



OIOS

Office of Internal Oversight Services

INTERNAL AUDIT DIVISION

AUDIT REPORT

Planning of logistical support for major activities in MINUSTAH

The Mission's Logistics Support Plan needs to be updated taking into account critical activities mentioned in the relevant Security Council Resolutions

20 November 2008

Assignment No. AP2008/683/02

United Nations  Nations Unies

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. Hédi Annabi
A Special Representative of the Secretary-General
United Nations Stabilization Mission in Haiti

DATE 20 November 2008

REFERENCE IAD: 08- 01970

for 
FROM Dagfinn Knutsen, Director
DE Internal Audit Division, OIOS

SUBJECT **Assignment No. AP2008/683/02 – Planning of logistical support for major activities in**
OBJET **MINUSTAH**

1. I am pleased to present the report on the above-mentioned audit.
2. Based on your comments, we are pleased to inform you that we will close recommendations 1, 4, 5 and 7 in the OIOS recommendations database as indicated in Annex 1. In order for us to close the remaining recommendations, we request that you provide us with the additional information as discussed in the text of the report and also summarized in Annex 1.
3. Please note that OIOS will report on the progress made to implement its recommendations, particularly those designated as high risk (i.e., recommendations 3 and 6, in its annual report to the General Assembly and semi-annual report to the Secretary-General.

cc: Mr. Luiz Carlos Da Costa, Principal Deputy SRSG, MINUSTAH
Mr. Paul Aghadjanian, Chief of Mission Support, MINUSTAH
Mr. Swatantra Goolsarran, Executive Secretary, UN Board of Auditors
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Mr. Seth Adza, Audit Response Team, DPKO/DFS
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INTERNAL AUDIT DIVISION

FUNCTION

“The Office shall, in accordance with the relevant provisions of the Financial Regulations and Rules of the United Nations examine, review and appraise the use of financial resources of the United Nations in order to guarantee the implementation of programmes and legislative mandates, ascertain compliance of programme managers with the financial and administrative regulations and rules, as well as with the approved recommendations of external oversight bodies, undertake management audits, reviews and surveys to improve the structure of the Organization and its responsiveness to the requirements of programmes and legislative mandates, and monitor the effectiveness of the systems of internal control of the Organization” (General Assembly Resolution 48/218 B).

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EXECUTIVE SUMMARY

Planning of logistical support for major activities in MINUSTAH

The Office of Internal Oversight Services (OIOS) conducted an audit of the planning of logistical support for major activities in the United Nations Stabilization Mission in Haiti (MINUSTAH). The overall objective of the audit was to assess the planning of logistical support for major Mission activities including compliance with relevant rules and procedures. The audit was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.

The logistics support plans prepared by the Mission, in the most part, were adequate to allow the sections to perform their duties. However, there were opportunities to improve the preparation of logistics plans including:

- Finalizing and approving Standard Operating Procedures;
- Ensuring that the Mission's logistics support plan is reviewed, updated and finalized, taking into consideration the newly-assigned mandates by the Security Council;
- Ensuring that adequate supporting documentation to all the integrated support service instructions are duly signed by management and properly filed; and
- Implementing a project monitoring tool for logistics planning, as well as the execution of major mission logistics support activities, to allow for adequate tracking and reporting.

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I. INTRODUCTION

1. The Office of Internal Oversight Services (OIOS) conducted an audit of the planning of logistical support for major activities in the United Nations Stabilization Mission in Haiti (MINUSTAH). The audit was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.
2. Logistic support services within MINUSTAH are coordinated centrally by the following sections in the Mission Integrated Support Services:
 - (a) Joint Logistics Operation Centre (JLOC)
 - (b) Supply Section
 - (c) Engineering Section
 - (d) Aviation Section
 - (e) Medical Section
 - (f) Transport Section
 - (g) Movement Control (MovCon)
 - (h) Communications and Information Technology Section (CITS)
 - (i) Logistics Section; and
 - (j) Contingent-Owned Equipment (COE) Verification Section.
3. These sections, staffed by an integrated team of civilian, military and United Nations Police (UNPol) logistics personnel, report to the Chief of Mission Integrated Support Services (CMISS).
4. Comments made by MINUSTAH are shown in *italics*.

II. AUDIT OBJECTIVES

5. The overall objective of the audit was to assess the planning of logistical support for major Mission activities including compliance with relevant rules and procedures.

III. AUDIT SCOPE AND METHODOLOGY

6. The audit reviewed planning activities conducted in the three fiscal years 2005/2006, 2006/2007 and 2007/2008, and focused on 21 of the 51 logistics support plans for major mission activities during this period. The audit methodology comprised a review of policies and procedures; analysis of data; interviews with key personnel; assessment of internal controls; and verification of processes where appropriate.
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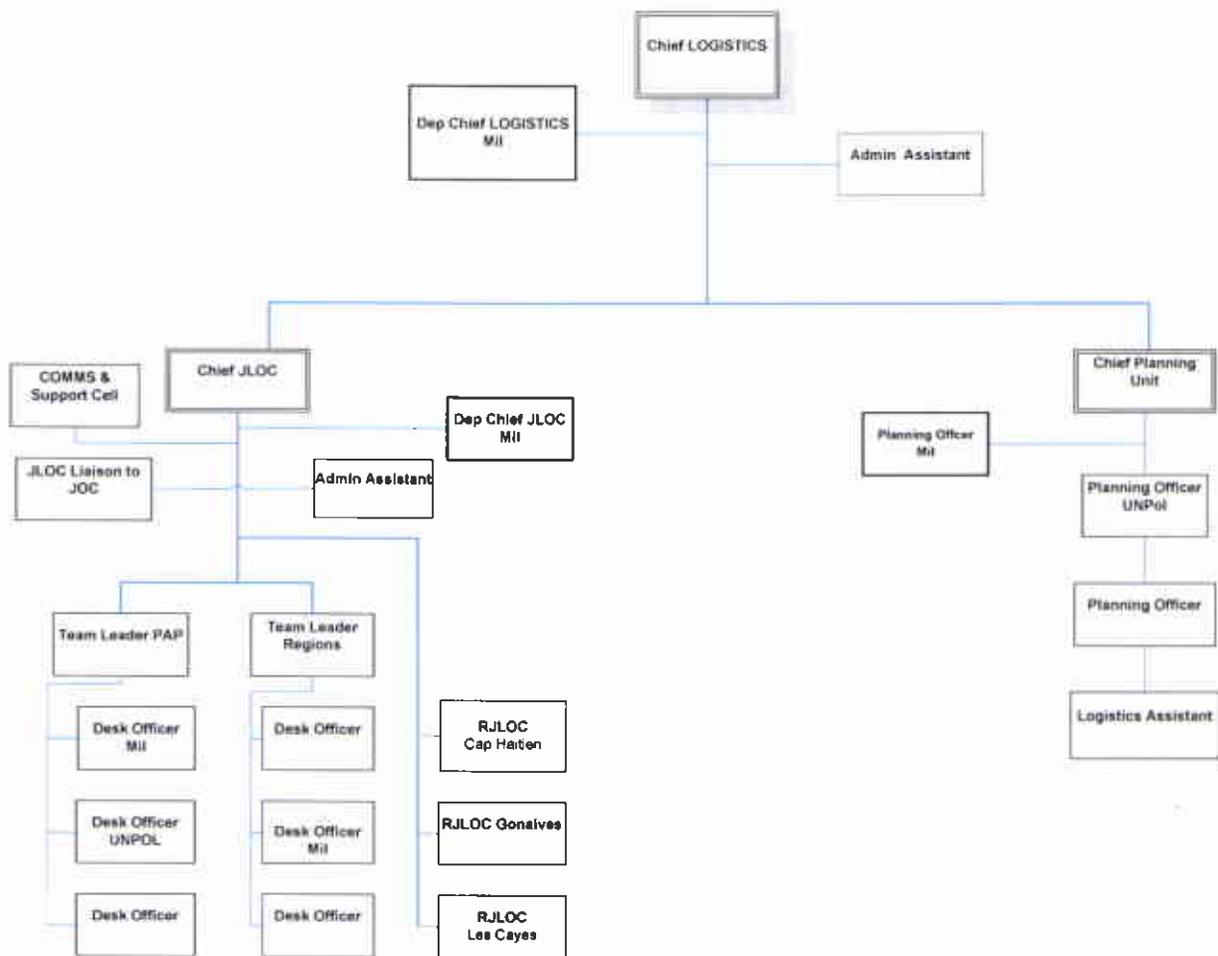
IV. AUDIT FINDINGS AND RECOMMENDATIONS

A. The organizational structure

7. The provision of effective, efficient and timely logistics support to carry out the Mission’s mandates requires a well-established organizational structure.

8. The Mission’s Logistics Support organizational setup was not in accordance with the December 2007 DPKO/DFS draft policy directive. The JLOC constituted a separate unit under the Chief of Logistics with different terms of reference as established by the directive. Below is the current structure of the Mission’s Logistics Section and the structure suggested by the directive:

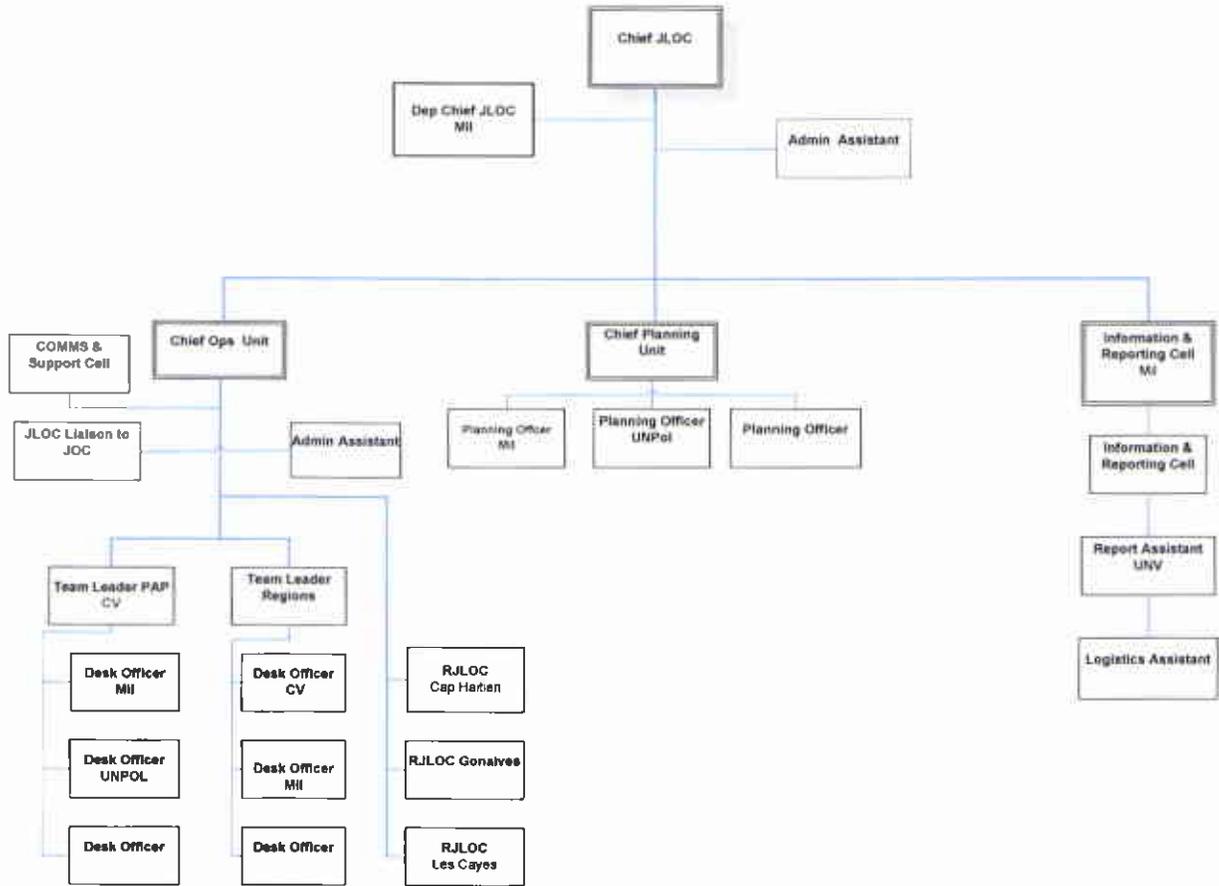
**Current Mission Logistics Section
Organizational Chart**



9. The current Logistics Section’s organizational chart indicates a Chief and Deputy Chief of Logistics with two pillars, namely JLOC and Planning units,

which are each headed by a chief that reports to the Chief of Logistics. The organizational chart as suggested by the DPKO/DFS policy directive calls for a Chief and Deputy Chief of JLOC with three main pillars, which cover operations, planning, and information and reporting as indicated in the figure below.

Logistics Section Organization chart as suggested by DFS guidelines



10. With the present structure, there is a risk of overlap in the functions and responsibilities of the Chief, Logistics Section and those of the Chief, JLOC. Some critical functions called for by the DPKO/DFS policy directive may not be implemented. For example, the current organigram does not include an Information and Reporting Cell, which is a critical function for planning and reporting purposes. Also, synergies between key functions such as planning operations, information and reporting may not be achieved.

11. Moreover, although the Logistics Section and its units have established annual work plans, there were no finalized terms of reference in line with their structure and responsibilities. Additionally, although, the Logistics Section and its units have established annual work plans in relation to the work plan of the Mission Integrated Support Services (MISS), the plans were general and did not relate to specific periodic tasks as mandated by the Security Council resolutions and/or described in the mission mandate implementation plan. For example, there

was no reference to the key mandated activities such as border management which was a critical activity under the current mandate.

Recommendation 1

(1) The MINUSTAH Office of Mission Support should review the Logistics Section's organizational structure to comply with the draft guidelines issued by the Department of Field Support and to ensure synergies between key functions such as planning operations, information and reporting.

12. *The MINUSTAH Office of Mission Support accepted recommendation 1 and stated that the structure was defined by CISS in May/June 2005, and it was only after this that Headquarters informed the Mission about the recommended structure. However, as of November 2008, most of the changes recommended by DPKO/DFS (in the referred document "Policy on Joint Logistics Operations" dated 6 December 2007) have been put in place. This includes the creation of an Information & Reporting Cell, the deployment of one Logistic Staff to JLOC on a full-time basis and the change in title of the section chief to Chief, JLOC. The Chief, JLOC has now three supporting pillars: Operations, Plan Units and the Information & Reporting Cell. Based on the action taken by MINUSTAH to reorganize JLOC in line with the suggested structure, recommendation 1 has been closed.*

B. Standards and guidelines

Standard Operation Procedures

13. It is a good practice for organizational units to have standard operating procedures (SOPs) and terms of reference to guide staff and to optimize operations. It is MINUSTAH's responsibility to develop and disseminate mission specific logistics SOPs.

14. While there were no SOPs for the fiscal year 2006/2007, the Planning Unit has made progress in 2007/2008 in developing SOPs. OIOS identified six SOPs relevant to the functions and organization structure of the Logistics Section and the Planning Unit, of which five were critical as listed in the table below:

Table 1: Status of relevant Standard Operating Procedures applicable to the Planning Unit as at 4 April 2008

SOP #	Title of Standard Operating Procedure	Approved by	Date of Approval	Dated/ Signed by CMIS & CMS (yes/no)
101.01	Organization, Functions and Tasks of JLOC	CMIS	01/04/2008	no
103.01	Organization, Functions and Tasks of Planning	CMIS	01/03/2008	no

Unit				
105.01	Lines of Communication	CMIS	01/04/2008	no
108.01	Format for Mission Integrated Support (MIS) Instructions	CMIS	01/04/2008	no
114.01	Logistics Support to Contingent Rotations	CMIS	01/04/2008	no

15. At the time of the audit, the unit was in the process of finalizing the SOPs. The Chief, Logistics Section advised that the approval of the SOPs was nearing completion, noting that the delays were due to the turnaround time given to relevant staff to carry out the review process. No timeframe was provided as to when the SOPs would be finalized and disseminated.

Recommendation 2

(2) The MINUSTAH Office of Mission Support should finalize standard operating procedures to guide staff and to ensure efficiency of operations and uniformity in procedures relating to logistics support activities.

16. *The MINUSTAH Office of Mission Support accepted recommendation 2 and stated that all MIS JLOC Section SOPs were forwarded to the CMIS Office on 16 September 2008. Recommendation 2 remains open pending the receipt of a copy of the finalized SOPs.*

C. The Mission Logistics Support Plan

17. The process used to review and subsequently approve important documents such as the Mission Logistics Support Plan and the Integrated Support Service (ISS) instructions, as well as other relevant documents establishing authority and accountability were not adequate. For example, the MINUSTAH Logistics Support Plan should have been used by the Planning Unit as a guiding document in the preparation of individual support plans. This included two Security Council resolutions, mainly 1542 (2004) and 1608 (2005), the Mission implementation plan; and the Military Strategic Concept of Operations dated 24 August 2005 and 23 March 2006.

18. The Logistics Support Plan had never been updated to take into consideration appropriate Security Council Resolutions, which at times had included substantial and critical activities in the Mission mandates including border management and co-location activities. Given the importance of this guiding document, it is essential that the Logistics Support Plan be adjusted every time a Security Council resolution on MINUSTAH is significantly amended.

Recommendation 3

(3) The MINUSTAH Office of Mission Support should update and finalize the Mission Logistics Support Plan taking into consideration all critical activities mentioned in Security Council resolutions.

19. *The MINUSTAH Office of Mission Support accepted recommendation 3 and stated that it will be implemented by 1 December 2008.* Recommendation 3 remains open pending the receipt of a copy of the updated Mission Logistics Support Plan.

Individual Logistics Support Plans – by Activity (ISS Instructions)

20. ISS instructions are prepared after a service request for logistics support. Of a review of 21 ISS instructions, OIOS found that they were standardized and contained elements adopted from the MINUSTAH Logistics Support Plan. Each instruction was identified by an instruction number, date of preparation, subject and other supporting reference material. Overall, the ISS instructions were found to be generally well drafted. However, OIOS identified areas that could be improved, as follows:

(a) Pre-planning activities

21. The majority of pre-planning for the required logistics support was via e-mail and telephonic discussions. Although meetings were held in some cases, there was little or no evidence of the outcome of the meetings and the proposed action. In OIOS' opinion, the lack of a structured, planning and communication process which ensures collaboration between the Planning Unit and its clients might cause inaccuracies and inefficiencies in the drafting of the ISS instructions.

(b) Validation, verification of ISS instructions

22. Three ISS instructions dated 2006 and 2007 were pending formal approval, namely instruction numbers 029/2006; 059/2006 and 058/2007.

23. More critical to the Mission is instruction number 058/2007 calling for MINUSTAH to redeploy a number of military and UNPol to select border crossings, air and sea ports. The aim was to reinforce the Government of Haiti's (GoH) presence at such locations and assist in the development of GoH's capacity to deter destabilizing cross-border illicit activities while maintaining a stable and secure environment.

24. As a tracking tool for this activity, the Planning Unit prepared a support matrix showing the location, the services to be provided and the stages thereof. The matrix is well drafted and gives a good breakdown of the tasks to be undertaken by the various sections expected to provide logistics support.

25. However, the lack of approval in relation to completed plans results in failure to provide evidence of timely validation and authorization for the use of Mission resources.

Recommendation 4

(4) The MINUSTAH Office of Mission Support should ensure that key planning, implementation and reporting documents are systematically reviewed and approved to enable accountability.

26. *The MINUSTAH Office of Mission Support accepted recommendation 4 and stated that the process of reviewing and approving planning documents is ongoing.* Based on the assurances provided by management that documents are now subject to review, recommendation 4 has been closed.

(c) Supporting documentation

27. The availability and sufficiency of supporting documentation attached to ISS instructions serves as evidence for the existence of a planned activity and justification for the use of Mission resources. Table 2 below lists some of the instructions that either lacked appropriate documentation or where such documentation was not attached to the appropriate instruction.

Table 2: Instructions without sufficient supporting documentation

Instruction Number	Name of Activity	Date	Findings/Comments
ISS Instruction NR 023/2006	Deployment of fuel Farm	22-May-06	Instruction originated from the ISS however no reference document attached.
ISS Instruction NR 029/2006	UN Military plan for natural and man-made disasters	08-Jun-06	Military plan not attached.
ISS Instruction NR 042/2006	UNPol Co-location plan	24-Aug-06	The HNP/UNPol plan used to draft the instruction was not signed by UNPol management.
ISS Instruction NR 069/2006	Deployment of new NepBat	30-Dec-06	The e-mail used to support the instruction was not attached.
ISS Instruction NR 026/2007	Movement of FAOs Seed/Bean 2007 Agricultural Campaign	22-Jun-07	Letter from the representative of FAO was missing in the supporting documents.
ISS Instruction NR 034/2007	Closing of Hotel Plaza and consequent relocation of UNPol offices to TEBO	24-Jul-07	Instruction to close down Hotel Plaza originating from HQ was not attached to the ISS instruction.

ISS Instruction NR 052/2007	Redeployment of the Urubat1 "A" Coy and rehabilitation of former transit camp	19-Nov-07	Force Commander's order for the redeployment not part of the supporting documentation.
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Recommendation 5

(5) The MINUSTAH management should ensure that each instruction/plan is supported by appropriate documentation indicating the origin of the requested logistics support needs to serve as evidence for planned logistical activities and justification for the use of Mission resources.

28. *The MINUSTAH management accepted recommendation 5 and stated that its implementation is ongoing.* Based on the assurances provided by management and OIOS' assessment of the supporting documentation provided, recommendation 5 has been closed.

Key Elements of the ISS Instructions

(a) The Situation, Mission and Concept of Operations

29. The majority of plans reviewed included all important elements contained in the main logistics support plan and were generally well documented with regards to the situation, mission and the concept of operations. In OIOS' opinion, improvements could be made in specifying the assumptions for instance those relating to the security situation, and the weather conditions that could derail or affect the ability to supply the required support activities. Of the 21 ISS instructions reviewed, only two (or 10 per cent) took into consideration such factors.

30. Instruction number 048/2007 (Logistics support to the Ministry for Public Health and Population (MSSP) Vaccination Programme) underlines the importance of factoring in certain assumptions. The vaccination campaign covers nearly all the regions and each region is susceptible to different weather, road and security conditions. As a result, it was important to factor in these elements into the ISS instruction.

(b) Tasks included within the ISS instructions

31. Tasks are normally assigned to various sections including the JLOC, Engineering, Transport, Supply, MovCon, CITS, Medical and Aviation, where applicable.

32. Interviews were conducted with the above-mentioned sections to establish whether tasks were realistic and achievable. While in general it was stated that tasks were achievable, some concerns were raised as follows:

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- The ISS instructions, in some cases, had been prepared from previous ISSs, by ‘cutting and pasting’. As a result, insufficient thought had been given to the specifics and changing nature of the activity when compared to previous tasks;
 - The turn-around time given to complete a task was sometimes not realistic, resulting in rushed logistics support and therefore causing dissatisfaction with the quality of the services provided; and
 - There was insufficient communication in certain instances between the various sections, which at times led to poor coordination of the provision of logistics supporting activities.

Recommendation 6

(6) The MINUSTAH Office of Mission Support should ensure that the Integrated Support Service instructions factor in possible constraints due to security issues and adverse weather conditions, as well as ensure they include more specific tasks to allow the appropriate implementation of the instructions by the relevant support sections.

33. *The MINUSTAH Office of Mission Support accepted recommendation 6 and stated that JLOC will include more specific tasks to allow for the appropriate implementation of instructions by the relevant MIS Sections. JLOC will also ensure that relevant security and adverse weather constraints are factored in to all MIS Instructions.* Recommendation 6 remains open pending verification that JLOC is adequately reflecting security and weather constraints in its plans, as well as more specific tasks to facilitate the implementation of instructions.

Relationships between the Logistics Planning and Recipients

34. OIOS visited and conducted interviews with specific recipients benefitting from the logistics support activities in relation to the Mission’s border management and co-location activities. The recipients generally expressed satisfaction with how the Planning Unit translated their needs through planning and execution of supporting activities. However, the following was found:

- For ISS instruction 058/2007, for logistics support for the Belladere Border Post, concern was raised relating to the lack of training provided for the communication equipment installed. Training had been requested for all military and UNPol Officers. Moreover, the ISS called for the provision of basic office accommodation and communications. This had not been satisfactorily implemented. The office roof was leaking, and there were no handles on the doors to allow the office to be secure.
- For ISS instruction 058/2006, for co-location activities in Port au Prince, due to a lack of adequate communication between UNPol and the

Logistics Planning Unit, OIOS observed there was no concept of operations supporting the instruction. Both UNPol and the Logistics Section indicated that coordination for these activities was ineffective.

Recommendation 7

(7) The MINUSTAH Office of Mission Support should conduct regular site visits to locations where logistics support activities are conducted in order to determine if the appropriate tasks are implemented as prescribed by the Integrated Support Service instructions.

35. *The MINUSTAH Office of Mission Support accepted recommendation 7 and stated that its implementation is ongoing. Visits to the region are conducted on a weekly basis, where at least two locations are visited per trip. The Mission is also coordinating and organizing visits with other MIS sections. In addition, R/JLOC personnel in the regions and Desk Officers are monitoring planned and ongoing support activities as prescribed by MIS Instructions. Based on the action taken by the Mission, recommendation 7 has been closed.*

D. Monitoring logistics plans

36. The Mission uses Excel spreadsheets to monitor plans, which may not be the most efficient tool for the purpose. OIOS' review noted that this monitoring tool was not regularly up-dated and therefore not fully effective. For instance, we could not determine: (a) the status of the ISS instruction; (b) the responsible drafter; (c) the targeted completion date; and (d) whether after action reports had been prepared.

37. The Chief, Logistics Planning Unit stated that the development of this monitoring tool was an internal initiative. However, they were looking at improving the procedures for tracking their plans and developing a monitoring tool, to be linked to the activities of the operations unit.

38. The lack of an adequate monitoring tool may give rise to ineffective or inefficient measurement of achievement against planned activities.

Recommendation 8

(8) The MINUSTAH Office of Mission Support should establish an adequate system, which is regularly up-dated, to monitor logistic planning and to allow for adequate tracking and reporting.

39. *The MINUSTAH Office of Mission Support accepted recommendation 8 and stated that JLOC, together with CITS, will determine the most suitable application to document and track MIS instructions as well as the operational progress by the various MIS support sections. Updating will be done on daily basis. Recommendation 8 remains open pending confirmation that an adequate system has been established to track the MIS instructions.*

V. ACKNOWLEDGEMENT

40. We wish to express our appreciation to the Management and staff of MINUSTAH for the assistance and cooperation extended to the auditors during this assignment.

STATUS OF AUDIT RECOMMENDATIONS

Recom. no.	Recommendation	Risk category	Risk rating	C/O ¹	Actions needed to close recommendation	Implementation date ²
1	The MINUSTAH Office of Mission Support should review the Logistics Section's organizational structure to ensure that it is in line with the draft guidelines issued by the Department of Field Support to ensure synergies between key functions such as planning operations, information and reporting.	Compliance	Medium	C	Action complete	Implemented
2	The MINUSTAH Office of Mission Support should finalize standard operating procedures to guide staff and to ensure efficiency of operations and uniformity in procedures relating to logistics support activities.	Compliance	Medium	O	Submission of finalized SOPs.	Implemented
3	The MINUSTAH Office of Mission Support should update and finalize the Mission Logistics Support Plan taking into consideration all critical activities mentioned in Security Council resolutions.	Operational	High	O	Submission of the updated Mission Logistics Support Plan.	1 December 2008
4	The MINUSTAH Office of Mission Support should ensure that key planning, implementation and reporting documents are systematically reviewed and approved to enable accountability to be established.	Compliance	High	O	Action complete	Implemented
5	MINUSTAH management should ensure that each instruction/plan is supported by appropriate documentation indicating the origin of the requested logistics support needs to serve as evidence for planned logistical activities and justification for the use of Mission resources.	Compliance	Medium	C	Action complete	Implemented
6	The MINUSTAH Office of Mission	Compliance	High	O	Verification by OIOS that JLOC is	Immediate

Recom. no.	Recommendation	Risk category	Risk rating	C/O ¹	Actions needed to close recommendation	Implementation date ²
	Support should ensure that the Integrated Support Service instructions factor in possible constraints due to security issues and adverse weather conditions, as well as ensure they include more specific tasks to allow the appropriate implementation of the instructions by the relevant support sections.				adequately reflecting security and weather constraints in its plans, as well as more specific tasks to facilitate implementation of instructions.	
7	The MINUSTAH Office of Mission Support should conduct regular site visits to locations where logistics support activities are conducted in order to determine if the appropriate tasks are implemented as prescribed by the Integrated Support Service instruction.	Operational	High	C	Action complete	Implemented
8	The MINUSTAH Office of Mission Support should establish an adequate system, which is regularly up-dated, to monitor logistic planning and to allow for adequate tracking and reporting.	Operational	Medium	O	Verification by OIOS that an adequate system has been established to track the MIS instructions.	1 December 2008

¹ C = closed, O = open

² Date provided by MINUSTAH in response to recommendations