Programme Managers Report

Triennial review of the implementation of recommendations made by the OIOS evaluation of DPPA

8 May 2024

IED-24-007



INSPECTION AND EVALUATION DIVISION

Function "The Office shall evaluate the efficiency and effectiveness of the implementation of the programmes and legislative mandates of the Organization. It shall conduct programme evaluations with the purpose of establishing analytical and critical evaluations of the implementation of programmes and legislative mandates, examining whether changes therein require review of the methods of delivery, the continued relevance of administrative procedures and whether the activities correspond to the mandates as they may be reflected in the approved budgets and the medium-term plan of the Organization;" (General Assembly Resolution 48/218 B).

Project team members include:

David Zhao, Project Lead

Contact Information	OIOS-IED Contact Information: phone: +1 212-963-8148; fax: +1 212-963-1211; email: <u>ied@un.org</u>
	Patty Chang, Chief of Section
	Tel: +1 212-963-1736, e-mail: <u>changp@un.org</u>
	Demetra Arapakos, Deputy Director
	Tel: +1 917-367-6033, e-mail: <u>arapakos@un.org</u>
	(Eddie) Yee Woo Guo, Director
	Tel: +1 917-367-3674, e-mail: <u>guoy@un.org</u>

Contents

Sum	Summary		
I.	Introduction	4	
١١.	Recommendations	4	
Reco	ommendation 1: Management culture and communication	4	
Recommendation 2: Different viewpoints and greater boldness in political analyses		7	
Recommendation 3: A strategy for addressing hindering factors to conflict prevention			
Reco	Recommendation 4: External partnerships		
III.	Conclusion	12	
Ann	Annex: Comments received from DPPA		

Summary

The present report of the Office of Internal Oversight Services (OIOS), prepared by the Inspection and Evaluation Division, presents the findings of the triennial review to assess the implementation of recommendations emanating from the 2020 OIOS evaluation of the Department of Political and Peacebuilding Affairs (DPPA).

The triennial review was conducted through: (a) a review of progress reports on the status of recommendations; (b) an analysis of relevant information, documents, and reports; (c) interviews with DPPA staff; and (d) a web search for further information.

OIOS determined that the four recommendations were implemented.

Recommendation 1 requested that DPPA strengthen management culture and communication through enhancing management communication practice, ensuring that internal feedback is given on analyses, seeking external feedback from senior clients, responding to issues raised in the 2019 Staff Engagement Survey, and strengthening knowledge management. Almost all DPPA Divisions were found to conduct regular Division staff meetings, with most Divisions conducting monthly staff meetings. External feedback from the Executive Office of the Secretary-General was reported to have been provided through regular interactions, including a series of meetings where feedback was given on specific products. An action plan was developed and implemented to address issues raised in the 2019 Staff Engagement Survey, with improved results in the 2021 Survey. A comprehensive policy on knowledge management was released, whereupon Policy and Best Practices Officers and focal points were appointed, a workshop was held, and new guidance was developed following lessons learned exercises. While internal feedback on analyses has been ensured at the division level, DPPA noted there was still minimal feedback from above.

Recommendation 2 requested that DPPA establish a mechanism for staff to anonymously voice different viewpoints on political analyses and to encourage greater boldness in those analyses. In response, DPPA commissioned a study to assess the suitability and implications of establishing a dissent channel mechanism within the Department. The study concluded that dissent channels would not be appropriate for DPPA and for addressing the challenges identified in the OIOS evaluation, and instead provided five alternative recommendations to encourage richer analysis and debate.

Recommendation 3 requested that DPPA establish a strategy for addressing hindering factors to conflict prevention. DPPA pointed to their 2020-2022 Strategic Plan, in which the high-level goals and strategic objectives of the Department are outlined, along with its capacities and resources for achieving the goals, and amid a number of challenges in the global context of conflict prevention. DPPA tracked and monitored progress against 63 indicators from their 2020-2022 Results Framework, designed to measure achievement of the outcomes of the Plan, 43 of which saw improvement from 2019 to 2022.

Recommendation 4 requested that DPPA strengthen its external partnerships through identifying a greater number of relevant external partners, developing an overall partnership strategy, and better leveraging existing partnerships in the development system. On partnership strategy, DPPA referred to their 2020-2022 Strategic Plan, in which Goal 2 committed to strengthened partnerships; and a regional strategy, in which partnerships were included among five guiding principles. Eight out of nine indicators relevant to external partnerships from their 2020-2022 Results Framework saw improvement from 2019 to 2022, and examples of partnerships of the Department were provided through documentation.

I. Introduction

1. At its sixty-first session, in 2021, the Committee for Programme and Coordination considered the report of the Office of Internal Oversight Services (OIOS) on the evaluation of the Department of Political and Peacebuilding Affairs (DPPA) (E/AC.51/2021/3).

2. The Committee appreciated the report.

3. In the present triennial review, OIOS examined the status of implementation of the four recommendations. All four were assessed to have been implemented.

- 4. The methodology for the triennial review included:
 - (a) A review of progress reports on the status of recommendations monitored by the TeamMate+ recommendation tracking database of OIOS;
 - (b) An analysis of relevant information, documents, and reports obtained from DPPA on various issues related to the recommendations;
 - (c) Virtual interviews with a purposive sample of key DPPA staff, including desk officers and senior management;
 - (d) A web search for further information on external partnerships of DPPA.

5. The report incorporated comments from DPPA during the drafting phase. The final report was shared with DPPA for its response, which is provided in the annex. OIOS expresses appreciation for the cooperation and assistance provided by DPPA in the conduct of the review.

II. Recommendations

Recommendation 1: Management culture and communication

6. Recommendation 1 reads as follows:

The Department should strengthen management culture and communication through:

- Enhancing management communication practice, including conducting regular Division staff meetings
- Ensuring that internal feedback is given on analyses, and exploring the use of relevant platforms (e.g. Microsoft Teams or SharePoint) to do so
- Proactively seeking external feedback from senior clients, including the Executive Office of the Secretary-General
- Responding to issues raised in the Staff Engagement Survey of 2019
- Strengthening knowledge management to better share and disseminate case study information and lessons learned around conflict prevention

Indicators of achievement: regular division meetings; regular internal feedback given as part of analysis review process; action plan to address issues from Staff Engagement Survey

7. With regard to enhancing management communication practice, almost all Divisions, including both DPPA thematic divisions as well as regional divisions under the shared DPPA-Department of Peace Operations (DPO) structure,¹ conduct regular Division staff meetings. Five out of six DPPA thematic divisions² and seven out of eight regional divisions³ provided evidence of their two most recent staff meetings,⁴ demonstrating a regular cadence of meetings ranging from once every few months to twice a week; most Divisions hold monthly staff meetings. One regional division had not conducted any staff meetings in the past year; however, it indicated plans to organize such meetings in the future. Additionally, the Under-Secretary-General (USG) of DPPA met with every division in the first and fourth quarters of 2020, and with five divisions in the first quarter of 2022. There was also a joint DPPA-DPO Town Hall held in January 2024.

8. Despite some positive examples and regular feedback given at the division level, DPPA noted little improvement in feedback on analyses from above since the 2020 evaluation. On Multi-Year Appeal project proposals, DPPA provided evidence of consolidated feedback each year to all divisions that developed Multi-Year Appeal projects, from a review group comprised of the Office of the Under-Secretary-General (OUSG) of DPPA, the corresponding Office of the Assistant Secretary-General (OASG), and Gender, Peace and Security focal points. The DPPA desk officers interviewed noted the consistently higher level of engagement at the division level, including feedback received from deputy directors and directors, in contrast to a low level of engagement at the OUSG and OASG levels. When feedback was received from the OUSG and OASG, it was largely perceived as editorial and ad-hoc.

9. On external feedback being sought from the Executive Office of the Secretary-General (EOSG), DPPA reported that OUSG and EOSG were in constant touch, with feedback being provided back and forth through regular interactions, and a series of meetings with EOSG counterparts were held wherein feedback was given on specific products. One key example highlighted was the flow of information from EOSG, where DPPA reported improved sharing of information following discussions on the issue. Documented evidence of meetings with EOSG on the topic of feedback was provided in three instances: one in October 2023 on Secretary-General reports, one in May 2022 on general feedback, and one in October 2020 discussing three separate issues.

10. Following the 2019 UN Staff Engagement Survey, DPPA developed an action plan to address issues raised in the survey as well as in other sources.⁵ The action plan had five key goals with specific initiatives and activities defined for each, broken down by immediate action ("quick wins") and medium- to long-term action; this action plan addressed all the lowest-scoring dimensions from the survey. The Action Plan has been continuously updated based on implementation and ongoing staff concerns and needs on a rolling basis. Some of these actions have been implemented; for example, DPPA Anti-Racism

¹ See the DPPA/DPO Organigramme (2019), available at <u>https://peacekeeping.un.org/en/dppadpo-organigramme-2019</u>.

² The six DPPA thematic divisions are the Security Council Affairs Division, the Electoral Assistance Division, the Policy and Mediation Division, the Division for Palestinian Rights, the Decolonization Unit, and the Peacebuilding Support Office. A contact for the Division for Palestinian Rights to provide evidence of Division staff meetings was not provided.

³ The eight regional divisions are the Middle East Division, the Asia Pacific Division, the Western Africa Division, the Central and Southern Africa Division, the Northern Africa Division, the Eastern Africa Division, the Europe and Central Asia Division, and the Americas Division.

⁴ The two most recent staff meetings that had occurred in the past year as of February 2024.

⁵ From the action plan: USG conversations with staff, focus groups, surveys, gender conversations, Town Halls, and the goals of the Gender Parity Action Plan and Staff Training and Engagement Programme (STEP).

Advocates were appointed in December 2022, and an email was sent out from the Anti-Racism Advocates in December 2023 summarizing initiatives undertaken in the past year, with links to resources and focus areas for 2024. In addition, two recent copies of the DPPA Building Our Pillar Weekly Newsletter, together with an email on Standards of Conduct, demonstrated ongoing efforts by DPPA to keep staff informed and to maintain dialogue and awareness on important issues. Furthermore, a comparison of data between the 2019 and 2021 Staff Engagement Surveys revealed improvements in how staff assessed four dimensions (including two addressed in the action plan) of staff morale,⁶ as shown in Figure I below.





11. The DPO-DPPA Policy on Knowledge Management and Organizational Learning was released in 2020 as a comprehensive document containing guiding principles and well-defined processes for knowledge management. Policy and Best Practices Officers and focal points were appointed across all missions and offices. A DPPA code cable summarized the outcomes of a 2023 workshop, attended by 16 Policy and Best Practices Officers/Focal Points from 13 field entities, and emphasized the importance of organizational learning while also requesting missions to submit their guidance and learning priorities. Since 2020, 16 End of Assignment Reports, 5 After Action Reviews, 3 Lessons Learned, and 2 Practice Notes have been uploaded to the Policy and Practice Database,⁸ the official repository for guidance and lessons learned products. Additionally, lessons learned exercises have led to the development of new guidance or the revision of existing guidance, including, for example, the Guidelines on Procedures and Criteria for DPPA Training Courses,⁹ and a gender-sensitivity checklist for DPPA Directors.¹⁰ Furthermore, DPPA Results Framework data indicated that learning and

⁶ Career and development, and gender and diversity.

⁷ Percentage values in the chart correspond to the percentage of survey respondents who responded favorably to questions belonging to that dimension.

⁸ As of February 2024.

⁹ Responding to a recommendation from a 2023 DPPA Training Self-Evaluation.

¹⁰ Responding to a recommendation from an evaluation assessing the gender sensitivity of analytical products.

accountability exercises were consistently undertaken since 2019, with an increase in the number of brownbag discussions, as illustrated in Figure II below.



Figure II: Number of learning and accountability exercises undertaken across DPPA

12. Based on the above, OIOS considers this recommendation to have been implemented. OIOS encourages continued efforts towards ensuring that internal feedback is given on analyses beyond the division level.

Recommendation 2:

Different viewpoints and greater boldness in political analyses

13. Recommendation 2 reads as follows:

The Department should establish a mechanism for staff to anonymously voice different viewpoints on political analyses and to encourage greater boldness in those analyses. In establishing this mechanism, the Department may want to review and adapt existing models of dissent channels that are used in various national foreign ministries. *Indicator of achievement*: mechanism established and in use

14. In response to this recommendation, DPPA commissioned a study in 2021 to assess the suitability and implications of establishing a dissent channel mechanism within the Department. The study was conducted by a consultant and involved a desk review and interviews with DPPA staff to examine the context, advantages, and risks of the dissent channel model in foreign ministries, as well as its application to DPPA. Moreover, the study deconstructed the challenges of staff voicing different viewpoints and of encouraging greater boldness in analyses, and explored other opportunities that could be pursued in addition to, or as an alternative to, the dissent channel mechanism.

15. The report of the study was finalized in 2022, wherein it was assessed that dissent channels would not be appropriate for DPPA and for addressing the challenges identified in the OIOS evaluation. The report instead presented five alternative recommendations to encourage richer analysis and debate

within the Department, including periodically conducting long form or in-depth analysis; adjusting processes so that different types of analyses were used more appropriately in internal communications; convening regular meetings on substantive topics at the regional divisional level; increasing interface between desk officers and team leaders with departmental senior leadership; and a process for elevating lower-profile conflict prevention files.

16. Based on the above, OIOS assessed this recommendation to have been implemented. OIOS encourages thoughtful consideration and follow-up to the five alternative recommendations proposed in the dissent channel study.

Recommendation 3:

A strategy for addressing hindering factors to conflict prevention

17. Recommendation 3 reads as follows:

The Department should establish a strategy for addressing hindering factors to conflict prevention. This could be developed through an internal process that would consider new approaches for addressing these hindering factors, as well as strategies for more complex situations, to feed into senior decision-making. *Indicator of achievement*: strategy established and applied

18. The DPPA 2020-2022 Strategic Plan outlines the Department's specific approach to conflict prevention. The high-level document presents the overarching goals and strategic objectives of DPPA over the three-year period, with an overview of its key capacities and resources for achieving the goals. It refers to a number of challenges in the global context of the conflict prevention mandate of DPPA, including the regional nature of conflicts and their spillover effects, the recurrence of conflicts, the growing role of non-state actors pursuing extremist agendas, the effects of climate change, pressures from digital technologies, deep divisions among major powers, and a declining faith in multilateralism.

19. With regard to implementation of the Strategic Plan, DPPA has been tracking and monitoring progress against the 63 indicators contained in its Results Framework. These indicators were designed to measure achievement against the expected accomplishments of the Framework, defined as intermediate outcomes for the strategic objectives of the Plan. An analysis of Results Framework data from 2019 to 2022 showed that most of the 63 indicators (43) had seen progress, as shown in Figure III below. Despite multiple shocks, including COVID-19 and the outbreak of the Ukraine war between 2020 to 2022, DPPA adapted and managed multiple challenges while exceeding its targets under the Results Framework. DPPA also developed a Risk Register in 2020, in which definitions of risk and hindering factors to the work of the Department in conflict prevention are captured across areas such as COVID-19, management of financial resources, the Women, Peace and Security Agenda, and for each of the goals in the Strategic Plan, along with internal controls and the responses of DPPA to address them.

Figure III: Progress of DPPA Results Framework indicators from 2019 to 2022 (n=63)



20. On the basis of the above, OIOS assessed this recommendation to have been implemented.

Recommendation 4: External partnerships

21. Recommendation 4 reads as follows:

The Department should strengthen its external partnerships through:

- Proactively identifying a greater number of relevant external partners for strengthening conflict prevention work
- Developing an overall partnership strategy to identify goals, objectives, types and complimentary capacities of external partners
- Better leveraging existing partnerships in the development system to improve coordination with the Development Cooperation Office, the resident coordinator system and other development partners

Indicators of achievement: increase in number of external partnerships; partnerships strategy developed; plan for increased coordination with development partners in place

22. With regard to a partnership strategy, the DPPA 2020-2022 Strategic Plan included *Goal 2: Strengthen Partnerships for Prevention and Resilience*, which reaffirmed the support of the Department to UN bodies and organs, and committed to strengthened partnerships at the regional, national, and local level. DPPA also developed a Great Lakes Regional Strategy that proposed an integrated approach to leverage the political, operational, and programmatic expertise of the UN in support of a peaceful, inclusive, prosperous, and resilient region that emphasized opportunities for peace, security, and people-centered development. Partnerships were included as one of five guiding principles, with mention of key groups and stakeholders.

23. Furthermore, an OIOS analysis of DPPA Results Framework data from 2019 to 2022 revealed a positive trend in eight out of nine indicators relevant to external partnerships,¹¹ as seen in Table 1 below.

¹¹ All seven indicators under *Strategic Objective 5: Strengthened partnerships and the regional, national, and local level,* in addition to the indicator "# Common Country Analyses informed by departmental analysis" under Expected Accomplishment 1.1, and the indicator "# cross-sectoral and cross-disciplinary partnerships formed in support of innovative approaches" under Expected Accomplishment 6.3.

Indicator	Number in 2019 vs. 2022
# joint strategies and interventions with the regional organizations	
	55 30
	2019 2022
# of cases where South-South and Triangular cooperation is promoted	15 18
through joint initiatives with regional organizations	
	2019 2022
# of joint high-level visits under the Joint United Nations-African Union	
Framework for an Enhanced Partnership in Peace and Security	1
	0
	2019 2022
# of briefings by UN officials to the African Union Peace and Security	40 41
Council	
	2019 2022
# of joint analysis and assessments with World Bank in priority country	
contexts	5
	2
	2019 2022
# of countries with UNDP-DPPA Joint Programme initiatives to build	73
national capacities	56
	2019 2022

Table 1: 2019 and 2022 values for DPPA Results Framework partnership-related indicators



24. A web search on UN websites together with an OIOS analysis of DPPA documentation¹² identified the following examples of partnerships between the Department and external entities:

- The Joint United Nations Development Programme (UNDP)-DPPA Programme on Building National Capacities for Conflict Prevention is a signature cross-pillar initiative that aims to enhance UN support to national stakeholders on conflict prevention and sustaining peace.¹³
- The UN-World Bank Partnership Framework for Crisis-Affected Situations highlights a joint commitment to strengthen coherence, engagement, and coordination for prevention while reducing needs, risks, and vulnerability in efforts to leave no one behind. The Peacebuilding Support Office of DPPA serves as the Secretariat for the partnership on the UN side.¹⁴
- The UN Conceptual Approach to integrated climate-related security risk assessments was developed by the Climate Security Mechanism, a joint initiative between DPPA, UNDP, the United Nations Environment Programme, and DPO, in collaboration with partners from across and beyond the UN system.¹⁵
- A Development Coordination Office (DCO) Thematic Paper on Peacebuilding and Sustaining Peace offers insights into the engagement of DPPA with DCO and the resident coordinator system.¹⁶

¹² United Nations Peacebuilding, " Community Engagement Guidelines on Peacebuilding and Sustaining Peace," (August 2020); DPPA-UNDP-UNEP, "Climate Security Mechanism Toolbox: Conceptual Approach," (2020); and S/2020/1168 (Great Lakes Strategy).

¹³ See: https://dppa.un.org/en/peace-and-development-advisors-joint-undp-dppa-programme-building-national-capacities-conflict

¹⁴ See: https://www.un.org/peacebuilding/policy-issues-and-partnerships/partnerships/un-worldbank-partnership

 $^{{}^{15}\,{\}rm See:\,https://dppa.un.org/en/climate-security-mechanism-toolbox-conceptual-approach}$

¹⁶ See: https://www.un.org/peacebuilding/sites/www.un.org.peacebuilding/files/for_dco_thematic_paper_0602020.pdf

- The United Nations Community Engagement Guidelines on Peacebuilding and Sustaining Peace was developed by a joint UN-Civil Society working group led by the DPPA Peacebuilding Support Office through an innovative, inclusive, and consultative process.¹⁷
- The 2020-2022 Multi-Year Appeal of DPPA embodies the efforts of the Department in engaging partners for funding support.¹⁸
- 25. On the basis of the above, OIOS assessed this recommendation to have been implemented.

III. Conclusion

26. Early indications of positive results identified with these actions, as reported by DPPA staff interviewed and/or determined in documents reviewed, include:

- a. Increased number of meetings held at the Division level and improvement in staff morale along four dimensions from the 2021 Staff Engagement Survey;
- b. Concerted effort in exploring mechanisms to incorporate different viewpoints and bolder analyses;
- c. Overall increase in the number of different external partnerships created; and
- d. Development of a plan to address conflict prevention and its hindering factors.

¹⁷ See: https://www.un.org/peacebuilding/content/un-community-engagement-guidelines-peacebuilding-and-sustaining-peace-0

¹⁸ See: https://dppa.un.org/sites/default/files/mya.pdf

Annex: Comments received from DPPA



TO: Ms. Fatoumata Ndiaye, Under-Secretary-General

DATE: 6 May 2024

A: for Internal Oversight Services

REFERENCE: CLASSIFICATION: Unclassified

THROUGH:

S/C DE:

- FROM: Rosemary A. DiCarlo, Under-Secretary-General Rosemany S. D. Ca. La for Political and Peacebuilding Affairs
- SUBJECT: DPPA's response to the formal draft report of the Office of Internal Oversight Services OBJET: (OIOS) on the implementation of recommendations from the evaluation of the Department of Political and Peacebuilding Affairs (E/AC.51/2021/3)
 - Thank you for your memorandum (OIOS-2024-00739) and sharing with us the formal draft report of the Office of Internal Oversight Services (OIOS) on the triennial review of the implementation of recommendations from the evaluation of the Department of Political and Peacebuilding Affairs (E/AC.51/2021/3).
 - 2. I am pleased to see that the OIOS review has re-affirmed the full implementation of all the evaluation recommendations. We welcome the report's recognition of the significant progress we have made in the past five years, which includes improvement in staff morale, our dedicated effort to integrate diverse perspectives and bolder analyses, an increase in number of external partnerships, and the formulation of a strategic plan that helps address hindering factors to conflict prevention.
 - I extend my gratitude to the Inspection and Evaluation Division of OIOS, in particular Ms. Patty Chang and Mr. David Boren Zhao for their collaboration during this review process.

cc: Mr. Guo Ms. Chang