



## INTERNAL AUDIT DIVISION

### REPORT 2015/061

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Audit of facilities management in the  
United Nations Organization  
Stabilization Mission in the Democratic  
Republic of the Congo

Overall results relating to the effective  
management of facilities in the United  
Nations Organization Stabilization Mission in  
the Democratic Republic of the Congo were  
initially assessed as partially satisfactory.  
Implementation of one important  
recommendation remains in progress

FINAL OVERALL RATING: PARTIALLY  
SATISFACTORY

24 June 2015  
Assignment No. AP2014/620/09

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# AUDIT REPORT

## Audit of facilities management 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 facilities management 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 Facilities Management Unit of the Engineering Section was responsible for: managing the Mission's facilities, including leased property and infrastructure and government-provided premises; and providing sanitation services for all civilian premises, including sewage and garbage collection and disposal.
4. The Facilities Management Unit was headed by a Chief at the FS-5 level who reported to the Chief of the Engineering Section at the P-5 level. The Unit had 67 staff comprising 55 national staff, 7 United Nations volunteers, and 5 international staff. The 2012/13 and 2013/14 budgets for facilities management were \$6 million and \$8.1 million respectively.
5. Comments provided by MONUSCO are incorporated in italics.

### II. OBJECTIVE AND SCOPE

6. 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 facilities in MONUSCO**.
7. The audit was included in the 2014 risk-based work plan of OIOS due to the operational, safety and health risks related to the management of facilities in MONUSCO.
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: (i) exist to guide the management of facilities in MONUSCO; (ii) are implemented consistently; and (iii) ensure the reliability and integrity of financial and operational information.
9. The key control was assessed for the control objectives shown in Table 1.
10. OIOS conducted this audit from September to November 2014. The audit covered the period from 1 July 2013 to 30 October 2014. The audit team conducted field visits to the Mission's civilian facilities in Kinshasa, Goma, Bukavu, Lubumbashi and Kisangani.

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 MONUSCO governance, risk management and control processes examined were initially assessed as **partially satisfactory**<sup>1</sup> in providing reasonable assurance regarding the **effective management of facilities in MONUSCO**. OIOS made two recommendations to address the issues identified. MONUSCO had: signed rental agreements for all premises; regularly cleaned and fumigated premises; trained its facilities management personnel; and regularly collected garbage from its premises. To improve facility management activities, MONUSCO needed to: (a) properly secure garbage at collection points; and (b) schedule periodic inspections and preventive maintenance of buildings and facilities.

13. 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 one important recommendation 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 facilities in MONUSCO       | Regulatory framework | Partially satisfactory             | Partially satisfactory                       | Partially satisfactory | Partially satisfactory                          |
| <b>FINAL OVERALL RATING: PARTIALLY SATISFACTORY</b> |                      |                                    |  |                        |   |

### Regulatory framework

The Mission had implemented adequate controls to secure premises and establish rental agreements

14. The status of force agreement between MONUSCO and the Government of the Democratic Republic of the Congo required MONUSCO to request the Government to provide, without cost, amenities such as land for construction of headquarters, camps and other premises as may be required for the conduct of the Mission’s operations. The United Nations Procurement Manual required MONUSCO to have contracts or lease agreements for all rented properties.

15. Visits to 26 of the 53 civilian sites in Kisangani, Bukavu, Lubumbashi, Goma and Kinshasa indicated that 11 had been provided by the Government and 15 were rented from private landlords. Interviews with MONUSCO field administration officers and staff of the Engineering Section, and review

<sup>1</sup> A rating of “**partially satisfactory**” means that important (but not critical or pervasive) deficiencies exist 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.

of memoranda of understanding and rental agreements indicated that the Government had provided the 11 sites to the Mission free of charge and the Mission had valid agreements for the 15 privately owned properties. A review of all rental agreements indicated that they were valid and current.

16. OIOS concluded that the Mission had implemented adequate controls to secure premises and establish related agreements.

#### MONUSCO regularly cleaned its offices and toilets

17. The MONUSCO standard operating procedures for facilities and camp management services required: (a) offices and toilets to be cleaned at least twice and four times per day respectively; and (b) the maintenance of cleaning log sheets. Visits to 26 sites, interviews of staff and review of 300 cleaning log sheets indicated that offices and toilets were regularly cleaned as required. OIOS concluded that MONUSCO had implemented adequate controls to ensure its offices and toilets were regularly cleaned.

#### The Mission had trained its facilities management personnel

18. The MONUSCO standard operating procedures for facilities and camp management services required MONUSCO to implement procedures to ensure staff were trained in their responsibilities, including the safe handling and disposal of waste, hazard prevention and handling emergency responses. A review of training records of 72 of the 442 contractors' personnel and MONUSCO staff that were involved in facilities management, and interviews with 87 of them, indicated that personnel had been trained in their respective functions. OIOS concluded that MONUSCO had implemented adequate controls to ensure that cleaners and other personnel had been trained in performing their duties.

#### Mission premises were regularly fumigated

19. The MONUSCO standard operating procedures for facilities and camp management services required fumigation to be carried out every two weeks or weekly depending on the prevalence of vectors of infectious diseases, insects and rodents.

20. A review of fumigation schedules, contracts and payment requests for fumigation services for 26 sites, site visits and interviews with engineering officers indicated that the Mission had regularly fumigated these sites. Contractors, as required, fumigated the sites weekly in Kinshasa and Kisangani, every two weeks in Goma and Bukavu, and monthly in Lubumbashi. At the Mission's request, contractors also conducted additional fumigation when needed, such as when a site was invaded by bees.

21. OIOS concluded that the Mission had implemented adequate controls to ensure that its premises were regularly fumigated to prevent vectors of infectious diseases, insects and rodents.

#### MONUSCO was taking action to renovate and repair the Kinshasa facilities

22. The United Nations Engineering Support Manual required MONUSCO to implement procedures to ensure adequate maintenance of all facilities and infrastructure used by the Mission. The MONUSCO standard operating procedures for facilities and camp management services required the establishment of a system for the management of repairs.

23. Visits to 26 sites, interviews with engineering officers and a review of 200 of the 1,489 engineering repair job requests indicated that the Mission had implemented procedures for maintaining its facilities and infrastructure in a timely manner. For example, repair work was completed on average within four working days in Kisangani, Bukavu, Goma and Lubumbashi.

24. However, in Kinshasa, a review of 20 of the 30 engineering job requests for one site between 1 October 2013 and 30 September 2014 indicated 9 outstanding requests related to the replacement of fluorescent tubes, water taps, door locks and the renovation and repair of toilets. This resulted because the Facilities Management Unit had prioritized the provision of accommodation in the east over repairs in the west due to the reconfiguration of the Mission. The long outstanding repairs meant that the facilities were not adequately meeting the needs of the staff located at the site. MONUSCO was taking action to renovate and repair the Kinshasa facilities. Therefore, OIOS does not make a recommendation.

Garbage was regularly collected and the Mission has taken action to secure garbage at collection points

25. The MONUSCO standard operating procedures for facilities and camp management services required garbage to be regularly collected by waste disposal contractors as stipulated in the relevant contracts. Garbage was to be placed in trash bags and properly secured in designated areas away from drains and watercourses.

26. Visits to 26 sites, review of contracts and waste collection schedules indicated that contractors regularly removed garbage from the Mission's premises. The Mission also maintained records showing the respective dates when garbage was collected, and these records were used to support payments to contractors. Further, inspection of the garbage collection points at 26 sites indicated that the garbage at 19 sites located in Kisangani, Bukavu, Lubumbashi and Goma were properly maintained and secured. However, in Kinshasa, the garbage was scattered on the ground at four of the seven sites visited. This resulted as the Facilities Management Unit had not implemented adequate procedures to make sure the contractor promptly replaced defective dust bins. As a result, on 28 October 2014, a flood in Kinshasa washed away unsecured garbage at collection points posing health and environmental risks.

**(1) MONUSCO should implement procedures to ensure contractors adequately secure garbage at all its Kinshasa garbage collection points.**

*MONUSCO accepted recommendation 1 and stated that action had been taken to collect garbage in plastic bags and replace defective garbage bins. In addition, sea containers were being used to store garbage bags for collection by the contractor. Based on the action taken by MONUSCO, recommendation 1 has been closed.*

Periodic inspection and preventive maintenance for buildings and facilities was not being done

27. The United Nations Engineering Support Manual required MONUSCO to prepare and implement building inspection/maintenance schedules and preventive maintenance programmes. The lease agreements between MONUSCO and the respective landlords required initial and semi-annual joint inspections of buildings to be performed by MONUSCO and the lessor.

28. Visits to eight leased properties indicated that the Mission had performed routine maintenance of facilities and buildings. MONUSCO and lessors conducted the required initial inspections. However, MONUSCO had not prepared and implemented formal building inspection/maintenance schedules and preventive maintenance programmes. MONUSCO and lessors had also not conducted the required bi-annual joint inspections. This resulted as the Mission had not implemented procedures for scheduling and conducting periodic inspections/preventive maintenance for buildings and facilities. As a result, the Mission was not identifying preventive maintenance measures in a timely manner.

**(2) MONUSCO should implement procedures for scheduling and conducting periodic inspections and preventive maintenance for its premises and facilities.**

*MONUSCO accepted recommendation 2 and stated that it developed terms of reference for conducting annual preventive maintenance inspections and would instruct its field engineers to implement it. Recommendation 2 remains open pending receipt of evidence that MONUSCO is conducting periodic inspections and preventive maintenance for its premises and facilities.*

#### **IV. ACKNOWLEDGEMENT**

29. 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 facilities management in the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo

| Recom. no. | Recommendation   | Critical <sup>1</sup> /<br>Important <sup>2</sup> | C/<br>O <sup>3</sup> | Actions needed to close recommendation  | Implementation date <sup>4</sup> |
|------------|--|---|----------------------|---|----------------------------------|
| 1          | MONUSCO should implement procedures to ensure contractors adequately secure garbage at all its Kinshasa garbage collection points.                 | Important   | C                    | Action taken  | Implemented                      |
| 2          | MONUSCO should implement procedures for scheduling and conducting periodic inspections and preventive maintenance for its premises and facilities. | Important   | O                    | Receipt of evidence that MONUSCO is conducting periodic inspections and preventive maintenance for its premises and facilities. | November 2015                    |

<sup>1</sup> 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.

<sup>2</sup> 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.

<sup>3</sup> C = closed, O = open

<sup>4</sup> Date provided by MONUSCO in response to recommendations.



# **APPENDIX I**

## **Management Response**



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

8 June 2015  
Ref. ODMS/15/OM/01918

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

From: Guy Siri  
Director of Mission Support  
MONUSCO

Subject: **Mission response to Draft Audit Report on audit of facilities management and maintenance in MONUSCO (AP2014/620/09)**

1. Your interoffice memorandum reference IAD-15-7-5-7 (09) dated 21 May 2015 refers.
2. Attached please find Mission response in respect of the recommendations in the draft audit report of the above-mentioned audit subject. Supporting documents will be provided to the Resident Audit Team only.

Kind regards.

Cc Mr. Philip Compte, Deputy Director of Mission Support, MONUSCO  
Mr. Rajesh Chadha, Officer-in-Charge, Integrated Support Services, MONUSCO  
Mr. Peter Leskovsky, Chief, Engineering Section, MONUSCO  
Ms. Jacoba Genis, Audit Focal Point, MONUSCO  
Mr. Bolton Tarleh Nyema, Chief Peacekeeping Audit Service, Internal Audit Division, OIOS  
Mr. James Okwakol, Officer-in-Charge, Resident Audit Office, Internal Audit Division, OIOS  
Ms. Cynthia Avena-Castillo, Professional Practices Section, Internal Audit Division, OIOS

Attachment : Appendix 1 – Management Response

*Peace it!*

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APPENDIX I

Management Response

Audit of facilities management in the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo

| Rec. no. | Recommendation   | Critical <sup>1</sup> /<br>Important <sup>2</sup> | Accepted?<br>(Yes/No) | Title of<br>responsible<br>individual | Implementation<br>date | Client comments  |
|----------|--|---|-----------------------|---------------------------------------|------------------------|--|
| 1        | MONUSCO should implement procedures to ensure contractors adequately secure garbage at all its Kinshasa garbage collection points.                 | Important   | Yes                   | Chief Engineer                        | 02 June 2015           | Garbage is now collected in plastic bags and tied properly to avoid spillage while loading onto the garbage trucks. The contractor, Sani Beaute, is also replacing defective garbage bins on a continuous basis. In addition, instead of erecting sheds/roofs to house garbage bins on all UN premises, sea containers are utilized for both military and facilities camp management to store the garbage bags before it is collected by the contractor. Sea containers have been placed at INCAL, UTEX 2 and the Mission HQ. The individual bins placed at various locations in the camps are emptied on a daily basis and the garbage bags are transferred to the sea containers. Supporting documentation have been provided to the audit team. |
| 2        | MONUSCO should implement procedures for scheduling and conducting periodic inspections and preventive maintenance for its premises and facilities. | Important   | Yes                   | Chief Engineer                        | November 2015          | MONUSCO Engineering Section has developed the Terms of Reference (TOR) for conducting the required annual preventative maintenance inspections (PMI). The Field Office Engineers will be instructed to start with the required inspections according to the checklist which is currently under development by Engineering Section. Inspections will be carried out at the various field locations according to an inspection schedule. For leased properties, reviews and interventions will be done as per the individual Lease Agreement with the landlord. Supporting has been provided to the audit team.  |

<sup>1</sup> 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.

<sup>2</sup> 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.