



Office of Internal Oversight Services

INTERNAL AUDIT DIVISION

REPORT 2016/123

Audit of the preparations for electoral support activities in the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo

Logistical support to the Government related to updating of the voters' register and holding of elections was adequately planned, but the work plan for the Electoral Unit had not been updated to include all tasks of the Mission's electoral support mandate

27 October 2016

Assignment No. AP2016/620/02

Audit of the preparations for electoral support activities in the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo

EXECUTIVE SUMMARY

The objective of the audit was to assess the adequacy and effectiveness of governance, risk management and control processes over the planning and implementation of select electoral activities in MONUSCO, i.e.: (a) planning of its logistical support to the Government of the Democratic Republic of the Congo (GoDRC) for updating the voters register and the holding of presidential and parliamentary elections; (b) monitoring of the progress made by the GoDRC towards fulfilling the seven of nine preconditions for its receipt of logistical support; and (c) transfer of electoral technical support activities to the United Nations Country Team (UNCT).

MONUSCO had adequately planned for its logistical support to the GoDRC related to updating of voters' register and the holding of presidential and parliamentary elections, was monitoring seven of nine preconditions the GoDRC needed to fulfill in order to receive logistical support for the presidential and parliamentary elections, and had transferred six of the eight technical assistance activities to the UNCT as at July 2015.

The Office of Internal Oversight Services made two recommendations. To address issues identified in the audit, MONUSCO needed to:

- Adequately plan the work of its Electoral Unit to ensure that the Mission fully addresses its electoral support mandate; and
- In consultation with the UNCT, review and establish the support requirements of the Independent National Electoral Commission related to communications and electoral information systems and logistical planning, and implement a timetable for the transfer of the related tasks.

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

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Audit of the preparations for electoral support activities 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 electoral support activities in the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo (MONUSCO).
2. The Security Council in its resolutions 2211 (2015) and 2277 (2016) mandated MONUSCO to provide logistical support to the Government of the Democratic Republic of the Congo (GoDRC) for the updating of the voters' register and the holding of presidential and parliamentary elections. The GoDRC, through its Independent National Electoral Commission (CENI), requested the Mission to: (a) transport 1,600 tons of voter registration kits (generators, cameras, fingerprint scanners, voters cards, computers and other materials) from Kinshasa to 15 hubs and 96 out of 215 satellite locations; (b) transport approximately 110 CENI personnel from hubs to the field and back; and (c) provide warehousing facilities for voter registration kits across the country. Both resolutions also require MONUSCO to: support the good offices of the Special Representative of the Secretary-General (SRSG) related to the promotion of peace consolidation and inclusive and transparent political dialogue among all Congolese stakeholders; and monitor and report to the Security Council on progress made by the GoDRC to meet preconditions for the provision of logistical support related to the presidential and parliamentary elections.
3. The MONUSCO Electoral Unit is responsible for: monitoring and preparing reports on progress made by the GoDRC to meet the preconditions for provision of logistical support; supporting the good offices of the SRSG; and liaising with the GoDRC to obtain information such as the electoral map and calendars needed for the Mission to plan its logistical support to the GoDRC. The Unit is headed by an officer at the P-5 level and supported by eight international staff located in Kinshasa. The Unit reports to the Deputy SRSG/Resident Coordinator/Humanitarian Coordinator/Resident Representative.
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 governance, risk management and control processes over the planning and implementation of select electoral activities in MONUSCO.
6. This audit was included in the 2016 risk-based work plan of OIOS due to the operational, reputational and financial risks related to the electoral support activities of MONUSCO.
7. OIOS conducted the audit from April to June 2016. The audit covered the period from 1 January 2015 to 30 June 2016. Based on an activity-level risk assessment, the audit focused on higher and medium risks areas including MONUSCO's: (a) planning for its electoral support activities; (b) monitoring and reporting to the Security Council on the progress made by the GoDRC to meet the preconditions for the provision of logistical support for the holding of elections; and (c) transfer of electoral technical support activities to the United Nations Country Team (UNCT).
8. The audit methodology included: (a) interviews of key personnel, (b) review of relevant documentation, and (c) sample checking of relevant reports to assess the existence and adequacy of internal controls.

III. OVERALL CONCLUSION

9. MONUSCO had adequately budgeted for its logistical support to the GoDRC to update the voters' register for holding presidential and parliamentary elections, was monitoring seven of nine preconditions the GoDRC needed to fulfill in order to receive logistical support for the presidential and parliamentary elections, and transferred six technical support activities to the UNCT. However, the Mission needed to: (a) adequately plan the work of its Electoral Unit to ensure that the Mission fully addresses its electoral support mandate; and (b) in consultation with UNCT, review and establish the support requirements of CENI related to communications and electoral information systems and logistical planning, and implement a timetable for the transfer of the related tasks.

IV. AUDIT RESULTS

A. Planning and implementation of electoral support

Need for adequate planning of the Electoral Unit's activities

10. Security Council resolutions 2277 and 2211 require MONUSCO to monitor, analyze and report on nine preconditions the GoDRC must meet in order for the Security Council to authorize MONUSCO to provide logistical support for the presidential and parliamentary elections. The preconditions include freedom of expression, movement of political actors, civil society and election observers, civil liberties and creating a level playing field for all political actors.

11. OIOS interviews with staff of the Electoral Unit, Public Information Division and the United Nations Joint Human Rights Office, and review of the Electoral Unit's risk register used for tracking the implementation of electoral activities of the CENI and GoDRC electoral plans indicated that MONUSCO was monitoring, analyzing and reporting on seven of the nine preconditions. The Mission was not formally monitoring and reporting on two of the preconditions, namely whether the GoDRC was: (a) establishing and implementing an electoral code of conduct and advocacy for the registered parties to sign up to; and (b) respecting the African Charter on Democracy, Elections and Governance.

12. The Unit inherited the functions and the plan of the restructured Electoral Support Section; however, the Unit did not update the plan to reflect the additional requirements of Security Council resolutions 2211 and 2277. As a result, there was a risk that the Security Council may authorize logistical support to the GoDRC when the government has not met all the preconditions. This also posed a reputational risk to the Organization.

(1) MONUSCO should update the work plan of the Electoral Unit in accordance with the Mission's mandate for electoral support.

MONUSCO accepted recommendation 1 and stated that the Electoral Unit's work plan would be updated to ensure focus on the current and future mandate for electoral support. Recommendation 1 remains open pending receipt of the updated work plan of the Electoral Unit reflecting the activities and related timetable for the Mission to fully achieve its electoral support mandate.

MONUSCO prepared a supplementary budget for the revision of the voters' register

13. Security Council resolution 2277 requires MONUSCO to provide logistical support to the GoDRC to update the voters' register for the presidential and parliamentary elections. The results-based budget process requires MONUSCO to assess and determine the resources required for the implementation of the mandate through a consultative process of all relevant MONUSCO logistical support components and key stakeholders involved in updating the voters' register and organizing elections. As the Security Council mandates for MONUSCO logistical support was issued after the 2016/17 budget process, the Mission prepared and submitted a proposed supplementary budget for \$56 million to the Department of Field Support in June 2016.

14. OIOS reviewed: the supplementary budgetary process, the Mission's logistical support concept of operations for updating the voters' register for the presidential and parliamentary elections, and the request from CENI for logistical support. OIOS also interviewed staff of the Electoral Unit, Mission Support Centre and other sections within the Mission Support Division. The audit results indicated that the Mission had a well-established logistical support structure and the Director of Mission Support had properly identified all relevant MONUSCO logistical support components, oversaw an extensive consultation process involving these components and CENI during the preparation of the supplementary budget. The supplementary budget for \$56 million accurately reflected the GoDRC requirements for the Mission to: (a) transport 1,600 tons of voter registration kits (generators, cameras, fingerprint scanners, voters cards, computers and other materials) from Kinshasa to 15 hubs and 96 out of 215 satellite locations to update the voters' register; (b) transport approximately 110 CENI personnel from hubs to the field and back; and (c) provide warehousing facilities for voter registration kits across the country.

15. OIOS concluded that MONUSCO had adequately consulted with relevant stakeholders when preparing the supplementary budget, which was in line with the Mission's approved electoral concept of operations and the CENI request.

B. Transfer of electoral technical assistance activities to the UNCT

Need to complete the transfer of electoral technical assistance activities to the UNCT

16. Security Council resolution 2098 (2013) requires MONUSCO to transfer electoral technical assistance activities to the UNCT. The United Nations Development Programme (UNDP) and CENI, in collaboration with MONUSCO, developed the Support Plan for the Electoral Cycle for the Congo (PACEC), which identified eight technical assistance activities MONUSCO was required to transfer to the UNCT.

17. OIOS interviews with staff of the Electoral Unit and review of PACEC, the list and responsibilities of personnel assigned to CENI by UNDP and MONUSCO, and the minutes of the meetings of the technical and financial partners indicated that MONUSCO had transferred six of the eight technical assistance activities to the UNCT as at July 2015. The six transferred activities were for MONUSCO to support: (a) CENI in its management and coordination of the electoral process; (b) dialogue and other activities for the prevention and management of electoral conflicts; (c) the provision of electoral and civic education; (d) the promotion of women and youth's participation in the electoral process; (e) the capacity-building activities of CENI and sustenance of the achievements made; and (f) the management of the PACEC project. MONUSCO had not transferred two other technical assistance activities namely: (a) expert support of CENI's communication and maintenance of the electoral information systems; and (b) support to the logistical planning of the CENI.

18. While MONUSCO acknowledged the need to transfer these activities, it continued to perform them, explaining that the UNCT was not yet prepared to assume them and the Mission needed to ensure continuity and reliability of the electoral information systems. However, there was no evidence that the Mission had discussed the transfer of these functions with the UNCT. MONUSCO had also not established a timetable in consultation with the UNCT to transfer these activities. Because MONUSCO had not transferred these activities, it continued to incur operational costs of the UNCT.

(2) MONUSCO should, in consultation with the United Nations Country Team, review and establish the support requirement of the Independent National Electoral Commission for communications and electoral information systems and logistical planning, and implement a timetable for the transfer of the related tasks.

MONUSCO accepted recommendation 2 and stated that it would review with UNDP the transfer of remaining tasks. Recommendation 2 remains open pending receipt of evidence that the Mission has reviewed the support requirement of the CENI related to communications and electoral information systems and logistical planning with UNCT and implemented a timetable for the transfer of the related tasks.

V. ACKNOWLEDGEMENT

19. 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 the preparations for electoral support activities 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 update the work plan of the Electoral Unit in accordance with the Mission's mandate for electoral support.	Important	O	Receipt of the updated Electoral Unit's work plan and evidence that the plan provides for the effective monitoring of all the preconditions.	31 March 2017
2	MONUSCO should, in consultation with the United Nations Country Team, review and establish the support requirement of the Independent National Electoral Commission for communications and electoral information systems and logistical planning, and implement a timetable for the transfer of the related tasks.	Important	O	Receipt of evidence that the Mission has reviewed the support requirement of the CENI related to communications and electoral information systems and logistical planning with UNCT and implemented a timetable for the transfer of the related tasks.	30 June 2017

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.

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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CONSOLIDATE PEACE

INTEROFFICE MEMORANDUM

19 October 2016
Ref. ODMS/16/OM/03829

To: Mr. Bolton Tarleh Nyema, Chief
Peacekeeping Audit Service
Internal Audit Division, OIOS

From: Guy Siri
Director of Mission Support
MONUSCO

Subject: Management Response to Draft Audit Report – Audit of electoral support activities being provided to the Government of the Democratic Republic of the Congo by United Nations Organization Stabilization Mission in the Democratic Republic of the Congo (Assignment No. AP2016/620/02)

1. Thank you for your interoffice memorandum reference IAD: 16-20 dated 06 October 2016, requesting the Mission to provide comments on the recommendations in the draft audit report on electoral support activities being provided to the Government of the Democratic Republic of the Congo by MONUSCO.

2. As requested, please find attached the Mission's response in respect of the recommendations pertaining to MONUSCO.

Best regards.

Cc Dr. Mamadou Diallo, DSRSG, RC/HC/RR
Mr. Ian Sinclair, Chief of Staff, MONUSCO
Ms. Yewande Odia, Chief, Integrated Office, MONUSCO
Mr. Dominique Adjahouinou, Chief, Electoral Unit, MONUSCO
Mr. Alain Seckler, Senior Special Assistant, ODSRSG/RC/HC/RR
Ms. Kerry Zillner, Audit Focal Point, MONUSCO
Mr. Eleanor T. Burns, Director, Internal Audit Division, OIOS
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Management Response

Audit of the preparations for electoral support activities being provided to the Government of the Democratic Republic of the Congo by 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 take appropriate action to ensure the work of the Electoral Unit is adequately planned and implemented in accordance with the Mission's mandate for electoral support.	Important	YES	Head of Electoral	31 March 2017	The Electoral Unit's work plan will be updated to ensure focus on the current and future mandate for MONUSCO's electoral support to the Independent National Electoral Commission.
2	MONUSCO should, in consultation with the United Nations Country Team, review and establish the support requirement of the Independent National Electoral Commission for communications and electoral information systems and logistical planning and implement a timetable for the transfer of the related tasks.	Important	YES	Head of Electoral	30 June 2017	The transfer of related tasks will be reviewed in consultation with UNDP in due course. In light of the situation of the financing of the Support Plan for the Electoral Cycle for the Congo project, the transfer of this expertise is not envisaged during the implementation of the 2016/2017 mandate.

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.