



INTERNAL AUDIT DIVISION

REPORT 2017/138

Audit of business continuity in the
United Nations Organization
Stabilization Mission in the Democratic
Republic of the Congo

There was a need to implement the business
impact analysis methodology in developing
business continuity plans and to allocate
sufficient resources to support business
continuity planning and train critical staff

13 December 2017
Assignment No. AP2017/620/02

Audit of business continuity 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 business continuity in the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo (MONUSCO). The objective of the audit was to assess the adequacy and effectiveness of the Mission's management of its business continuity plan (BCP) to ensure continuity of critical services following a disruptive event. The audit covered the period from 1 January 2016 to 31 July 2017 and included governance and strategy; risk assessment, business impact analysis and mitigating strategies; BCP development and implementation; and the maintenance, exercise and review activities of the BCP.

MONUSCO had: established a two-tier governance structure to make strategic decisions and coordinate response to crisis; regularly conducted table top review exercises of its emergency plans; and ensured periodic reporting and record keeping of its emergency plans. However, MONUSCO needed to: implement the business impact analysis methodology in developing business continuity plans and to allocate sufficient resources to support business continuity planning and train critical staff.

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

- Define the Mission's essential time-critical business services and maximum tolerable periods of disruption;
- Update and finalize its crisis communication plan to ensure effective communication during disruptive events;
- Seek the Department of Field Support's guidance on how to implement the new guidelines for business continuity planning;
- Update its risk assessment to include all relevant risks and prioritize them;
- Ensure that section/unit heads regularly report changes in BCP focal points/critical staff to the Mission BCP focal point;
- Train all its critical staff on business continuity planning;
- Review the implementation and adequacy of its business continuity plans to ensure they are harmonized, linked with other emergency plans, cover all important offices/entities, and have arrangements in place for the identified alternative locations in the event of a disruptive crisis at the primary location;
- Assess and allocate sufficient resources for effective implementation of its business continuity planning activities and clarify roles and responsibilities of the various parties involved for the effective implementation of business continuity; and
- Develop and implement a timetable for maintenance, exercise, review, testing and updating of its BCPs (the general Mission BCP and specific BCPs such as for Kinshasa and Goma).

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

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Audit of business continuity 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 business continuity in the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo (MONUSCO).
2. Business continuity management is a holistic management process intended to strengthen an organization's ability to respond to risks and continue important and time-critical business processes following a disruptive event. The United Nations business continuity strategy is incorporated into its policy on Organizational Resilience Management System (ORMS), which came into effect on 1 December 2014. The ORMS policy requires MONUSCO to continuously improve management of operational risks and coordinate policies, processes and procedures relevant to improving security, preparedness, response, business continuity and recovery in case of disruptive incidents. MONUSCO adopted ORMS in 2014.
3. The Deputy Chief of the Joint Operations Centre is the Mission's business continuity plan (BCP) focal point for business continuity activities and reports to the Mission Chief of Staff who is responsible for ensuring the implementation of ORMS.
4. Comments provided by MONUSCO are incorporated in italics.

II. AUDIT OBJECTIVE, SCOPE AND METHODOLOGY

5. The objective of the audit was to assess the adequacy and effectiveness of the Mission's management of its BCP to ensure continuity of critical services following a disruptive event.
6. This audit was included in the 2017 risk-based work plan of OIOS due to the risk that critical services may not be continued following a disruptive event.
7. OIOS conducted this audit from August to October 2017. The audit covered the period from 1 January 2016 to 31 July 2017. Based on an activity-level risk assessment, the audit covered higher and medium risk areas in the business continuity management, which included: governance and strategy; risk assessment, business impact analysis and mitigating strategies; BCP development and implementation; and the maintenance, exercise and review activities of the BCP.
8. The audit methodology included: (a) interviews of key personnel; (b) reviews of relevant documentation, including ORMS and business continuity policies, guidelines and reports, mission-specific operating procedures on business continuity and other written guidelines/circulars; and (c) sample testing of BCP training records, critical staff lists, and emergency plans review and exercise reports.
9. The audit was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.

III. AUDIT RESULTS

A. Governance and strategy

The Mission had established a two-tier governance structure but needed to define essential time-critical business services and maximum tolerable periods of disruption

10. Secretary-General's report on ORMS (A/67/266) requires the Mission to establish a two-tier governance structure comprising a high level and operational team to make strategic decisions and coordinate responses. The Department of Management's BCP template requires MONUSCO senior management to: (a) define its essential and time-critical business services; and (b) set the maximum tolerable period of disruption¹ for resuming critical services following a disruptive event.

11. MONUSCO had established a two-tier governance comprising: a Crisis Management Team (CMT) responsible for making strategic decisions; and a crisis management working group responsible for coordinating operational responses. The CMT was composed of members from both the substantive sections and mission support, and representatives from the United Nations Country Team were also invited whenever necessary. During the period from January to October 2017, the CMT met 14 times to make decisions in response to crisis events and the working group coordinated implementation of decisions made by the CMT. The recommendations of the CMT were followed up and implemented. However, the Mission had neither defined its essential time-critical business services nor set its maximum tolerable periods of disruption for resuming critical services following disruptive events.

12. This occurred because MONUSCO was not aware of the new requirements that needed CMT/senior management to define the Mission's essential time-critical business services and set the maximum tolerable periods of disruption. As a result, there was an increased risk that critical services may not be effectively continued, or recovered in a timely manner, after a major disruptive event.

(1) MONUSCO should define the Mission's essential time-critical business services and maximum tolerable periods of disruption.

MONUSCO accepted recommendation 1 and stated that it had engaged with the Department of Field Support (DFS) to seek further guidance in defining its time-critical business services and maximum tolerable periods of disruption. Recommendation 1 remains open pending receipt of evidence that MONUSCO has defined its essential time-critical business services and maximum tolerable periods of disruption.

Need to update and finalize the crisis communication plan

13. The Secretary-General's report on ORMS requires MONUSCO to maintain approved emergency plans including: security plan; crisis management plan; information and communications technology (ICT) disaster recovery plan; crisis communication plan; and mass-casualty-incident response plan. The United Nations crisis management policy requires the Strategic Communications and Public Information Division of MONUSCO to provide support and guidance to the Mission on crisis communication issues and support the production and dissemination of relevant internal and external crisis communication products.

14. MONUSCO maintained, updated and approved emergency plans including the: security plan; crisis management plan; ICT disaster recovery plan, and mass casualty-incident response plan. However, the

¹ The time period senior management considers acceptable to operate without the specified service.

Mission had not finalized and approved its crisis communication plan because the Strategic Communications and Public Information Division had prioritized the development of its communication strategy before proceeding to finalize the crisis communication plan. As at the time of the audit, the draft communication strategy was under review. As a result, there was an unmitigated risk that the Mission would not effectively coordinate communications during disruptive events.

(2) MONUSCO should update and finalize its crisis communication plan to ensure effective communication during disruptive events.

MONUSCO accepted recommendation 2 and stated that it had formed a task force to update and finalize its crisis communication plan. Recommendation 2 remains open pending receipt of a copy of the approved crisis communication plan.

B. Risk assessment, business impact analysis and mitigating strategies

Need to comply with the business impact analysis methodology for business continuity planning

15. The Department of Management's BCP template requires MONUSCO to determine the: (a) necessary critical business processes that support its time-critical business services; (b) continuity strategies to respond to major ICT systems failure, denial of access to premises, loss of major vendors or suppliers, catastrophic event; (c) recovery time objectives² (RTOs); and (d) dependencies on other divisions, sections, or units. The United Nations disaster recovery planning procedures require all critical ICT services and applications to have a target RTO and a target recovery point objective³ (RPO) of 24 hours and 4 hours respectively, with any exceptions highlighted.

16. A review of the general Mission BCP, specific BCPs for Kinshasa and Goma, and the ICT ORMS plan indicated that MONUSCO had determined strategies to respond to: (a) major ICT systems failure; (b) denial of access to premises; (c) loss of major vendors or suppliers; and (d) a catastrophic event. However, MONUSCO had not:

- Properly determined its critical business processes in the general Mission BCP as it contained items that were not critical to the Mission's mandate. For example, MONUSCO included the management of the United Nations Volunteers office as a critical business process. The Mission critical staff and CMT members confirmed that this was not a critical process. This happened because the Mission identified its BCP critical processes based on the functions/units instead of essential and time-critical business services;
- Described dependencies on other divisions, sections, or units; and
- Adequately defined RTOs in its BCPs as, for example, all the 45 critical business processes in the general Mission BCP had no RTOs; whereas all the 27 critical business processes in the Kinshasa BCP had RTOs ranging from zero to 4 hours compared to the MONUSCO ICT ORMS plan, which specified RTOs for the same location varying from zero to 48 hours. Interviews with the ICT staff confirmed that not all the critical ICT processes could be restored within four hours as stated in the Kinshasa BCP. MONUSCO had also not defined in its BCPs the RPOs for critical ICT services and applications.

² The period of time within which minimum levels of services and/or products and the supporting systems, applications or functions must be recovered after a disruption has occurred.

³ The point in time at which data must be recovered after a disruption has occurred.

17. The above occurred because MONUSCO was not aware of the new guidelines for business continuity planning that contained detailed guidance for these elements. As a result, there was a risk that MONUSCO would not effectively recover critical business processes and activities after a disruptive event.

(3) MONUSCO should seek DFS guidance on how to implement the new guidelines for business continuity planning especially on how to review and define its: (a) critical business processes; (b) recovery time objectives and recovery point objectives; and (c) dependencies on other sections/units within the Mission.

MONUSCO accepted recommendation 3 and stated that it had engaged with DFS to seek guidance and support in defining these BCP elements. Recommendation 3 remains open pending receipt of a copy of BCPs that define key elements such as critical business processes, recovery time objectives and recovery point objectives, dependencies on other sections/units within the Mission.

Need to broaden risk assessments for business continuity planning

18. The ORMS requires MONUSCO to: identify, document and update annually risk assessments that include security risks, medical risks, ICT disaster recovery risks, and business continuity risks such as natural disaster risks; and prioritize the identified risks as high, medium and low based on the likelihood and impact. The United Nations Business Continuity Management Policy (January 2008) requires MONUSCO to establish BCPs following an all-hazards approach to risk assessment and prioritize identified risks. The MONUSCO Crisis Management Directive requires the Mission leadership to endorse BCPs that contain risk assessment results and a comprehensive mission-wide strategy that includes risk-reduction measures.

19. MONUSCO conducted and documented separate risk assessments of security, ICT disaster recovery and natural disasters. However, a review of the risk assessments considered in the development of the BCPs indicated that they were supported only by the security risk assessments of armed conflict, terrorism, crime, civil unrest, road traffic and fire hazards, without identifying and prioritizing the medical, ICT disaster recovery and business continuity risks. As a result, there was a risk that the BCPs did not capture other important measures to mitigate a broad array of exposures to operational risks. For example, the BCPs did not include measures for natural disaster risks that were significant in Goma and Bukavu. This occurred because MONUSCO did not implement an effective review mechanism for its BCPs to ensure that they included all relevant risk assessments.

(4) MONUSCO should update its risk assessment to include all relevant risks such as medical, information and communications technology disaster recovery, and natural disaster risks and prioritize them as high, medium or low, based on their likelihood of occurrence and impact.

MONUSCO accepted recommendation 4 and stated that it had engaged with DFS to seek guidance in refining its risk assessment. The risk assessment would be completed in conjunction with the Mission's Strategic Planning Office and the risk team from the United Nations Headquarters. Recommendation 4 remains open pending receipt of evidence that MONUSCO has updated its risk assessment following an all-hazards approach designed to cover all relevant risks.

C. Development and implementation of business continuity plans

Need to conduct BCP training and maintain an up-to-date and complete list of critical staff

20. The ORMS maintenance exercise and review regime requires the Mission to provide staff with annual awareness raising materials on business continuity. The Department of Peacekeeping Operations (DPKO)/DFS business continuity arrangements for critical staff requires the Mission to: (a) give appropriate training and briefings to its critical staff; and (b) update monthly the lists of critical staff.

21. The Mission had conducted briefings on BCP in September 2016 and ORMS awareness campaigns to its staff in December 2016 and July 2017 through electronic posters on desktops and phone display units, which included information on the locations of emergency plans. However:

- The Mission did not update its BCP focal points/critical staff lists as in August 2017, 11 of the 29 BCP section/unit focal points/critical staff who had checked out of the Mission were still included on the lists. This occurred because section/unit heads were not reporting changes in BCP focal points/critical staff to the BCP focal point as required; and
- There was insufficient evidence that the Mission had adequately trained its critical staff on general awareness of business continuity arrangements and response procedures, as there were no training reports and records. Although OIOS noted some email invitations for BCP briefings in September 2016, 9 of the 17 BCP focal points/critical staff and CMT members interviewed advised that they had not received any BCP briefing or training. This was because the lists as referred to above were out of date.

22. As a result, the critical staff and BCP focal points were not adequately prepared to respond to a disruptive event.

(5) MONUSCO should take steps to ensure that section/unit heads regularly report to the Mission business continuity plan (BCP) focal point changes in BCP focal points/critical staff.

MONUSCO accepted recommendation 5 and stated that it would: ensure that section/unit heads regularly reported changes in BCP focal points/critical staff to the Mission BCP focal point; and appoint an individual of appropriate seniority as the Mission Support Division focal point to coordinate the tracking of changes in BCP focal points/critical staff across the Division. Recommendation 5 remains open pending receipt of evidence that MONUSCO section/unit heads are regularly reporting changes in BCP focal points/critical staff to the Mission BCP focal point.

(6) MONUSCO should train all its critical staff on business continuity planning.

MONUSCO accepted recommendation 6 and stated that it would conduct a briefing on ORMS/business continuity for the Mission's leadership and commence the training of critical staff after defining its essential time-critical business services and maximum tolerable periods of disruption. Recommendation 6 remains open pending receipt of evidence that MONUSCO has trained its critical staff on business continuity planning.

Business continuity plans needed improvement

23. The Secretary-General's report on ORMS requires the Mission to implement ORMS planning and structures in coordination with the host country authorities and other key partners. The MONUSCO Crisis Management Directive requires CMT members in Kinshasa and Goma to relocate temporarily to an alternative location in the event that a crisis disrupts their primary location. Both the general Mission BCP and the Kinshasa BCP require: (a) the CMT and critical staff at MONUSCO headquarters in Kinshasa to move to the executive branch of the host government if a catastrophic event occurred in Kinshasa; and (b) the emergency plans to be interlinked and informed by one another. The United Nations Business Continuity Management Policy requires Mission BCPs to include risk mitigation strategies and recovery procedures for each department/office responsible for critical processes.

24. A review of MONUSCO BCPs showed that:

- MONUSCO did not have any agreement with the Government of the Democratic Republic of the Congo and there was no infrastructural readiness to support the CMT and critical staff in the Government's executive branch in Kinshasa in case a catastrophic event occurred. Similarly, whereas the Goma BCP specified Kavumu as the alternative site for Goma, Kavumu had not been equipped with the necessary infrastructure needed to host Goma's operations in the event of a major disruption;
- The Mission did not harmonize and link the business functions in its three BCPs. For example, the Kinshasa BCP listed the office of the Special Representative of the Secretary-General and ICT among its time-critical business functions, but these were not included in the general Mission BCP;
- The Mission also did not link its BCPs to the staff support plan;
- The general Mission BCP only addressed Goma and Kinshasa field offices; it did not address the key MONUSCO sections and other field offices, especially those identified in the security plans as high-risk locations with significant United Nations operations such as Beni, Bunia and Kananga; and
- The general Mission BCP did not define or communicate linkages with other interdependent entities, like the United Nations Country Team, host Government and other key partners.

25. This resulted because the BCP focal point had prioritized coordinating crisis response actions in line with his primary duties in the Joint Operations Centre and there were insufficient resources allocated to support the implementation of the BCP as explained below. Additionally, MONUSCO had not reviewed the adequacy of its BCPs to ensure they were harmonized, and linked with other emergency plans and covered all important offices/entities. As a result, MONUSCO may not be able to effectively and efficiently recover critical services and activities after a disruptive event.

<p>(7) MONUSCO should review the implementation and adequacy of its business continuity plans to ensure they are harmonized, linked with other emergency plans, cover all important offices/entities, and have arrangements in place for the identified alternative locations in the event of a disruptive crisis at the primary location.</p>

MONUSCO accepted recommendation 7 and stated that it would: establish an ORMS implementation group to oversee the implementation and adequacy of its BCP activities; and consider facilities available in selecting alternative locations while reviewing the Mission BCP. Recommendation 7 remains open pending receipt of evidence that MONUSCO has reviewed its BCPs to ensure linkage with other emergency plans, coverage of all important offices/entities and arrangements for identified alternative locations.

D. Maintenance, exercise and review programme

There was adequate reporting and retention of emergency plans

26. The Terms of Reference (TOR) for organizational resilience focal points requires the Mission to maintain copies of its plans for crisis management, security, business continuity, ICT disaster recovery, medical/mass casualty, and support to staff, survivors and families. It also requires the Mission to provide an annual organizational resilience status update to the DPKO/DFS Organizational Resilience Programme Officer.

27. The Mission BCP focal point maintained all relevant policies, plans and ORMS documents in the electronic document management system (COSMOS) that was accessible online by all staff. MONUSCO provided annual organizational resilience status updates and submitted all the required reports to the DPKO/DFS Organizational Resilience Programme Officer.

28. OIOS concluded that MONUSCO implemented adequate controls to ensure periodic reporting and recordkeeping of its emergency plans.

Need to develop terms of reference for the Mission BCP focal point and allocate resources for BCP implementation

29. The Secretary-General's report on ORMS requires the Mission to identify resources for effective BCP implementation including human resources, financial resources, and infrastructure. The TOR for the organizational resilience focal point require the Mission to: (a) appoint a BCP focal point to report directly to the Mission Chief of Staff; (b) adopt and tailor the TOR to its needs; and (c) establish an ORMS implementation group to oversee the implementation of BCP activities.

30. Interviews with relevant staff and review of the Mission budget for 2016/17 indicated that the Mission:

- Verbally appointed the Deputy Chief of the Joint Operations Centre to be the Mission BCP focal point, reporting to the Mission Chief of Staff, without a TOR to define his roles and responsibilities for BCP implementation;
- Did not establish an ORMS implementation group to oversee the implementation of BCP activities;
- Did not allocate funds for the implementation of BCP; and
- Did not assign adequate human resources to support the Mission BCP focal point as he continued to function in the Joint Operations Centre in addition to his BCP roles and responsibilities without adequate assistance.

31. The above occurred because the Mission did not assess the resource requirements for effective implementation of its BCP and had not taken appropriate actions to delineate the roles and responsibilities of the Mission BCP focal point, ORMS implementation group, and other relevant parties involved in BCP activities. As a result, there was a risk that the Mission may not be adequately prepared to ensure continuity of its critical business services in case of a disruption.

(8) MONUSCO should assess and allocate sufficient resources for the effective implementation of its business continuity planning activities and clarify the roles and responsibilities of the various parties involved in their implementation.

MONUSCO accepted recommendation 8 and stated that it had engaged with DFS in revising the Mission BCP. The Mission added that the ORMS implementation group that it would put in place would provide the requisite cross-functional support to those responsible for the Mission BCP. Recommendation 8 remains open pending receipt of evidence that MONUSCO has allocated sufficient resources for the implementation of its BCPs and clarified the roles and responsibilities of the various parties involved in their implementation.

The Mission conducted tabletop review exercises but needed to strengthen its BCP maintenance, exercise, and review activities

32. The ORMS maintenance exercise and review regime requires MONUSCO to exercise its emergency plans, prepare after-action review reports, conduct annual functional tests, and update plans endorsed and approved by the Mission leadership. The MONUSCO general BCP requires sections to conduct quarterly reviews of BCPs and the office of the Mission Chief of Staff, in close cooperation with section BCP focal points, to review the BCP on an annual basis. It also requires the Mission to update its BCP if there are changes to key personnel, and lessons learned during maintenance exercises and reviews and actual crisis events. The DPKO/DFS business continuity arrangements for critical staff requires all offices to test their telecommuting capabilities.

33. A review of six after-action review reports for emergency plans maintenance and review exercises conducted between March 2016 and March 2017 showed that MONUSCO reviewed, documented and followed up on recommendations made following tabletop review exercises for: crisis management, security, natural disaster, ICT disaster recovery and staff support plans. MONUSCO had also put in place telecommuting arrangements whereby critical staff had access to the Mission intranet and applicable group share drives including official mobile telephones and radios to continue communicating with relevant parties during disruptive events. Interviews with the critical staff and CMT members confirmed that in instances where they had not been able to work from their offices, they were able to continue their operations normally using the provided information and communications infrastructure. However, MONUSCO had not:

- Conducted both quarterly and annual reviews of its BCPs; and did not update them with the relevant lessons learned from other reviews such as from the reviews of crisis management, security, natural disaster, ICT disaster recovery and staff support plans. In October 2017, the Mission BCP focal point advised that the Mission was preparing to conduct an annual review of its general Mission BCP; and
- Performed annual functional tests of the BCPs to validate them against established standards, systems and interdependencies with other entities. For example, one of the mitigation actions documented in the MONUSCO general BCP was for those responsible for contract management to request vendors to activate their individual BCPs. However; MONUSCO had not verified whether its vendors had effective BCPs.

34. This occurred because the Mission did not develop and implement a timetable to conduct the required maintenance, exercise, review and tests of the BCP. As a result, the BCPs had not been updated with necessary mitigating measures and lessons learned from exercises conducted, increasing the risk that MONUSCO would not be able to effectively and efficiently recover critical processes and services after a disruptive event.

(9) MONUSCO should develop and implement a timetable for maintenance, exercise, review, testing and updating of its business continuity plans.

MONUSCO accepted recommendation 9 and stated that it would develop and implement a maintenance, exercise and review regime (timetable/schedule) that would form part of the revised Mission BCP. Recommendation 9 remains open pending receipt of evidence of implementation of a timetable to review, test and update its BCPs.

IV. ACKNOWLEDGEMENT

35. 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 business continuity 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 define the Mission's essential time-critical business services and maximum tolerable periods of disruption.	Important	O	Receipt of evidence that MONUSCO has defined its essential time-critical business services and maximum tolerable periods of disruption.	31 March 2018
2	MONUSCO should update and finalize its crisis communication plan to ensure effective communication during disruptive events.	Important	O	Receipt of a copy of the approved crisis communication plan.	31 March 2018
3	MONUSCO should seek the Department of Field Support (DFS) guidance on how to implement the new guidelines for business continuity planning especially on how to review and define its: (a) critical business processes; (b) recovery time objectives and recovery point objectives; and (c) dependencies on other sections/units within the Mission.	Important	O	Receipt of a copy of BCPs that define key elements such as critical business processes, recovery time objectives and recovery point objectives, dependencies on other sections/units within the Mission.	31 March 2018
4	MONUSCO should update its risk assessment to include all relevant risks such as medical, information and communications technology disaster recovery, and natural disaster risks and prioritize them as high, medium or low, based on their likelihood of occurrence and impact.	Important	O	Receipt of evidence that MONUSCO has updated its risk assessment following an all-hazards approach designed to cover all relevant risks.	31 March 2018
5	MONUSCO should take steps to ensure that section/unit heads regularly report to the Mission business continuity plan (BCP) focal point changes in BCP focal points/critical staff.	Important	O	Receipt of evidence that MONUSCO section/unit heads are regularly reporting changes in BCP focal points/critical staff to the Mission BCP focal point.	30 June 2018
6	MONUSCO should train all its critical staff on business continuity planning.	Important	O	Receipt of evidence that MONUSCO has trained its critical staff on business continuity planning.	30 June 2018

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 business continuity 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
7	MONUSCO should review the implementation and adequacy of its business continuity plans to ensure they are harmonized, linked with other emergency plans, cover all important offices/entities, and have arrangements in place for the identified alternative locations in the event of a disruptive crisis at the primary location.	Important	O	Receipt of evidence that MONUSCO has reviewed its BCPs to ensure linkage with other emergency plans, coverage of all important offices/entities and arrangements for identified alternative locations.	30 June 2018
8	MONUSCO should assess and allocate sufficient resources for the effective implementation of its business continuity planning activities and clarify the roles and responsibilities of the various parties involved in their implementation.	Important	O	Receipt of evidence that MONUSCO has allocated sufficient resources for the implementation of its BCPs and clarified the roles and responsibilities of the various parties involved in their implementation.	30 September 2018
9	MONUSCO should develop and implement a timetable for maintenance, exercise, review, testing and updating of its business continuity plans.	Important	O	Receipt of evidence of implementation of a timetable to review, test and update its BCPs.	30 September 2018

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

12 December 2017
Ref. ODMS/17/OM/05102

To: Mr. Arnold Valdez, Officer-in-Charge
Peacekeeping Audit Services
Internal Audit Division, OIOS

From: Paul Buades
Acting Director of Mission Support
MONUSCO

Subject: Management Response to Draft Audit Report on audit of business continuity in MONUSCO (Assignment No. AP2017/620/02)

1. Thank you for your interoffice memorandum reference IAD: 17-35 dated 07 December 2017, requesting the Mission to provide comments on the recommendation in the draft audit report on business continuity in MONUSCO.
2. Attached please find Appendix I - Management Response, for your consideration. Supporting documents will be provided to the Resident Audit Team.

Best regards.

Cc Mr. Maman Sambo Sidikou, Special Representative of the Secretary-General
Ms. Nancee Bright, Mission Chief of Staff, MONUSCO
Mr. Guy Griffin, Deputy Mission Chief of Staff, MONUSCO
Ms. Safia Boly, Deputy Director of Mission Support, MONUSCO
Mr. Jeremy Drage, Chief Joint Operation Centre, MONUSCO
Mr. Gerald Casey, Mission Business Continuity Plan Focal Point, MONUSCO
Mr. Daniel Maier, Officer-in-Charge, Strategic Planning Cell, MONUSCO
Ms. Kerry Zillner, Audit Focal Point, MONUSCO
Mr. James Okwakol, Chief Resident Auditor, MONUSCO, Internal Audit Division, OIOS
Ms. Cynthia Avena-Castillo, Professional Practices Section, Internal Audit Division, OIOS

Attachment: Appendix I - Management Response

Peace it!

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Management Response

Audit of business continuity 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 define the Mission's essential time-critical business services and maximum tolerable periods of disruption.	Important	Yes	Mission Chief Of Staff	31 March 2018	MONUSCO concurs with the recommendation. MONUSCO has engaged with the Department of Field Support and will seek further guidance in order to define the Mission's time-critical business services and maximum tolerable periods of disruption to be approved by the Mission Leadership Team by March 2018.
2	MONUSCO should update and finalize its crisis communication plan to ensure effective communication during disruptive events.	Important	Yes	Director/ Public Information Division	31 March 2018	MONUSCO concurs with the recommendation and will update and finalize the crisis communication plan. A task force was put in place and will work in conjunction with the Joint Operations Center.
3	MONUSCO should seek the Department of Field Support (DFS) guidance on how to implement the new guidelines for business continuity planning especially on how to review and define its: (a) critical business processes; (b) recovery time objectives and recovery point objectives; and (c) dependencies on other sections/units within the Mission.	Important	Yes	Mission Chief Of Staff	31 March 2018	MONUSCO has engaged with the Department of Field Support and will seek its guidance and support when defining the Mission's: (a) critical business processes; (b) recovery time objectives and recovery point objectives; and (c) dependencies on other sections/units within the Mission. This will be done by March 2018.

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.

STATUS OF AUDIT RECOMMENDATIONS

Audit of business continuity 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
4	MONUSCO should update its risk assessment to include all relevant risks such as medical, information and communications technology disaster recovery, and natural disaster risks and prioritize them as high, medium and low risks, based on their likelihood of occurrence and impact.	Important	Yes	Mission Chief Of Staff	31 March 2018	MONUSCO has engaged with the Department of Field Support and will seek its guidance to refine its risk assessment. This exercise will be completed in conjunction with the Mission's Strategic Planning Office, which has responsibility for the Mission's Risk Register. Benefit will be taken from the planned visit of a Risk team from UNHQ in January.
5	MONUSCO should take steps to ensure that section/unit heads regularly report to the Mission business continuity plan (BCP) focal point changes in BCP focal points/critical staff.	Important	Yes	Mission Chief Of Staff	30 June 2018	MONUSCO will take steps to ensure that section/unit heads regularly report changes in BCP focal points/critical staff to the Mission BCP focal point. In addition, the Mission will appoint an individual of appropriate seniority as a Focal Point in Mission Support who will coordinate the process of tracking changes of BCP focal points/critical staff across Mission Support.
6	MONUSCO should train all its critical staff on business continuity planning.	Important	Yes	Mission Chief Of Staff	30 June 2018	MONUSCO concurs with the recommendation. Briefing on ORMS/Business Continuity will happen for Mission Leadership at the next tabletop exercise shortly. Training of critical staff will commence following the identification and definition of the Mission's essential time-critical business services and maximum tolerable periods of disruption.

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7	MONUSCO should review the implementation and adequacy of its business continuity plans to ensure they are harmonized, linked with other emergency plans, cover all important offices/entities, and have arrangements in place for the identified alternative locations.	Important	Yes	Mission Chief Of Staff	30 June 2018	MONUSCO concurs with the recommendation. MONUSCO will establish an ORMS implementation group, to oversee the implementation and adequacy of its BCP activities. Furthermore, during the review of the Mission BCP, consideration will be given to facilities available at alternative locations.
8	MONUSCO should assess and allocate sufficient resources for the effective implementation of its business continuity planning activities and clarify the roles and responsibilities of the various parties involved in their implementation.	Important	Yes	Mission Chief Of Staff	30 September 2018	MONUSCO has engaged with the Department of Field Support and will seek its support in the development of a revised Mission BCP for completion by September 2018. In addition, the ORMS implementation group that MONUSCO will put in place, will provide the requisite cross functional support to those with assigned responsibility for the Mission BCP.
9	MONUSCO should develop and implement a timetable for maintenance, exercise, review, testing and updating of its business continuity plans.	Important	Yes	Mission Chief Of Staff	30 September 2018	MONUSCO will develop and implement a maintenance, exercise and review regime (timetable/schedule) that will form part of the revised Mission BCP. This will be completed by September 2018.