



## **INTERNAL AUDIT DIVISION**

### **AUDIT REPORT 2013/100**

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#### **Audit of movement control operations in the African Union-United Nations Hybrid Operation in Darfur**

**Overall results relating to the effective  
management of movement control operations  
in the African Union-United Nations Hybrid  
Operation in Darfur were initially assessed as  
satisfactory**

**FINAL OVERALL RATING: SATISFACTORY**

**19 November 2013**

**Assignment No. AP2013/634/06**

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# AUDIT REPORT

## Audit of movement control operations in the African Union-United Nations Hybrid Operation in Darfur

### I. BACKGROUND

1. The Office of Internal Oversight Services (OIOS) conducted an audit of movement control operations in the African Union-United Nations Hybrid Operation in Darfur (UNAMID).
2. In accordance with its mandate, OIOS provides assurance and advice on the adequacy and effectiveness of the United Nations internal control system, the primary objectives of which are to ensure (a) efficient and effective operations; (b) accurate financial and operational reporting; (c) safeguarding of assets; and (d) compliance with mandates, regulations and rules.
3. The UNAMID Movement Control (MovCon) Section was responsible for providing timely movement of personnel and cargo to support the fulfillment of the Mission's mandate. The Section transported passengers primarily by air and transported cargo by road except for urgent requirements or sensitive cargo such as weapons, ammunition and electronic goods. The Section was headed by a chief at the P-5 level, and had 157 approved posts comprising 4 professional staff, 1 national officer, 31 field service staff, 13 United Nations volunteers and 108 national staff. The MovCon budget for the fiscal year ended 2012/13 was \$36 million.

### II. OBJECTIVE AND SCOPE

4. The audit was conducted to assess the adequacy and effectiveness of UNAMID governance, risk management and control processes in providing reasonable assurance regarding the **effective management of movement control operations in UNAMID**.
5. The audit was included in the 2013 OIOS risk-based work plan due to operational risks related to ineffective MovCon operations.
6. The key control tested for the audit was regulatory framework. For the purpose of this audit, regulatory framework was defined as controls that provide reasonable assurance that policies and procedures: (a) exist to guide movement control operations; (b) are implemented consistently; and (c) ensure reliability and integrity of financial and operational information.
7. The key control was assessed for the control objectives shown in Table 1.
8. OIOS conducted this audit from June to August 2013. The audit covered the period from 1 July 2012 to 30 June 2013. Field visits were made to El Geneina, Zalingei, Khartoum and Port Sudan.
9. OIOS conducted an activity-level risk assessment to identify and assess specific risk exposures, and to confirm the relevance of the selected key controls in mitigating associated risks. Through interviews, analytical reviews and tests of controls, OIOS assessed the existence and adequacy of internal controls and conducted necessary tests to determine their effectiveness.

### III. AUDIT RESULTS

10. The UNAMID governance, risk management and control processes examined were **satisfactory** in providing reasonable assurance regarding the **effective management of movement control operations in UNAMID**. The MovCon Section had implemented adequate controls to ensure the effective movement of personnel and cargo, including implementing mechanisms for coordinating with all sections involved in movement control operations and establishing procedures defining responsibilities.

11. The initial overall rating was based on the assessment of the key control presented in Table 1 below. The final overall rating is **satisfactory** as procedures over management of movement control operations were adequate.

**Table 1: Assessment of key control**

Business objective	Key control	Control objectives			
		Efficient and effective operations	Accurate financial and operational reporting	Safeguarding of assets	Compliance with mandates, regulations and rules
<b>Effective management of movement control operations in UNAMID</b>	Regulatory framework	Satisfactory	Satisfactory	Satisfactory	Satisfactory
<b>FINAL OVERALL RATING: SATISFACTORY</b>					

### Regulatory framework

The Movement Control Section adequately coordinated with other relevant sections

12. The MovCon Section, to ensure effective movement control operations, continuously and effectively coordinated with sections involved in the process and with those requiring movement control services. For example, the MovCon Section held regular meetings with: (a) the Aviation Section for developing weekly flight schedules for movement of passengers and cargo; and (b) the Transport Section for movement of cargo by road. OIOS concluded that there was adequate coordination of movement control operations.

Standard operating procedures were complied with

13. UNAMID had developed standard operating procedures, such as those for passenger bookings, preparing manifests and check-in procedures, to guide its operations and to ensure that reliable services were delivered. A review of the passenger booking system over the period of the audit indicated that all bookings were duly supported by approved movement of personnel forms and submitted electronically three days before travel. The MovCon Section also published the booking list on the UNAMID intranet the day prior to travel, and passengers were booked based on priority categories established and approved by the Director of Mission Support. Observations of the check-in procedures, as well as a review of a sample of 50 out of 4,527 flights scheduled between January and March 2013 to four locations (Zalingei,

El Geneina, Khartoum and El Fasher) indicated that UNAMID complied with its standard operating procedures with regard to passenger bookings, manifesting and checking-in procedures. OIOS concluded that adequate controls were in place over movement of personnel and these controls were working as intended.

#### Procedures for unclaimed baggage were being developed

14. UNAMID reported that from January to June 2013, there were 128 cases of unclaimed baggage of which 14 were still unclaimed at the end of the audit period. UNAMID appropriately checked the baggage and conducted a full inventory of their contents. UNAMID also liaised with Department of Field Support on the process to resolve/dispose of unclaimed baggage. As a result of the actions being taken, no recommendation was made.

#### Goods were delivered in a timely manner by third party logistics contractors

15. UNAMID standard operating procedures required the MovCon Section to move cargo from its port of entry to respective users in a timely manner and without any damage or pilferage to goods. From 1 July 2011 to 30 April 2013, the MovCon Section transported 62,000 tons of cargo of which 40,000 tons (or 64 per cent) were moved by third party logistics contractors.

16. A review of a sample of 35 of the 310 task orders for cargo movement by third party logistics contractors indicated that tasks orders were issued on a timely basis. UNAMID self-accounting units also confirmed that goods were delivered in a timely manner and in good condition. A review of contractors' performance evaluation reports indicated that the MovCon Section was satisfied with the freight forwarding services provided. OIOS concluded that the controls over delivery of goods by the third party logistics contractors were satisfactory.

#### Backlogs in the movement of cargo were adequately monitored and followed up

17. UNAMID tracked all cargo movements through the electronic cargo movement report system. The MovCon Section generated daily cargo backlog reports, which were reviewed by the Joint Mission Coordination Centre Unit to determine the reasons for any backlogs.

18. A review of 35 of the 345 electronic cargo movement reports for goods awaiting delivery as of July 2013, indicated that goods related to nine of the reports were pending for less than one month and the remaining 26 were pending for between two and five months. For the 26 cases, delays were caused by security issues and movement restrictions imposed by the host government. A review of MovCon Section meetings minutes indicated that adequate action was being taken, as delayed cases were discussed and actions implemented to resolve delays. As a result of the action being taken to resolve backlogs, no recommendation was made.

#### Movements related to deployment, rotation and repatriation of uniformed personnel were effectively managed

19. The MovCon Section coordinated with the Department of Field Support on the movement of troops and preparation of movement orders. These orders defined the required tasks and indicated who was responsible for implementing them.

20. For the period from 1 July 2012 to 30 April 2013, UNAMID arranged 143 movements of troops, consisting of 123 rotations, 18 repatriations and 2 deployments. Sixty-seven troop movements were done

using in-house air assets, provided by the Regional Support Centre in Entebbe, and the remainder were managed by contracting air assets under letters of assist or through commercial air operators.

21. A review of a sample of 12 out of the 143 movement orders indicated that the movement of contingent-owned equipment was delayed in all 12 cases. However, these delays were due to host government restrictions either at the port of entry or within the Mission area of operations. To resolve delays, the Head of Mission, while attending the tripartite meeting on 30 June 2013 with representatives of the host government and the African Union, raised UNAMID concerns and continued to negotiate a resolution to these restrictions. As adequate action was being taken by UNAMID to resolve delays, no recommendation was made.

Client satisfaction survey was scheduled at the end of 2013

22. The MovCon Section established a goal in its work plan to obtain feedback from its clients on the services it provided. While the Section had yet to obtain this feedback, it was in the process of developing a survey to be completed by December 2013, and intended to be conducting such surveys regularly. Considering the action already being taken, no recommendation was made.

#### **IV. ACKNOWLEDGEMENT**

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

*(Signed)* David Kanja  
Assistant Secretary-General for Internal Oversight Services

# **APPENDIX I**

## **Management Response**

AFRICAN UNION

الاتحاد الأفريقي



UNAMID



UNITED NATIONS

الأمم المتحدة

**African Union – United Nations Hybrid Operation in Darfur**

*Office of the Joint Special Representative*

17 November 2013

**To:** Ms. Eleanor T. Burns  
Chief, Peacekeeping Audit Service  
Internal Audit Division, OIOS

**From:** Mohamed Ibn Chambas  
Special Joint Representative  
UNAMID

**Subject:** **Draft report on an audit of the management of movement control operations in the African Union-United Nations Hybrid Operation in Darfur (Assignment No. AP2013/634/06)**

1. With reference to your memorandum of 17 November 2013, on the captioned-subject, I confirm the factual accuracy of the findings and the overall final audit rating.

Thank you.

cc: Mr. Wolfgang Weisegger, DMS  
Mr. Elijah Karambizi, OiC MSD  
Mr. Maqbool Mohammad, CSCMS  
Mr. Prances Sooja, CRA/OIOS UNAMID