



INTERNAL AUDIT DIVISION

REPORT 2015/025

Audit of facilities management in the United Nations Interim Security Force for Abyei

Overall results relating to the effective management of facilities in the United Nations Interim Security Force for Abyei were initially assessed as unsatisfactory. Implementation of one recommendation remains in progress

FINAL OVERALL RATING: UNSATISFACTORY

20 April 2015

Assignment No. AP2014/635/02

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AUDIT REPORT

Audit of facilities management in the United Nations Interim Security Force for Abyei

I. BACKGROUND

1. The Office of Internal Oversight Services (OIOS) conducted an audit of facilities management in the United Nations Interim Security Force for Abyei (UNISFA).
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 UNISFA Engineering Section was responsible for providing and managing facilities used by civilian personnel, military observers, United Nations police, and national monitors. The Engineering Section headed by a Chief at the P-4 level had 46 posts: 1 P-4, 4 P-3s, 19 field service, 6 United Nations volunteers, and 16 national staff. A staff member at the level of Field Service-4, who reported to the Chief of the Engineering Section, and supported by 56 individual contractors and one Military Staff Officer was responsible for the day-to-day management of facilities.
4. The 2013/14 and 2014/15 budgets for the construction, alteration and renovation, maintenance and management of facilities and infrastructure were \$21.9 million and \$28.2 million respectively as presented in Table.

Table 1: 2013/14 and 2014/15 budgets for facilities and infrastructure

Budget line	2013/14 (\$'000)	2014/15 (\$'000)
Prefabricated facilities	-	3,294
Generators	925	834
Water purification equipment	453	377
Water and septic tanks	-	523
Rental of premises	838	252
Maintenance services	5,251	5,704
Alteration and renovation services	1,616	2,626
Construction services	10,954	10,954
Spare parts and supplies	605	835
Maintenance supplies	720	1,650
Field defense supplies	490	1,202
Total	21,852	28,251

5. Comments provided by UNISFA are incorporated in italics.

II. OBJECTIVE AND SCOPE

6. The audit was conducted to assess the adequacy and effectiveness of UNISFA governance, risk management and control processes in providing reasonable assurance regarding the **effective management of facilities by UNISFA**.

7. The audit was included in the 2014 risk-based work plan of OIOS because of the compliance and operational risks related to facilities management.

8. The key control tested for the audit was regulatory framework. For the purpose of this audit, OIOS defined this key control as the one that provides reasonable assurance that policies and procedures: (a) exist to guide the management of facilities in UNISFA; (b) are implemented consistently; and (c) ensure the reliability and integrity of financial and operational information.

9. The key control was assessed for the control objectives shown in Table 2. The control objective shown in Table 2 as “Not assessed” was not relevant to the scope defined for this audit.

10. OIOS conducted this audit in September and October 2014. The audit covered the period from the inception of the Mission in July 2011 to 31 August 2014. The audit covered UNISFA management of facilities used by civilian personnel, military observers, United Nations Police, and national monitors. The audit did not include a detailed review of the construction, alteration and renovation of facilities and infrastructure such as office and residential buildings as well as the management of facilities used by military contingents as these will be covered in separate audits of contingent-owned equipment and engineering activities.

11. OIOS conducted an activity-level risk assessment to identify and assess specific risk exposures, and to confirm the relevance of the selected key control 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

12. The UNISFA governance, risk management and control processes examined were initially assessed as **unsatisfactory**¹ in providing reasonable assurance regarding the **effective management of facilities by UNISFA**. OIOS made one recommendation to address the issue identified. The Engineering Section had not provided adequate engineering support including the timely construction and management of facilities. As a result, UNISFA staff continued to reside in overcrowded facilities that were sometimes unsafe particularly at night. UNISFA needed to establish and implement adequate mechanisms for general engineering support such as: a clear delineation of roles and responsibilities for facilities management and other general engineering support functions; a senior management group to oversee engineering activities; and properly promulgated standard operating procedures.

13. The initial overall rating was based on the assessment of the key control presented in Table 2. The final overall rating is **unsatisfactory** as implementation of one critical recommendation remains in progress.

¹A rating of “**unsatisfactory**” means that one or more critical and/or pervasive important deficiencies exist 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.

Table 2: 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
Effective management of facilities in UNISFA	Regulatory framework	Unsatisfactory	Not assessed	Unsatisfactory	Unsatisfactory
FINAL OVERALL RATING: UNSATISFACTORY					

A. Regulatory framework

Roles and responsibilities for facilities management needed to be clearly delineated

14. According to the DPKO/DFS Engineering Support Manual dated March 1998, the UNISFA Engineering Section was responsible for improving the living conditions of staff by planning, designing, procuring, constructing, renovating, maintaining and managing facilities and infrastructure. UNISFA was also required to establish and implement mechanisms and standard operating procedures to ensure the maintenance and management of facilities and infrastructure were carried out efficiently and effectively.

15. As indicated in paragraphs 16 to 22 below, the Engineering Section had not provided adequate engineering support to ensure the timely construction of facilities and infrastructure and had not adequately performed a range of facilities management functions. As a result, UNISFA staff continued to reside in overcrowded facilities that were sometimes unsafe particularly at night. This was primarily because UNISFA had not established adequate mechanisms for general engineering support such as: standard operating procedures with clear delineation of roles and responsibilities for facilities management and other general engineering support functions; and a management group to oversee engineering activities. Also, the Engineering Section had not yet agreed on the responsibilities for facilities management; as a result the related tasks had been performed on an ad hoc basis.

(a) Lack of adequate infrastructure and facilities

16. The Manual provided guidelines for standard of accommodation and other facilities / utilities and required UNISFA to adopt standards depending; on for example, its geography, climate and civil contractors' support.

17. UNISFA had not established standards of accommodation and had been slow to meet the accommodation needs of its staff. For example, the living quarters currently occupied by 380 residents had been established by the United Nations Mission in Sudan in 2011 for 125 residents on 30,000 square meters of space, which was 11 per cent of 265,000 square meters available to UNISFA. To accommodate this large number of staff on the 30,000 square meters, UNISFA had re-partitioned some units and built additional pre-fabricated units. At the time of the audit, UNISFA had 179 single-occupancy and 70 double-occupancy living units with shared ablutions, kitchens and other facilities. UNISFA had acquired 200 new self-contained units with bathroom facilities for civilian staff; however, the Mission had been unable to install them due to lack of space and/or effective management of existing space.

(b) Living accommodations and ablutions not properly maintained

18. According to the Manual, facilities management required the preparation and implementation of inspection / maintenance schedules for all buildings and facilities such as water piping, sewage lines, kitchen and ablution facilities. Facilities management staff was responsible for minor works related to buildings, ablutions and various facilities.

19. An inspection of 20 of the 260 living units and 10 of 28 ablutions indicated that 6 living units had leaking roofs, 4 had broken floors, and 14 had stagnant water. Three ablutions used by staff, contractors and the helicopter crew members needed urgent repairs; 2 ablutions had exposed electric wires and another 2 were covered with grass; 7 ablutions had stagnant water; and the hot water fixtures in 12 of the 56 eco-bathrooms constructed in 2013 were not functional. Moreover, an inspection of buildings and facilities identified that in some cases, toilets and kitchens used by Mission personnel were in deplorable condition. Also individual contractors hired for cleaning and maintaining facilities were not adequately supervised and monitored. As a result, some UNISFA personnel continued to reside in substandard living conditions, impacting on their morale and exposing them to health risks.

(c) Need for adequate pest control and fumigation

20. According to the Manual, facilities management included landscaping and gardening (planting, cultivation and trimming of vegetation, etc.), pest control and fumigation. A review of the available records and inspection conducted along with the staff responsible for facilities management showed that the UNISFA camp was infested with insects and pests as well as harmful reptiles and mosquitos. As a result, the compound was unsafe, particularly at night as it was frequented by dangerous snakes, pests and harmful mosquitoes.

(d) The Mission-generated hazardous wastes not separated and disposed of in an environmentally friendly manner

21. According to the Manual, facilities management included general cleaning and waste management (collection and disposal of dry rubbish, sewage / hazardous and medical waste). DFS environmental policy dated 30 June 2010 required UNISFA to establish its mission-specific standard operating procedures for waste disposal to ensure that waste was segregated at source on the basis of their characteristics.

22. UNISFA had a garbage collection system and the staff responsible for facilities management were cleaning and collecting and disposing of garbage. However, UNISFA was not segregating hazardous waste and disposing of them in an environmentally friendly manner. This resulted as the Mission had not established standard operating procedures for waste collection and disposal and it had not trained responsible staff and contractors and provided the tools for the proper disposal of waste.

- (1) UNISFA should establish and implement proper mechanisms for general engineering support including, but not limited to: clearly delineated roles and responsibilities for facilities management and other general engineering support functions; a management oversight group for engineering activities; and properly promulgated standard operating procedures.**

UNISFA accepted recommendation 1 and took the following actions: (a) promulgated standard operating procedures for facilities management and camp services; (b) implemented a policy on private accommodation/ablution construction; (c) established interim guidelines for room accommodation; and (d) created oversight groups such as a project management group and a task force on the implementation of engineering projects. UNISFA also stated that it had constructed 25 self-contained accommodations and fenced the areas occupied by civilian staff to provide additional security. Recommendation 1 remains open pending OIOS verification of the implementation of the recently promulgated procedures and mechanisms, and improvements in the living conditions in UNISFA-provided accommodation.

IV. ACKNOWLEDGEMENT

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

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

STATUS OF AUDIT RECOMMENDATIONS

Audit of facilities management in the United Nations Interim Security Force for Abyei

Recom. no.	Recommendation	Critical ² / Important ³	C/ O ⁴	Actions needed to close recommendation	Implementation date ⁵
1	UNISFA should establish and implement proper mechanisms for general engineering support including, but not limited to: clearly delineated roles and responsibilities for facilities management and other general engineering support functions; a management oversight group for engineering activities; and properly promulgated standard operating procedures.	Critical	O	OIOS verification of the implementation of the recently promulgated procedures and mechanisms, and improvements in the living conditions in UNISFA-provided accommodation.	March 2015

² Critical recommendations address significant and/or pervasive deficiencies or weaknesses in governance, risk management or internal control processes, such that reasonable assurance cannot be provided regarding the achievement of control and/or business objectives under review.

³ Important recommendations address important deficiencies or weaknesses in governance, risk management or internal control processes, such that reasonable assurance may be at risk regarding the achievement of control and/or business objectives under review.

⁴ C = closed, O = open

⁵ Date provided by UNISFA in response to recommendations.

APPENDIX I

Management Response

UNITED NATIONS




NATIONS UNIES

UNISFA

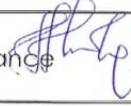
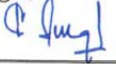
United Nations Interim Security Force for Abyei

قوة الأمم المتحدة المؤقتة في أبيي

OUTGOING FACSIMILE

Outgoing fax msg No:	CMS/15/OF/070	Page 1 of 07
To:	Ms. Eleanor T. Burns Director, Internal Audit Division OIOS	From: Emmanuel K. Agawu Chief of Mission Support UNISFA, Abyei 
Attn:	Mr. Bolton Tarleh Nyema, Chief, Peacekeeping Audit Service, IAD/OIOS	
Cc:	Ms. Cynthia Avena-Castillo, Professional Practices Section, IAD/OIOS Mr. Mohamed A. Hashi, CISS UNISFA	
Fax no.	By electronic mail	Fax no:
		Date: 29 March 2015
		Ref: IAD:15-635-002
Subject:	Draft report on an audit of facilities management in the United Nations Interim Security Force for Abyei (Assignment No. AP2014/635/02)	

- Reference is made to your audit results; Assignment No. AP2014/635/02 dated 19 March 2015 on the above subject. Please find attached herewith the Mission's response on the recommendations, together with the supporting documents for your kind attention.
- Thank you and best regards.

Draft by: Tashi Dhendup Risk Mgt. & Compliance Section 	Authorized by: Gurinder Singh, OIC, A/SAO 
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CONFIDENTIAL: DRAFT AUDIT REPORT FOR COMMENTS

APPENDIX I

Management Response

Audit of facilities management in the United Nations Interim Security Force for Abyei

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
1	UNISFA should establish and implement proper mechanisms for general engineering support including, but not limited to: clearly delineated roles and responsibilities for facilities management and other general engineering support functions; senior management oversight group for engineering activities; and properly promulgated standard operating procedures	Critical	Yes	Chief Engineer	Implemented	<p>Implemented. There has been a significant improvement in the living conditions in UNISFA-provided accommodation with the completion of 25 newly constructed self-contained accommodation. With the allocation of new accommodation, many staff members living in shared accommodations have moved to either single or self-contained accommodations. Number of staff members living in single accommodations were also allowed to construct attached toilets by providing the materials, which has also reduced the number of people using the common ablutions, thereby improving the living conditions, giving more space to those users still living in non-self-contained accommodations. As on date, 36 attached ablutions have been constructed by the staff. This practice has now been stopped following the construction of self-contained accommodation units. MSA area next to level 2 hospital has been fenced to avoid unauthorized use of ablutions and kitchens. One kitchen has been added and drainage network improved by constructing five manholes at the same area.</p> <p>The Project Management Group (PMG) met twice since its establishment in January and projects are now been prioritized into three categories, high, medium and low. Please see Annex- A for reference. All major projects are being approved and monitored by the PMG.</p>

¹ Critical recommendations address significant and/or pervasive deficiencies or weaknesses in governance, risk management or internal control processes, such that reasonable assurance cannot be provided regarding the achievement of control and/or business objectives under review.

² Important recommendations address important deficiencies or weaknesses in governance, risk management or internal control processes, such that reasonable assurance may be at risk regarding the achievement of control and/or business objectives under review.