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INTEROFFICE MEMORANDUM

MEMORANDUM INTERIEUR

OFFICE OF INTERNAL OVERSIGHT SERVICES · BUREAU DES SERVICES DE CONTRÔLE INTERNE
INTERNAL AUDIT DIVISION · DIVISION DE L'AUDIT INTERNE

TO: Mr. Roger A. Meece
A Special Representative of the Secretary-General
MONUSCO

DATE: 20 October 2011

REFERENCE: IAD: 11- 00630

FROM: Fatoumata Ndiaye, Director
DE: Internal Audit Division, OIOS



SUBJECT: **Assignment No. AP2011/620/01 – Audit of civil affairs programme in MONUSCO**

OBJET:

Overall results relating to MONUSCO's implementation of its mandate for the protection of civilians and support to the restoration and extension of state authority and civil society organizations were partially satisfactory

1. Attached please find the final report on the above-mentioned audit.
2. Annex-I shows the status of recommendations. Please note that OIOS will report on the progress made to implement its recommendations in its annual report to the General Assembly and to the Secretary-General, quarterly for critical recommendations and annually for important recommendations 1 to 3.
3. The audit also identified a number of opportunities for improvement (see Annex-II). While OIOS will not report on the implementation of these opportunities, we encourage you to implement them to improve the efficiency and effectiveness of your operations. OIOS will review their implementation as part of future audits.
4. Please note that under General Assembly resolution 59/272, a Member State may request that the final report be made available. Also note that pursuant to General Assembly resolution 64/263, OIOS has included the complete management response as an annex to the present report.
5. We wish to express our appreciation to the Management and staff of MONUSCO for the assistance and cooperation extended to the auditors during the assignment.

cc: Mr. Fidèle Sarassoro, DSRSR Resident Coordinator/Humanitarian Coordinator, MONUSCO
Mr. Richard Snellen, Chief Civil Affairs Section, MONUSCO
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AUDIT REPORT

Audit of civil affairs programme in MONUSCO

BACKGROUND

The United Nations Organization Stabilization Mission in the Democratic Republic of the Congo (MONUSCO) is mandated to work in close cooperation with the Government of the Democratic Republic of the Congo, the United Nations Country Team (UNCT), and donors in ensuring the effective protection of civilians, humanitarian personnel and United Nations personnel and facilities, and to support the strengthening of democratic institutions and processes at the national, provincial, regional, and local levels.

The Civil Affairs Section (CAS) plays the vital role of coordinating the activities of the civil and military components of MONUSCO and humanitarian actors to consolidate expertise on the protection of civilians. CAS also performs a wide-range of functions that are at the forefront of MONUSCO's interaction with local government officials and civil society to support the strengthening of democratic institutions and processes. CAS is divided into four pillars: (a) Protection of Civilians; (b) Restoration and Extension of State Authority; (c) Support to Civil Society Organizations; and (d) Conflict Management and Support to Reconciliation. CAS has 71 authorized posts and operates from 14 field offices. For the fiscal years 2009/10 and 2010/11, CAS received budgetary allotments of \$411,200 and \$464,000, respectively, for official travel and outreach activities.

This audit was included in OIOS' 2011 risk-based work plan because civil affairs activities are critical to the achievement of MONUSCO's core mandate.

OBJECTIVE AND SCOPE

The audit was conducted to assess the adequacy and effectiveness of MONUSCO's risk management, control and governance processes in providing reasonable assurance regarding the implementation of its civil affairs programme. The key controls tested for the audit included those related to: (a) risk management and strategic planning; (b) oversight mechanisms; (c) programme performance monitoring; (d) coordinated management; and (e) programme management. The audit covered MONUSCO's activities related to the six key controls for the period 1 July 2009 to 31 December 2010.

OVERALL ASSESSMENT

In OIOS' opinion, MONUSCO's risk management, control and governance processes examined were **partially satisfactory** to provide reasonable assurance regarding the implementation of its civil affairs programme. MONUSCO had a robust planning process which could be enhanced by further engaging the Government, local communities and MONUSCO staff in provinces. Programme performance reporting complied with the performance reporting requirements of the Results Based Budgeting (RBB) framework and appropriate oversight mechanisms were in place mainly for the protection of civilians. Moreover, there was a functioning process for coordinating CAS activities, and appropriate tools had been deployed for assessing and responding to protection risks and the needs of the Government and Civil Society Organizations. However, there was a need to develop outcome indicators to assess the achievement of the Mission's goals in respect of its support to the restoration and extension of State authority and Civil Society Organizations, and data requirements for programme performance reporting had not been established.

Consultation with the Government of the Democratic Republic of the Congo, local communities and provincial civil affairs officers

There was a good process in place to develop the 2010/11 CAS annual work plan. The planning process began with the review of the relevant Security Council mandates by the Strategic Planning Cell to allocate tasks to the various sections and a planning retreat involving CAS staff and representatives of substantive offices, international non-governmental organizations and United Nations agencies, funds and programmes. However, although CAS is responsible to support the local population and the Government in strengthening conditions and structures that contribute to the establishment of sustainable peace, it did not consult these key stakeholders during the planning process to provide adequate assurance that the CAS work plan addressed their needs. There was also the need for improved participation of MONUSCO staff in the provinces in CAS work planning.

- (1) MONUSCO should implement appropriate measures aimed at enhancing the planning process for the civil affairs programme by engaging the Government of the Democratic Republic of the Congo, local communities and MONUSCO staff in the provinces in the process. This would ensure that work plans are adequately focused and directed towards risks/threats at the regional level as well as those at the national level.**

MONUSCO accepted recommendation 1 and stated that measures have been implemented to ensure consultation with the Government at the national and provincial levels, Civil Society Organizations and other stakeholders in the mid-term review of the civil affairs work plan. Civil affairs officers in the provinces and their respective heads of office actively participate in the planning process. The Mission's planning cell and the Deputy Special Representative of the Secretary-General's review will be properly documented as evidence of Senior Management's approval prior to dissemination. Recommendation 1 remains open pending receipt of evidence of consultations held with the Government, Civil Society Organization's and other stakeholders during work planning, as well as the active participation of provincial civil affairs officers.

Outcome indicators

CAS' work plan contained output indicators, which, in OIOS' view, were adequate for assessing whether protection of civilians activities had been implemented as planned. There was nevertheless a need to develop similar outcome indicators to assess the achievement of the Mission's goals in respect of its support to the restoration and extension of State authority and Civil Society Organizations.

- (2) MONUSCO should, in consultation with the Department of Peacekeeping Operations and implementing partners, establish outcome indicators which could be used to assess the achievement of the goals for the Mission's support to the restoration and extension of State authority and to Civil Society Organizations.**

MONUSCO accepted recommendation 2 and stated that it participated in the Government Stabilization and Reconstruction Plan for war-affected areas workshop held in June 2011 that endorsed the imminent development of new performance and outcome indicators for all projects, including the Mission's support to the restoration and extension of State authority and Civil Society Organizations. The Mission has also established a Civil Society Advisory Committee within UNCT, which is planning to meet quarterly to establish benchmarks and outcome indicators to assess the impact of Civil Society Organizations development activities. Recommendation 2 remains open pending confirmation that the

Mission has established outcome indicators for its support to the restoration and extension of State authority and Civil Society Organizations.

Programme management

CAS complied with the performance reporting requirement of the RBB framework, but the activities reviewed by OIOS were not fully covered in the Mission's RBB and related performance report. In particular, the data required and methodology for collecting, analyzing and reporting on progress towards achieving the goals for the protection of civilians and the Mission's support to the restoration and extension of State authority and Civil Society Organizations had not been defined.

(3) MONUSCO should, in consultation with the Department of Peacekeeping Operations and implementing partners, improve the programme performance reporting systems to include description of data required and methodology for collecting, analyzing and reporting on progress towards achieving the goals for the protection of civilians and the Mission's support to the restoration and extension of state authority and Civil Society Organizations.

MONUSCO accepted recommendation 3 and stated that there are ongoing initiatives to improve the United Nations system-wide strategy for protection of civilians, the "Harmonizing Data Gathering, Analysis, Dissemination and Monitoring and Evaluation Systems", and identifying gaps with a view to improving the prioritization of protection activities. In addition, a dedicated staff member has been placed in the office of the Deputy Special Representative of the Secretary-General to facilitate the Mission's key role in the joint coordination mechanisms and the development of innovative protection tools, including Senior Management Group for Protection and the Protection Working Group at the Mission's Headquarters, and Provincial Senior Management Groups for Protection. Recommendation 3 remains open pending receipt of evidence of the establishment of an improved programme performance reporting system that includes description of the data required and methodology for collecting, analyzing and reporting on progress towards achieving the goals for the protection of civilians and the Mission's support to the restoration and extension of State authority and Civil Society Organizations.

ACKNOWLEDGEMENT

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.

AUDIT RESULTS

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AUDIT RESULTS

I. INTRODUCTION

1. The Office of Internal Oversight Services (OIOS) conducted an audit of the civil affairs programme in the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo (MONUSCO).
2. MONUSCO' comments are incorporated in the audit results in *italics*.

II. AUDIT OBJECTIVE

3. The audit was conducted to assess the adequacy and effectiveness of MONUSCO's risk management, control and governance processes in providing reasonable assurance regarding the implementation of its mandate for the protection of civilians and support to the restoration and extension of State authority and civil society organizations (CSOs). The key controls tested for the audit included those related to: (a) risk management and strategic planning; (b) oversight mechanisms; (c) programme performance monitoring (e) coordinated management; and (e) programme management. For the purposes of this audit, OIOS defined these key controls as follows:

- (a) Risk management and strategic planning - controls that are designed to provide reasonable assurance that risks and opportunities relating to the planning of the civil affairs programme are identified and assessed and that appropriate action (e.g. strategies and work plans) is taken by the Mission to mitigate risks and seize opportunities.
- (b) Oversight mechanisms - controls that ensure that risks and opportunities are identified and that appropriate remedial actions are taken in a timely manner.
- (c) Programme performance monitoring - controls that are designed to provide reasonable assurance that metrics are established in order to ensure that the Civil Affairs Section (CAS) delivers its objectives in accordance with expectations and that performance against these metrics is reported, analyzed and communicated.
- (d) Coordinated management - controls that are designed to prevent or minimize duplication of activities and ensure that issues affecting or involving other United Nations partners and actors are identified, discussed and resolved in a timely manner to enhance the effectiveness of such activities.
- (e) Programme management - controls that provide reasonable assurance that there is sufficient project management capacity (e.g. sufficient financial and human resources and tools) and a system to report programme performance, including its financial performance, timely, accurately and completely.

III. AUDIT SCOPE AND METHODOLOGY

4. OIOS conducted this audit from January to April 2011. The audit covered activities related to the six key controls for the period 1 July 2009 to 31 December 2010. The audit included the following areas: (a) protection of civilians; (b) restoration and extension of State authority; and (c) support to CSOs. Activities relating to conflict management and support to reconciliation, being a new pillar in the 2010/11 work plan, and quick impact projects (QIPs) were excluded from this audit. A separate audit of QIPs is included in the OIOS' work plan for 2011.

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5. To gain a general understanding of the processes of CAS related to the six key controls, OIOS reviewed CAS work plan and related mechanisms and interviewed CAS officials, staff of the United Nations Office for Projects Services, United Nations Development Programme, military contingents, and local administration officials. Additionally, OIOS reviewed MONUSCO's Results Based Budget (RBB) and related performance reports. To establish criteria for the audit, OIOS reviewed the Departments of Peacekeeping Operations (DPKO) and Field Support (DFS) Policy Directive on Civil Affairs and the United Nations system-wide strategy for the protection of civilians in the Democratic Republic of Congo (DRC). To assess the adequacy and effectiveness of the coordination and oversight of civil affairs activities, OIOS reviewed the minutes of the Senior Management Groups for Protection (SMG-P) and Protection Working Group (GWG) at the Mission's Headquarters as well as the minutes of provincial senior management groups (SMG-PPs). OIOS reviewed the reports of joint protection teams (JPTs) deployed by MONUSCO to assess protection risks, the Standard Operating Procedures (SOPs) for community alert networks (CANs), and the terms of reference (TORs) and reports of community liaison interpreters (CLIs)/assistants (CLAs). The audit team visited five field offices (Bukavu, Bunia, Goma, Kisangani and Dungu). An activity-level risk assessment was conducted to identify and evaluate specific risk exposures, and to confirm the relevance of the selected four controls in mitigating the associated risks.

6. Through interviews and tests of controls, OIOS assessed the existence and adequacy of written policies and procedures, and whether they were designed in such a way as to ensure the relevance of CAS' objectives, effectiveness and efficiency of various mechanisms and systems in overseeing, coordinating and reporting on the civil affairs programme in the DRC.

IV. OVERALL ASSESSMENT

7. In OIOS' opinion, MONUSCO's risk management, control and governance processes examined were **partially satisfactory** to provide reasonable assurance regarding the implementation of its civil affairs programme. MONUSCO had a robust planning process which could be enhanced by further engaging the Government, local communities and MONUSCO staff in provinces. Programme performance reporting complied with the performance reporting requirements of the Results Based Budgeting (RBB) framework and appropriate oversight mechanisms were in place mainly for the protection of civilians. Moreover, there was a functioning process for coordinating CAS activities, and appropriate tools had been deployed for assessing and responding to protection risks and the needs of the Government and CSOs. However, there was a need to develop outcome indicators to assess the achievement of the Mission's goals in respect of its support to the restoration and extension of State authority and CSOs, and data requirements for programme performance reporting had not been established.

V. AUDIT RESULTS

A. Risk management and strategic planning

Need to improve consultation with the Government of the Democratic Republic of the Congo, local communities and provincial civil affairs staff

8. There was a good process in place to develop the 2010/11 CAS annual work plan. The planning process was robust – it began with the review of the relevant Security Council mandates by the Strategic Planning Cell within the Office of the Special Representative of the Secretary-General (SRSG) to allocate tasks to the various sections and a planning retreat involving CAS staff and representatives of substantive offices, international non-governmental organizations (NGOs) and the United Nations agencies. The

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planning process in respect of the 2010/11 work plan was more consultative than in 2009/10 and its approach enabled the Mission to identify activities and related tools to better assist in the achievement of its civil affairs mandate. However, the following was noted:

- As CAS is responsible to support the GoDRC local population and in strengthening conditions and structures that contribute to the establishment of sustainable peace, the inclusion of input of these national actors during the planning process would ensure that CAS' work plan is more focused and directed towards addressing their needs. However, there was no evidence of the Mission's consultation with the GoDRC and CSOs during annual planning of civil affairs activities.
- Civil affairs officers assigned to various provinces and/or their respective heads of offices that were responsible for their day-to-day supervision did not actively participate in the CAS planning process. Therefore, their know-how and experience were not adequately identified and consolidated in the plan, which was developed by CAS based on the United Nations system-wide strategy and the Mission's broad mandate for the protection of civilians. While provincial civil affairs officers participated in the annual planning retreat of CAS, specific activities of the provinces were not sufficiently discussed at the retreat. Action plans were developed by CAS for each of the 11 provinces based on the CAS work plan established during the retreat.
- There was no evidence of Senior Management's review and approval of the CAS work plans. According to CAS, there were informal consultations with the Deputy Special Representative of the Secretary-General (DSRSG); however, these were not documented and verifiable and therefore did not ensure proper accountability of Senior Management.

Recommendation 1

(1) MONUSCO should implement appropriate measures aimed at enhancing the planning process for the civil affairs programme by engaging the Government of the Democratic Republic of the Congo, local communities and MONUSCO staff in the provinces in the process. This would ensure that work plans are adequately focused and directed towards risks/threats at the regional level as well as those at the national level.

9. *MONUSCO accepted recommendation 1 and stated that measures have been implemented to ensure consultation with the GoDRC at the national and provincial levels, CSOs and other stakeholders in the mid-term review of the civil affairs work plan. Civil affairs officers in the provinces and their respective heads of office actively participate in the planning process. The Mission's planning cell and the DSRSG review will also be properly documented as evidence of Senior Management's approval prior to dissemination.* Recommendation 1 remains open pending receipt of evidence of consultations held with the GoDRC, CSOs and other stakeholders during the work planning process as well as the active participation of provincial civil affairs officers.

B. Oversight mechanisms

Oversight of support to the restoration and extension of State authority and civil society organizations needed to be improved

10. MONUSCO had established and implemented appropriate oversight mechanisms for its civilian protection activities. However, the Mission's support to the restoration of State authority, which was also

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part of the I-SSSS, was exclusively covered by oversight bodies independent of MONUSCO. There was no MONUSCO-specific oversight of its support to the restoration of State authority and there was no oversight of the Mission's support to CSOs.

11. Pursuant to the decision of the United Nations Policy Committee, an overarching system-wide strategy for the protection of civilians in DRC was jointly developed by MONUSCO and UNHCR in October 2009. Security Council resolution 1925 tasked MONUSCO to implement this strategy. In compliance with its SOPs on Protection Mechanisms, MONUSCO established a Senior Management Group for Protection (SMG-P) at its Headquarters in Kinshasa. This group was responsible to ensure the implementation of the protection strategy.

12. Each province was also expected to establish a SMG-PP. Out of the initial four provinces that were required to establish SMG-PP, only one, the Equator Province, had not established a functioning SMG-PP. OIOS visited selected provinces in the East, including North and South Kivu, and found that they had functioning SMG-PPs. Province Oriental, which was differently configured as each district was considered unique, had also established SMG-PPs at the district level. The SMG-PPs met at least twice a month to discuss protection issues and take action within their respective delegation of authority on recommendations of JPTs and similar reports of CANs established and maintained by MONUSCO. The minutes of their meetings were forwarded to the Mission's Headquarters in Kinshasa.

13. There were a number of initiatives ongoing to improve the reporting by SMG-PPs to Mission's Headquarters and increase responsiveness to situations on the ground. For example, additional reporting officers were hired to improve data analysis and uniform SMG-PP reporting templates had been circulated by the SRSB while the audit was in progress.

14. **The Mission's support activities for the restoration of state authority and CSOs will benefit from oversight mechanisms similar to the ones implemented for the protection of civilians. Rather than establishing separate Senior Management Groups, the Mission may wish to amend the TOR of the SMG-PP to include oversight of the Mission's support activities at the provincial levels.** *MONUSCO stated that it will update the TOR to include oversight of the Mission's support activities at the provincial level.*

Evaluation of civil affairs activities required

15. Evaluation is judgement made of the relevance, appropriateness, effectiveness, efficiency, impact and sustainability of activities, based on agreed criteria and benchmarks among key partners and stakeholders. It involves a rigorous, systematic and objective process in the design, analysis and interpretation of information to answer specific questions. It provides assessments of what works and why, highlights intended and unintended results, and provides strategic lessons to guide decision-makers and inform stakeholders.

16. MONUSCO routinely conducts reviews but not formal evaluation of civil affairs activities. For example, civil affairs officers and the Stabilization Unit conduct periodic review of the pillars and the results of these reviews are presented to the Comité Technique de Coordination – Technical Coordination Committee at the provincial level. Additionally, a review of protection measures was undertaken each year and in connection with its annual work planning. CAS assessed the progress made on the four pillars in the previous year and made recommendations for the next year. The reviews tended to lean heavily towards assessing the achievement of outputs and not the cost-effectiveness of the activities and their impact and sustainability.

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17. **MONUSCO may wish to commission an evaluation of the civil affairs activities and use its results to make enhancements to the implementation approach or strategies where necessary.** *MONUSCO stated that it has commissioned a mid-term review of the civil affairs programme. The results of the review and other measures will be used to enhance the Mission's implementation strategy as necessary.*

C. Programme performance monitoring

Need to develop outcome indicators

18. CAS' work plan for the period covered by the audit contained output indicators which, in OIOS' view, were generally adequate for assessing whether planned activities had been implemented. Additionally, for the protection of civilians pillar, one of the 10 indicators related to an outcome and could be used to assess the achievement of the primary goal of "improved protection of civilians". However, there were no outcome indicators in respect of the Mission's support to the restoration and extension of State authority and CSOs.

19. The lack of outcome indicators to assess the achievement of the goals for the Mission's support to the restoration and extension of State authority and CSOs may be attributed to the absence of a United Nations policy directive or a requirement for such indicators. There were many entities in the DRC, including the United Nations, that were implementing the International Security and Stabilization Support Strategy (I-SSSS) for the GoDRC Stabilization and Reconstruction Plan for war-affected areas (STAREC), to which CAS provided support through its pillar on restoration and extension of state authority. Without a policy directive or any specific requirement, it was understandably difficult for CAS to establish outcome indicators for its support to CSOs and to establish indicators, independent of the ones specified in the I-SSSS and STAREC, to assess the impact of its activities on the restoration and extension of state authority.

Recommendation 2

(2) MONUSCO should, in consultation with the Department of Peacekeeping Operations and implementing partners, establish outcome indicators which could be used to assess the achievement of the goals for the Mission's support to the restoration and extension of state authority and to Civil Society Organizations.

20. *MONUSCO accepted recommendation 2 and stated that it participated in the STAREC workshop held in June 2011 that endorsed the imminent development of new performance and outcome indicators for all projects, including the Mission's support to the restoration and extension of State authority and CSOs. The Mission has also established a Civil Society Advisory Committee (CSAC) within the United Nations Country Team (UNCT), which is planning to meet quarterly to establish benchmarks and outcome indicators to assess the impact of CSO development activities.* Recommendation 2 remains open pending confirmation that the Mission has established outcome indicators for its support to the restoration and extension of State authority and CSOs.

D. Coordinated management

Coordination of activities for the protection of civilians and support to the extension of State authority and CSOs were adequate

21. In general, the coordination mechanisms in place for the protection of civilians and support to the extension of state authority and CSOs were adequate and effective. There were indications that these mechanisms helped prevent duplication of efforts and that they enhanced MONUSCO's ability to identify risks and the needs of the local community and the GoDRC, and to calibrate appropriate responses to address those needs. Following are examples of coordination activities.

- The strategy for the protection of civilians in DRC was jointly developed by MONUSCO and UNHCR. JPTs, which were routinely deployed to assess civilian protection risks, monitor humanitarian conditions and protection of vulnerable people, and investigate reports of human right violations, included representatives from all relevant substantive sections of the Mission including the Child Protection Officers, peacekeepers, and United Nations police and Forces Armées de la République Démocratique du Congo (FARDC). The CANs, which were used to gather intelligence on threats to civilians, relied on coordinated efforts of military, local communities, interpreters hired by CAS, and United Nations entities. CAS participates in some stages of planning of military operations to help focus military actions on high-risk areas.
- During its annual work planning, CAS coordinated with members of the UNCT to identify priority projects including the construction/renovation of state and local government buildings, opportunity for capacity building and technical advice.
- CAS maintained the database of registered CSOs that is used by donors, international partners and the UNCT. Additionally, CAS participates in donor group coordination meetings.

22. As recommended in paragraph 8, MONUSCO's civil affairs activities could benefit substantially from improved consultation with the GoDRC.

C. Programme management

Need for comprehensive programme management reporting system

23. CAS complied with the performance reporting requirement of the RBB framework, but the activities reviewed by OIOS were not fully covered in the Mission's RBB and related performance report. In particular, there were no programme performance reporting systems that include description of the data required and methodology for collecting, analyzing and reporting on progress towards achieving goals for the protection of civilians and the Mission's support to the restoration and extension of State authority and CSOs. The Mission's reporting under the RBB framework exclusively related to the achievement of output and not outcome goals of civil affairs activities. This was evidenced by the work plan monitoring reports prepared by field civil affairs officers and the annual consolidated work plan monitoring report prepared by CAS. Although there were criteria (for example; reduction in the level of violence against vulnerable population, state presence and authority, movement of population and perception of security by the population) that could be used to assess the achievement of the Mission's civilian protection goal, the relevant data for such assessment and the methodology for accumulating, analyzing and reporting had not been clarified. There were no criteria to assess the achievement of the goals for the restoration and extension of State authority and CSOs.

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24. The absence of a comprehensive programme management reporting system may be attributed to the lack of a policy directive or a requirement for such an integrated system. Whereas MONUSCO recognized the need for such a system, it lacked the capacity to clarify the data requirement and establish the methodology for collecting and analyzing data on outcome indicators. Moreover, as there were other entities including the United Nations High Commissioner for Refugees (UNHCR) and the GoDRC that were implementing protection related activities, it was difficult for MONUSCO to establish the level of improvement in the protection of civilians that could be attributed to its activities. Regarding the Mission's support to the restoration of State authority and CSOs, there were more actors that made it difficult for MONUSCO to assess the impact of its activities.

Recommendation 3

(3) MONUSCO should, in consultation with the Department of Peacekeeping Operations and implementing partners, improve the programme performance reporting system to include description of the data required and methodology for collecting, analyzing and reporting on progress towards achieving the goals for the protection of civilians and the Mission's support to the restoration and extension of state authority and civil society organizations.

25. *MONUSCO accepted recommendation 3 and stated that there are ongoing initiatives to improve the United Nations system-wide strategy for protection of civilians, the "Harmonizing Data Gathering, Analysis, Dissemination and Monitoring and Evaluation Systems", and identifying gaps with a view to improving the prioritization of protection activities. In addition, a dedicated staff has been placed in the office of the DSRSG to facilitate the Mission's key role in the joint coordination mechanisms and the development of innovative protection tools, including SMG-P, PWG, and SMG-PP.* Recommendation 3 remains open pending receipt of evidence of the establishment of an improved programme performance reporting system that includes description of the data required and methodology for collecting, analyzing and reporting on progress towards achieving the goals for the protection of civilians and the Mission's support to the restoration and extension of State authority and CSOs.

Staffing resources constraints need to be addressed

26. Civil affairs officers were primarily responsible for coordinating and leading the activities of the civil and military components of MONUSCO and humanitarian actors in the assessment of protection risks and investigation of violations. They were also responsible for facilitation and implementation of outreach activities such as training, seminars, and workshops for CSOs and local government officials, processing of the logistical support requests of CSOs and government officials, and accumulating, analyzing and reporting on civil affairs activities. At the time of the audit, CAS had 71 authorized posts. Overall, there were six vacant posts or 8 per cent, which was considered reasonable. In addition, CAS has the ability to draw on the unique expertise of other substantive sections of the Mission such as Child Protection, Human Rights, military and police, particularly regarding the assessment of protection risks and investigation of reports of abuse. The provincial heads of offices were also part of the CAS team as they serve as the first reporting officers of the civil affairs officers in their respective provinces.

27. Notwithstanding the above, civil affairs officers in the provinces informed OIOS that they were stretched and OIOS' field visits observed that the staffing levels at some locations did not always appear to be adequate for the tasks required to be accomplished. For example, Goma in the East were allocated 10 posts of which three were vacant. Other locations such as Beni and Bunia in the East and Kananga and Matadi in the West were allocated two to five staff respectively. In OIOS's view, these indicate the

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need for the Mission to formally evaluate the workload, particularly within the context of the extended use of community alert networks and the recruitment of community liaison interpreters and community liaison assistants in order to establish the optimum staffing requirement for each location. The increase in the number of community liaison interpreters have invariably increased the workload of provincial civil affairs officers who are responsible for coordinating activities of community alert networks and community liaison interpreters.

28. The Mission would benefit by taking more innovative measures to augment the capacity of CAS in the field. In 2009/10, MONUSCO spent \$45.4 million on mission subsistence and other allowances of 760 military observers deployed in the field. There exists an opportunity to use services of some of these observers for protection of civilians reporting and analysis activities at provincial level without additional cost to the Mission. **MONUSCO could evaluate the workload of the CAS and appropriately align the staffing levels with its work plan requirements to ensure that there are adequate resources for the operation of community alert networks and the management of community liaison interpreters/assistants.** *MONUSCO stated that it has initiated a process for the recruitment of 56 additional national staff and United Nations volunteers to augment the existing capacity of the CAS in the field. In addition, the Mission is considering increasing the management and analytical capacities of the programme for the next RBB. The proposal for using services of military observers in the field at no additional cost to the Mission is also under consideration.*

The tracking of joint protection teams recommendations needed improvement

29. Security Council resolutions 1906 and 1925 recognize JPTs as one of the best practices and successful protection measures that needed to be built on by MONUSCO. During the period covered by the audit, however, there was a decline in the use of JPTs. During the 12-month period from 1 July 2009 to 30 June 2010, a total of 65 JPTs were deployed. This is equivalent to five JPTs per month. However, from 1 July to 31 December 2010, only 18 JPTs were deployed or an average of three JPTs per month. The SRSRG issued communications to concerned officers to address the decline in the output and take remedial actions.

30. However, there were no systematic mechanism for recording, monitoring and reporting on the implementation of the JPTs' recommendations in field offices. For example, the CAS work plan monitoring report for December 2010 indicated only the number of recommendations made, i.e. 64, and not the status of implementation, as required. As a result, the timely implementation of the recommendations of the JPTs could not be assured. The recommendations of the JPTs were assigned to the concerned substantive officers such as Child Protection for implementation, but there was no procedure within CAS to record all recommendations, follow up on their implementation and dispose of them as appropriate.

31. While no specific situation was identified whereby the failure to implement a recommendation resulted in the occurrence of a preventable risk, the lack of a recommendation monitoring system was limiting the Mission's ability to properly assess protection risks in a timely manner and report, in a comprehensive manner, on the implementation of protection measures.

32. **MONUSCO would benefit from implementing a mechanism for recording, monitoring and reporting on the implementation of recommendations made by JPTs.** *MONUSCO stated that its protection mechanisms, including SMG-P, PWG and SMG-PP will record, monitor and report on implementation of JPT recommendations. A dedicated staff member of the Office of DSRSG will facilitate the recording, monitoring and reporting on the implementation of recommendations by JPTs. A Protection/Reporting Analyst, assisted by a Joint Human Rights Office staff, has also been made available to support the management of the SMG-PP.*

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Community alert networks project evaluation required

33. Within the context of Security Council resolutions calling for the increased use of Early Warning Centers (EWC), community liaison and other measures, the Mission embarked on the establishment of 25 CANs. There were three interconnected elements of a typical CAN, namely: (i) MONUSCO Company Operating Base (COB) or EWC, (ii) CLIs/CLAs, and (iii) focal points to provide an interface between MONUSCO and local communities, as well as the relevant language skills and extend the Mission's reach to the most vulnerable communities.

34. The deployment of the CANs was delayed. The CAN project plan envisaged that all 25 CANs would be fully operational by 28 February 2011. However, as at 31 March 2011, only 11 CANs (44 per cent) were fully operational. In North Kivu, only two of the 11 proposed CANs were fully operational on 25 March 2011. In Bukavu, the setting up of five CANs started only in January 2011 and not in December 2010 as planned. There were delays in activating phones in regions where CANs had been set up. A number of planned activities such as the drafting of force specific intervention response SOPs for responding to imminent threats to the vulnerable population had also been delayed.

35. The Mission did not fully consider the practical realities on the ground before deploying the CANs. For example, 12 closed user group communication equipment was purchased for 25 CANs without a preliminary survey to establish the actual requirements which varied from location to location.

36. Additionally, although the Mission had not evaluated the use and impact of the 25 pilot CANs as required, based on a requisition from the Communications Information and Technology Section for the establishment of new CANs under phase II, the Procurement Section issued a new Request for Proposal for the establishment of 91 additional CANs. At the time of the audit, the procurement process was at the award stage. The Mission needs to perform the required evaluation as there were some concerns relating to the implementation of the pilot project as indicated by the following examples:

- Provincial local authorities as well as the FARDC that were in the best position to support the CANs had not been involved in the project.
- The requirement that only certain officials of local governments and the FARDC needed to be involved in and informed about the project had reduced the ability of MONUSCO to obtain the support of provincial and national authorities.
- The implementation of CANs project provides for partnership with an international NGO to provide HF radio networks at five locations without cell phone coverage. However, there was no formal arrangement between MONUSCO and the NGO. As a result, the Mission lacked the basis to evaluate the use and impact of this aspect of the CANs project.
- The SMG-PP meeting of 15 February 2011 in Bukavu expressed serious reservations about the project.

37. **MONUSCO would benefit from evaluating the community alert network project and conducting an assessment to establish risks involved in the project and related mitigating measures, and take appropriate actions in connection with the results of such exercises.** *MONUSCO stated that it has commissioned a mid-term review of CAN project on 27 May 2011 as well as an evaluation of the CAN project at the end of 2011.*

AUDIT RESULTS

Logistical support vetting procedures need to be adhered to

38. MONUSCO is required to provide logistics support, mainly air transport, to facilitate safe access for humanitarian, development, governmental and civil society partners. CAS had established appropriate procedures for vetting requests for logistical support. These included pre-qualifying CSOs that met certain requirements, verifying that requests for logistical support came from qualified CSOs and that the requests were in connection with a qualified activity, and issuance of Movement of Personnel (MoPs) to travelers.

39. CAS processed 20,699 electronic MoP requests during the period, mainly for representatives of CSOs, United Nations agencies, NGOs, and local civil administration. CAS vetted organizations wishing to use the Mission' aircraft through a partner registration process. This process, which was a key control in ensuring that the travelers were on assignments that support the mandate of the Mission, was not always strictly adhered to. Ten out of the 13 sampled NGOs (76 per cent) did not meet registration requirements including, for example, the requirement for each partner to provide GoDRC license and proof of sustainable funding. About eight fraud incidents were reported by the Mission during the audit period, with two cases in Kisangani having been perpetrated by partner organizations.

40. **MONUSCO may wish to identify and take appropriate measures to ensure that civil society organizations meet established registration requirements before they or their representatives are provided with logistical support.** *MONUSCO stated that it endeavors to ensure all eligible NGOs/CSOs meet established requirements before logistical support is extended.*

AUDIT RESULTS

ANNEX I

STATUS OF RECOMMENDATIONS
Assignment No. AP2011/620/01-Audit of civil affairs programme in MONUSCO

Recom. No.	Recommendation	Risk category	Risk rating	C/O ¹	Actions needed to close recommendation	Responsible individual	Implementation date
1.	MONUSCO should implement appropriate measures aimed at enhancing the planning process for the civil affairs programme by engaging the Government of the Democratic Republic of the Congo, local communities and MONUSCO staff in the provinces in the process. This would ensure that work plans are adequately focused and directed towards risks/threats at the regional level as well as those at the national level.	Strategic	Important	O	Receipt of evidence consultations held with the GoDRC, CSOs and other stakeholders during work planning as well as the active participation of provincial civil affairs officers.	Richard Snellen	31 /12/2011
2.	MONUSCO should, in consultation with the Department of Peacekeeping Operations and implementing partners, establish outcome indicators which could be used to assess the achievement of the goals for the Mission's support to the restoration and extension of state authority and to Civil Society Organizations.	Strategic	Important	O	Confirmation that the Mission has established outcome indicators for its support to the restoration and extension of State authority and CSOs.	Richard Snellen	31 /12/2011
3.	MONUSCO should, in consultation with the Department of Peacekeeping Operations and implementing partners, improve the programme performance reporting systems to include description of the data required and methodology for collecting, analyzing and reporting on progress towards achieving the goals for the protection of civilians and the Mission's support to the restoration and	Operational	Important	O	Receipt of evidence of the established of an improved programme performance reporting system that includes description of the data required and methodology for collecting, analyzing and reporting on progress towards achieving the goals for the protection of civilians and the Mission's support to the restoration and extension of State authority and	Richard Snellen	30/06/2012

AUDIT RESULTS

Recom. No.	Recommendation	Risk category	Risk rating	C/O ¹	Actions needed to close recommendation	Responsible individual	Implementation date
	extension of state authority and civil society organizations.				CSOs.		

1 C = closed; O = open

AUDIT RESULTS

ANNEX II

OPPORTUNITIES FOR IMPROVEMENT

Assignment No. AP2011/620/01-Audit of civil affairs programme in MONUSCO

Para. no.	Opportunity for improvement	Client comments
14	The Mission's support activities for the restoration of state authority and CSOs will benefit greatly from oversight mechanisms similar to the ones implemented for the protection of civilians. Rather than establishing separate Senior Management groups, the Mission may wish to amend the terms of the reference of the SMG-PP to include oversight of the Mission's support activities at the provincial levels.	The Mission Senior Management Group agrees to update the TOR to include oversight of the Mission's support activities at the provincial level. This will be implemented by end of September 2011.
17	MONUSCO may wish to commission an evaluation of the civil affairs activities and use its results to make enhancements to the implementation approach or strategies where necessary.	The Mission has taken action to improve monitoring and evaluation of the civil affairs program as follows: (i) a mid-term review of the civil affairs programme project has been commissioned by Senior Management; (ii) polling baselines and indicators of achievements have been developed and undertaken through studying samples of various groups of people at different points in time; (iii) a survey will be conducted to determine types, scales, patterns and trends in the perceptions of local populations about the quality and outcomes of civil affairs activities; and (iv) monitoring of monthly output is being done at the central level and sector offices through performance evaluation against agreed targets. The results of these measures will then be used to enhance the Mission's implementation strategy as necessary.
28	MONUSCO could evaluate the workload of the Civil Affairs Section and appropriately align the staffing levels with its work plan requirements to ensure that there are adequate resources for the operation of community alert networks and the management of community liaison interpreters/assistants.	MONUSCO stated that it has initiated a process for the recruitment of 56 additional national staff and United Nations volunteers to augment the existing capacity of the CAS in the field. In addition, the Mission is considering increasing the management and analytical capacities of the programme for the next RBB. The proposal for using services of military observers in the field at no additional cost to the Mission is also under consideration.
32	MONUSCO would benefit from implementing a mechanism for recording, monitoring and reporting on the implementation of recommendations made by Joint Protection Teams.	Protection mechanisms, including SMGP/PWG (chaired by SRSG) and SMGPP (chaired by the head of office) will record, monitor and report on implementation of JPT recommendations. The dedicated staff to the DSRSG RC/HC office will also facilitate the recording, monitoring and reporting on the implementation of recommendations by JPTs. A Protection/Reporting Analyst assisted by a Joint Human Rights Office (JHRO) staff has also been made available to support the management of the SMGPP.
37	MONUSCO would benefit from evaluating the community	Senior Management endorsed the recommendation and commissioned a mid-term review

AUDIT RESULTS

	<p>alert network project and conducting an assessment to establish risks involved in the project and related mitigating measures, and take appropriate actions in connection with the results of such exercises.</p>	<p>of the Community Alert Network (CAN) project on 27 May 2011 as well as evaluation of the CAN project at the end of the year.</p>
40	<p>MONUSCO may wish to identify and take appropriate measures to ensure that civil society organizations meet established registration requirements before they or their representatives are provided with logistical support.</p>	<p>MONUSCO endeavors to ensure all eligible NGO/CSOs meet established requirements before logistical support is extended. Activities are matched to the civil affairs work plan. Representatives are also vetted to ensure that they genuinely represent their constituencies, are key actors in humanitarian assistance and/or development programmes, and/or enhance the continuous dialogue between the populations, Government and development partners. Only heads of civil affairs sector offices authorize registration of partners. Regular spot checks will be undertaken to ensure compliance of the registration requirements in the sectors.</p>