotation, rental services of airfield equipment, diplomatic courier service and terminal handling services. A review of all 286 payments to the contractors during the audit period amounting to \$14.9 million and their performance evaluation reports indicated that MovCon Section had: effectively reviewed and certified all invoices which were adequately supported by the respective task orders; and regularly evaluated the performance of all the contractors including following up issues for appropriate action. OIOS concluded that MONUSCO had implemented adequate controls over the management of contracts for movement control operations.

IV. ACKNOWLEDGEMENT

37. OIOS wishes to express its appreciation to the management and staff of MONUSCO 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 movement control operations in the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo

Rec. no.	Recommendation	Critical ¹ / Important ²	C/ O ³	Actions needed to close recommendation	Implementation date ⁴
1	MONUSCO should develop key performance indicators to measure, monitor and report on the effectiveness and timeliness of its movement control operations and expedite completion of its standard operating procedures.	Important	O	Receipt of evidence that appropriate key performance indicators have been developed, are being monitored and reported on, and that standard operating procedures have been finalized.	01 July 2019
2	MONUSCO should provide its movement control personnel with guidance on reporting of movement discrepancies and incidents including development of a standard report template and conduct periodic reviews of the discrepancies and incidents for appropriate actions.	Important	O	Receipt of evidence that a report template that captures discrepancies and incidents, has been adopted and implemented.	01 July 2019
3	MONUSCO should improve and enforce its directives for approval of non-United Nations Secretariat passengers on its aircraft to ensure that: (a) only authorized persons are allowed on board United Nations aircraft after confirmation of their identity and that the purpose of travel is directly related to implementation of the Mission mandate; and (b) all waiver forms are duly signed and retained.	Important	O	Receipt of an updated guidance directives on approval of non-United Nations Secretariat passengers on the Mission's aircraft and evidence that travels are properly authorized, and relevant signed waiver forms are retained.	01 July 2019
4	MONUSCO should establish and implement adequate monitoring controls to ensure all cargo movement requests are approved in the system.	Important	O	Receipt of evidence that all cargo movement requests are approved in the system and this is included in the Mission's SOPs.	01 May 2019
5	MONUSCO should engage with the local authorities to ensure that the: Mission obtains tax exemptions in a timely manner according to its privileges contained	Important	O	Receipt of evidence that outstanding issues on customs exemptions have been resolved, incoming shipments are cleared on time, and the	30 November 2019

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 MONUSCO in response to recommendations.

STATUS OF AUDIT RECOMMENDATIONS

Audit of movement control operations in the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo

Rec. no.	Recommendation	Critical ¹ / Important ²	C/ O ³	Actions needed to close recommendation	Implementation date ⁴
	in the Status of Forces Agreement; and the agreement for the United Nations bonded warehouse in Goma is finalized to prevent processing delays and unnecessary storage and demurrage costs.			agreement for the United Nations bonded warehouse in Goma has been finalized.	

APPENDIX I

Management Response



Mission de l'Organisation des Nations Unies pour la
Stabilisation en République démocratique du Congo

United Nations Organization Stabilization Mission
in the Democratic Republic of the Congo

12, Avenue des Aviateurs - Gombe
Kinshasa, RD Congo - BP 8811

Tél. +243 81 890 5000
+243 81 890 6000

INTEROFFICE MEMORANDUM

22 November 2018
Ref

To: Mr. Daeyoung Park, Chief
Peacekeeping Audit Services
Internal Audit Division, OIOS

From:  Leila Zerrougui
Special Representative of the Secretary - General

Subject: Mission Response to Draft Report on an audit of movement control operations in MONUSCO (Assignment No. AP2018/620/01)

1. Your interoffice memorandum reference OIOS-2018-20 dated 14 November 2018 refers.
2. Attached please find the Mission's response in respect of the recommendations in the Draft Report of the subject audit. Supporting documents will be provided to the Resident Audit Team only.

Kind regards.

Cc: Mr. Paul Buades, Director of Mission Support
Mr. Amadu Timbilla, Chief, Supply Chain Management
Mr. Klaus Zillner, Acting Chief, Movement Control Operations
Ms. Kerry Zillner, Audit Focal Point
Mr. James Okwakol, Chief Resident Auditor for MONUSCO, OIOS
Ms. Cynthia Avena-Castillo, Professional Practices Section, Internal Audit Division, OIOS

Attachment: Appendix I - Management Response

Management Response

Audit of movement control operations in the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo

Rec. no.	Recommendation	Critical ⁵ / Important ⁶	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
1	MONUSCO should develop key performance indicators to measure, monitor and report on the effectiveness and timeliness of its movement control operations and expedite completion of its standard operating procedures.	Important	Yes	Planning Officer & MOVCON Assistant Quality Assurance and Surveillance Unit (QASU)	01 July 2019	In progress. Development of the Standard Operations Procedures (SOP) is ongoing. KPI's have been developed to measure and monitor MOVCON operational effectiveness and will be included in the SOP.
2	MONUSCO should provide its movement control personnel with guidance on reporting of movement discrepancies and incidents including development of a standard report template and conduct periodic reviews of the discrepancies and incidents for appropriate actions.	Important	Yes	MOVCON Assistants Joint Movement Coordination Centre & QASU	01 July 2019	In progress. Movement Control personnel are being guided by the Airport Handling Manual which contains templates which are extracted and incorporated with monthly reports. An additional monthly report has been developed for all field offices and will include templates extracted from the Airport Handling Manual for incident and discrepancy reporting.
3	MONUSCO should improve and enforce its directives for approval of non-Mission passengers on its aircrafts to ensure that: (a) only authorized persons are allowed on board United Nations aircraft after confirmation of their identity and that the purpose of travel is directly related to implementation of the Mission mandate;	Important	Yes	MOVCON Assistant, Passenger Booking Office and DMS Office	01 July 2019	In progress. MONUSCO has a) revised the directives for the approval of Non-MONUSCO passengers. The revised directives are currently under review by senior management and b) the MOVCON SOP is being revised to ensure that waiver forms are signed and retained.

⁵ 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.

⁶ 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 movement control operations in the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo

Rec. no.	Recommendation	Critical ⁵ / Important ⁶	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
	and (b) all waiver forms are duly signed and retained.					
4	MONUSCO should establish and implement adequate monitoring controls to ensure all cargo movement requests are approved in the system.	Important	Yes	MOVCON Assistants	01 May 2019	In progress. MONUSCO will ensure that guidance on monitoring controls to ensure that all cargo movement requests are approved in the system is included in its SOPs.
5	MONUSCO should engage with the local authorities to ensure that the: Mission timely obtains tax exemptions according to its privileges contained in the Status of Forces Agreement; and the agreement for the United Nations bonded warehouse in Goma is finalized to prevent processing delays and unnecessary storage and demurrage costs.	Important	Yes	MOVCON Assistants Traffic & Shipping Unit, Office of Legal Affairs and DMS	30 November 2019	In progress. MONUSCO is continuously engaged with local authorities on matters involving customs clearance and exemptions. The Movement Control Section is liaising with the Legal Office and the office of the DMS to ensure that the Government adheres to the Status of Forces Agreement while the agreement for the United Nations bonded warehouse in Goma is being finalized.