



INTERNAL AUDIT DIVISION

REPORT 2014/056

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

Overall results relating to the effective
management of movement control operations
in the United Nations Organization
Stabilization Mission in the Democratic
Republic of the Congo were initially assessed
as partially satisfactory. Implementation of
two important recommendations remains in
progress

FINAL OVERALL RATING: PARTIALLY
SATISFACTORY

30 June 2014
Assignment No. AP2013/620/05

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AUDIT REPORT

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. 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 Movement Control (MovCon) Section in MONUSCO was responsible for the movement of passengers and cargo in support of the Mission's mandate. Its operations were guided by the Department of Peacekeeping Operations (DPKO)/Department of Field Support (DFS) Movement Control Manual and MONUSCO standard operating procedures. The MovCon Section was headed by a Chief at the P-5 level supported by 6 professional officers, 47 international field service staff, 130 national staff and 44 United Nations volunteers. The budgets for movement control operations for fiscal years 2011/12 and 2012/13 were \$16.2 million and \$8.1 million, respectively. During fiscal years 2011/12 and 2012/13, the MovCon Section transported 242,000 and 204,000 personnel; and 35,737 and 23,137 tons of cargo, respectively.
4. Comments provided by MONUSCO are incorporated in italics.

II. OBJECTIVE AND SCOPE

5. The audit was conducted to assess the adequacy and effectiveness of MONUSCO governance, risk management and control processes in providing reasonable assurance regarding the **effective management of movement control operations in MONUSCO**.
6. The audit was included in the OIOS 2013 risk-based work plan due to the operational and financial risks relating to movement control operations.
7. 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 movement control operations; (b) are implemented consistently; and (c) ensure the reliability and integrity of financial and operational information.
8. The key control was assessed for the control objectives shown in Table 1.
9. OIOS conducted the audit from September to December 2013 and covered the period from 1 July 2011 to 30 September 2013.
10. The audit team 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. The field work was carried out in Kinshasa, Kananga, Goma, Mbuji Mayi and Bunia.

III. AUDIT RESULTS

11. The MONUSCO governance, risk management and control processes examined were initially assessed as **partially satisfactory** in providing reasonable assurance regarding the **effective management of movement control operations in MONUSCO**. OIOS made three recommendations to address the issues identified. The MONUSCO movement control operations were adequately planned, coordinated and monitored, travel was properly authorized and prioritized according to needs, and non-United Nations passengers signed a general release from liability form prior to travel. However, MONUSCO needed to: (a) ensure that changes to passenger itineraries were communicated in a timely manner to avoid costs related to no-show passengers; (b) have a sufficient number of trained and certified staff for handling dangerous goods; and (c) properly maintain materials handling equipment.

12. The initial overall rating was based on the assessment of the key control presented in Table 1. The final overall rating is **partially satisfactory** as implementation of two important recommendations remains in progress.

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
Effective management of movement control operations in MONUSCO	Regulatory framework	Partially satisfactory	Partially satisfactory	Partially satisfactory	Partially satisfactory
FINAL OVERALL RATING: PARTIALLY SATISFACTORY					

Regulatory framework

Work plans were prepared and aligned with the Mission’s mandate

13. The DPKO/DFS Movement Control Manual required the MovCon Section to determine work processes and methodology needed to guide movement control operations and achieve objectives. The MovCon Section had approved work plans for fiscal years 2011/12 and 2012/13, which included goals, objectives, success criteria and performance indicators to adequately guide its operations. Moreover, the MONUSCO policy to reduce dependency on air assets for the movement of passengers and cargo was included in the work plans, and implemented through continued monitoring of existing and new transportation routes for cargo and military personnel. OIOS concluded that adequate processes were in place to guide and monitor work plans related to movement control operations.

Movement of personnel requests were authorized and approved

14. The MovCon Section’s standard operating procedures required that travel be authorized by the Section Chief of the traveller and approved by a designated approving officer. A review of all electronic

movement of personnel requests during the audit period indicated that the request forms were adequately completed, processed and approved in accordance with established procedures. OIOS concluded that adequate and effective controls were in place over the approval of staff to travel.

Signed liability waivers were obtained from non-United Nations travelers

15. The DPKO/DFS Movement Control Manual required all non-United Nations travelers to sign a general release from liability form (waiver) prior to traveling on a United Nations flight. A review of 646 of 27,117 movement of personnel forms relating to non-United Nations passengers during the audit period indicated that a waiver was signed by passengers and this was filed with copies of the manifest. OIOS concluded that controls to ensure that non-United Nations passengers signed the appropriate waiver form prior to traveling on MONUSCO flights were adequate and working effectively.

There was adequate coordination among stakeholders involved in movement control operations

16. The MovCon Section was responsible for planning and coordinating all movements within the Mission area in collaboration with other sections that were involved in movement control operations. OIOS concluded through interviews and review of documents that there was adequate and effective coordination among the stakeholders, which included daily coordination meetings between the MovCon and Aviation Sections, and the Joint Movement Control Centre.

Movement Control Section did not maintain records of no-show passengers

17. The MovCon Section's standard operating procedures required passengers to notify the Section, in writing, of changes to submitted travel requests 24 hours ahead of the planned travel. The MovCon Section was also required to notify first time no-show passengers that subsequent no-shows may result in flight restrictions on MONUSCO aircraft.

18. The MovCon Section did not maintain records of no-show passengers and as a result: (a) no action was taken against passengers who did not comply with the notification requirement; and (b) MONUSCO was unable to quantify the number of no-show or repeated no-show passengers or the associated cost. Also, the lack of passengers notifying cancelled travel plans delayed the finalization of the passenger manifest, took away seats from others planning to travel, and in some cases, caused flight delays. Subsequent to the audit, on 12 June 2014, MONUSCO issued an administrative circular to remind passengers of their responsibility to provide the MovCon Section with notice of changes or cancellation of their travel plans and that administrative action would be taken against staff that did not comply.

(1) MONUSCO should remind passengers of scheduled flights of the requirement to notify the Movement Control Section of changes to their travel plans and implement a procedure to take action against passengers that do not comply.

MONUSCO accepted recommendation 1 and stated that an administrative instruction would be issued by the Director of Mission Support reminding MONUSCO passengers of their responsibility to provide the MovCon Section with notice of changes, or cancellation of their travel plans. Appropriate administrative action would be taken in cases of non-compliance. Recommendation 1 remains open pending issuance of the administrative instruction.

Controls over movement of troops and cargo were effective

19. The MovCon Section was responsible for ensuring that the movement of passengers and cargo was accurately recorded and supported by cargo movement requests or instructions from the Movement

Control Section of DFS. A review of 20 of the 56 movement orders issued from 1 July 2011 to 30 September 2013 indicated that cargo, contingent-owned equipment and troops were moved upon receipt of approved electronic cargo movement requests and relevant instructions from DFS. Additionally, once movements were completed, the MovCon Section prepared and submitted the required movement completion reports to DFS. OIOS concluded that controls over movement of troops and cargo were adequate and working as intended.

Performance of contractors was adequately monitored and evaluated

20. MONUSCO was required to conduct vendor performance evaluations in line with the Procurement Manual, and to prepare and submit quarterly and bi-annual evaluation reports to the Logistics Support Division, DFS and Procurement Division, Department of Management. A review of the five MONUSCO contracts for the provision of movement control services such as ground handling and freight forwarding services indicated that monthly contractor performance review meetings were held to discuss contractual issues, propose any remedial actions, and monitor subsequent implementation of the issues previously discussed. MONUSCO also prepared and submitted the required quarterly and bi-annual evaluation reports to Headquarter departments as required. OIOS concluded that the performance of the contractors was adequately monitored and evaluated.

Controls over shipping and tracking of shipments were effective

21. The DPKO/DFS Movement Control Manual required the Shipping and Traffic Unit to process, arrange and track shipments and where applicable, process customs clearance requests for the importation and exportation of United Nations and contingent-owned equipment. A review of 50 of the 635 incoming shipments for the period January to September 2013 indicated that MONUSCO was successfully tracking cargo movements. Further, a government liaison officer was co-located within MONUSCO to facilitate the processing of tax exemption letters and the release of shipments by the Government. As a result of these initiatives, MONUSCO did not incur any penalties in demurrage charges in 2012 and 2013, compared to \$150,000 in 2011. OIOS concluded that controls over shipping and tracking of shipments were adequate and working effectively.

Personnel handling dangerous goods needed to be certified

22. The DPKO/DFS Movement Control Manual required responsible personnel to be skilled in handling dangerous goods.

23. The MovCon Section conducted an initial training on dangerous goods in November 2012, and subsequent to this, refresher courses were held to keep staff up-to-date on new developments and procedures. However, a review of staff training records indicated that: (a) 74 staff had not received initial training on dangerous goods; (b) 36 national staff failed the initial training and had not been re-trained due to lack of funds; and (c) 6 of 39 contractors responsible for handling MONUSCO cargo did not have valid certificates. Also, the Security Section personnel who were responsible for carrying out passenger and baggage screening were not adequately trained. The lack of adequately trained staff may result in the screening of passengers and cargo not being conducted effectively and may compromise staff safety and security.

(2) MONUSCO should provide adequate training to movement control and other Mission personnel involved in passenger screening and ground handling services to ensure that there is an adequate number of staff certified in handling of dangerous goods.

MONUSCO accepted recommendation 2 and stated that it conducted dangerous goods training for

its staff on a regular basis. Currently 113 out of 241 movement control staff had valid dangerous goods certification. In 2011/2012, the MovCon Section staff conducted dangerous goods familiarization training for the Department of Safety and Security staff involved in screening of passengers and baggage/cargo handling. Also, contractor personnel involved in screening baggage/cargo were required by the contract to provide individuals that were certified in handling dangerous goods. The MovCon Quality Assurance and Surveillance Unit maintained copies of certificates on file and tracks their expiry dates. Based on the action taken by MONUSCO, recommendation 2 has been closed.

Services were being procured to maintain and calibrate weighing scales

24. The DPKO/DFS Movement Control Manual required the MovCon Section to ensure the safety of air operations by considering the weight and balance of the aircraft when planning loads for flights. Toward this end, accurate weights needed to be established to ensure safe flights.

25. MONUSCO did not have certified scale technicians to ensure the regular servicing and recalibration of weighing scales, and maintenance schedules and intervals had not been established. The Supply Section advised that Mission staff were calibrating weighing scales every six months based on experience gained from a previous contractor. However, this calibration was insufficient as it was conducted by MONUSCO staff that were not certified scale technicians, and there was no record of the dates when the weighing scales were inspected and calibrated. As MONUSCO was in the process of procuring contractors to maintain and calibrate its weighing scales, no recommendation was made.

There were insufficient materials handling equipment

26. The DPKO/DFS Movement Control Manual required the MovCon Section to ensure the acquisition, maintenance and effective operation of materials handling equipment. Furthermore, the MONUSCO standard operating procedures required the Quality Assurance and Surveillance Unit to coordinate the periodic inspection of the condition and operability of materials handling equipment.

27. A review of the Quality Assurance and Surveillance Unit inspection reports and field visits indicated that loading and other equipment located in Kananga and Bunia were either not suitable to safely offload containers or past their economic useful life. In fact, unsuitable loading equipment that was used to offload a container from an aircraft almost resulted in an accident in October 2013. MONUSCO had not implemented procedures to periodically inspect the suitability and operability of its materials handling equipment exposing staff to increased risk of injury when using such equipment.

(3) MONUSCO should review the fleet of materials handling equipment and take remedial action to ensure smooth operations and reduce the likelihood of accidents and injury to staff.

MONUSCO accepted recommendation 3 and stated that it was in the process of conducting a comprehensive review of all materials handling equipment at its stations and the results would be submitted to the Transport Section by the end of May for corrective action. In addition, the Transport Section reviewed materials handling equipment constantly as part of its weekly and monthly reporting to ensure that equipment was functional. Recommendation 3 remains open pending receipt of evidence that action has been taken to ensure that adequate materials handling equipment is being used for loading and offloading cargo.

There were adequate movement control procedures and guidelines

28. The DPKO/DFS Movement Control Manual required MONUSCO to establish clear roles, procedures and guidelines to ensure that movement control operations were safe, efficient and effective.

29. The MovCon Section had developed 32 standard operating procedures covering aspects such as general movement regulations, transportation of perishables, dangerous goods, human remains, weapons, ammunition and non-United Nations personnel, to guide its operations. In addition, the Director of Mission Support had issued directives and administrative instructions on the approval of movement requests covering various categories of passengers and cargo. While MONUSCO still needed to finalize its movement control standard operating procedures, OIOS concluded that there was adequate guidance for the submission, approval and processing of electronic movement of personnel requests, and therefore, did not make a recommendation.

IV. ACKNOWLEDGEMENT

30. 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) David Kanja
Assistant Secretary-General for 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

Recom. no.	Recommendation	Critical ¹ / Important ²	C/ O ³	Actions needed to close recommendation	Implementation date ⁴
1	MONUSCO should remind passengers of scheduled flights of the requirement to notify the Movement Control Section of changes to their travel plans and implement a procedure to take action against passengers that do not comply.	Important	O	Receipt of the administrative instruction reminding passengers of their responsibility to inform the Movement Control Section of changes to their travel plans.	30 June 2014
2	MONUSCO should provide adequate training to movement control and other Mission personnel involved in passenger screening and ground handling services to ensure that there is an adequate number of staff certified in handling of dangerous goods.	Important	C	Action taken.	Implemented
3	MONUSCO should review the fleet of materials handling equipment and take remedial action to ensure smooth operations and reduce the likelihood of accidents and injury to staff.	Important	O	Receipt of evidence that action has been taken to ensure that adequate materials handling equipment is being used for loading and offloading cargo.	30 May 2014

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.

³ C = closed, O = open

⁴ Date provided by MONUSCO in response to recommendations.

APPENDIX I

Management Response



MONUSCO

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

United Nations Organisation Stabilization
Mission in the Democratic Republic of Congo

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PROTECT

STABILIZE

CONSOLIDATE PEACE

INTEROFFICE MEMORANDUM

2 June 2014
Ref. ODMS/14/OM/00577

To: Ms. Eleanor T. Burns
Director, Internal Audit Division, OIOS

From: Guy Siri
Director Mission Support Division
MONUSCO

Subject: Assignment No. AP2013/620/05 - Audit of movement control operations in MONUSCO

1. Your interoffice memorandum reference IAD: 14-7-5-7(14) dated 6 May 2014 refers.
2. Attached please find Mission response in respect of the recommendations in the draft audit report of the above-mentioned audit.
3. Copies of the supporting documentation will be provided to the Resident Audit office.

Kind regards.

Cc Mr. Mike Dora, Chief Integrated Support Services, MONUSCO
Mr. Gerard Traynor, Chief Movement Control Section, MONUSCO
Ms. Jacoba Genis, Audit Focal Point, MONUSCO
Mr. Laud Botchwey, Chief Resident Auditor for MONUSCO, OIOS
Ms. Anna Halasan, Professional Practices Section, Internal Audit Division, OIOS

Attachment: Appendix 1

APPENDIX 1

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 ¹ / Important ₂	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
1	MONUSCO should remind passengers of scheduled flights of the requirement to notify the Movement Control Section of changes to their travel plans and implement a procedure to take action against passengers that do not comply.	Important	Yes	Chief, Movement Control Operations	30 June 2014	An Administrative Instruction (AI) will be issued by the Director of Mission Support Division reminding MONUSCO passengers of their responsibility to provide MovCon with notice of change(s), or cancellation of their travel plans. Appropriate administrative action will be taken in cases of non-compliance. A copy of the draft AI has been provided to the Resident Audit Team.
2	MONUSCO should provide adequate training to movement control and other Mission personnel involved in passenger screening and ground handling services to ensure that there is an adequate number of staff certified in handling of dangerous goods.	Important	Yes	Chief, Movement Control Operations	Implemented	MONUSCO conducts Dangerous Goods (DG) Training for its staff on a regular basis as part of the Annual Training plan. Currently 113 MovCon staff out of 241 have valid DG certification. A copy of the list of staff who attended the recent training held in February 2014 has been provided to the Resident Audit Team. In 2011/2012, MovCon staff conducted DG familiarization training for UN Department of Safety and Security staff involved in the screening of passengers and baggage/cargo handling at all mission stations. Contractor personnel (PAE) involved in screening baggage/cargo are required by the contract to have qualifications on handling DG and MovCon QASU maintains copies of the certificates on file and tracks their expiry dates.

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.

APPENDIX 1

Management Response

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

Rec. no.	Recommendation	Critical¹/ Important₂	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
3	MONUSCO should review the fleet of materials handling equipment and take remedial action to ensure smooth operations and reduce the likelihood of accidents and injury to staff.	Important	Yes	Chief, Movement Control Operations	30 May 2014	<p>Movement Control Section is in the process of conducting a comprehensive review of all Material Handling Equipment at all its stations and the results will be submitted to Transport Section by 30 May 2014 for corrective action. In addition, Transport Section reviews material handling equipment constantly as part of its Weekly and Monthly Reporting (KPIs) to ensure that these are functional so that all operations are fully supported.</p> <p>Nevertheless, arrangements exist to ensure that alternate equipment is always available to support operations during times when equipment is off-road for repairs/maintenance, while also attempting to maintain a 90% on-road state of all specialist vehicles.</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.