



INTERNAL AUDIT DIVISION

REPORT 2018/063

Audit of the civil affairs programme in the United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic

There was a need to strengthen coordination with internal partners, conduct impact assessment of programme activities and implement a follow-up mechanism on the recommendations of field visits of the joint protection and assessment teams

19 June 2018

Assignment No. AP2017/637/07

Audit of the civil affairs programme in the United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic

EXECUTIVE SUMMARY

The Office of Internal Oversight Services (OIOS) conducted an audit of the civil affairs programme in the United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic (MINUSCA). The objective of the audit was to assess the adequacy and effectiveness of the implementation of the civil affairs programme in MINUSCA. The audit covered the period from July 2015 to December 2017. The audit covered a review of higher and medium risks in the civil affairs activities, which included risk assessment and strategic planning of civil affairs activities; representation, monitoring and facilitation at the local level; and support to protection of civilians, conflict management, and restoration and extension of state authority. The audit did not cover the implementation of quick impact projects as this is the subject of a separate audit.

MINUSCA developed its multi-year strategy based on the Mission Concept. Activities in the annual work plans for the Civil Affairs Section were aligned with the Mission's strategic priorities. The Section implemented planned activities related to the protection of civilians, social cohesion and restoration and extension of state authority. Despite these interventions, the prevalence of armed groups, the fragile security and weak state institutions, compounded by the lack of attention to addressing the root causes of repetitive cycles of conflict, had resulted in violence perpetrated against the population at various times. MINUSCA needed to: establish a follow-up mechanism on the recommendations of field visits of the joint protection and assessment teams; improve documentation of civil affairs projects; and conduct impact assessment of programme activities.

OIOS made three recommendations. To address issues identified in the audit, MINUSCA needed to:

- Implement a tracking mechanism to ensure proper follow-up and timely implementation of the recommendations made by the Joint Protection Teams and Joint Assessment Missions;
- Ensure proper documentation of supporting evidence including substantive reports and improvement of tracking tool to monitor implementation of individual programme activities; and
- Conduct impact assessments of civil affairs programme activities to determine impacts and adjust programmes to suit the requirements of the beneficiaries.

MINUSCA accepted the recommendations and initiated action to implement them.

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Audit of the civil affairs programme in the United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic

I. BACKGROUND

1. The Office of Internal Oversight Services (OIOS) conducted an audit of the civil affairs programme in the United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic (MINUSCA).
2. Security Council resolution 2149 (2014) requested MINUSCA to support the Government of the Central African Republic in the areas of: protection of civilians (PoC); achievement of community dialogue and social cohesion; and the restoration and extension of state authority. The MINUSCA Civil Affairs Section (CAS) is responsible for designing, implementing and delivering a Mission-wide PoC strategy in close collaboration with other Mission components, humanitarian and human rights organizations and other relevant partners in the Central African Republic.
3. The CAS acts as the liaison between the Mission and local communities on security and protection, and development of alert networks. The Section also serves as a bridge to the local communities to ensure social cohesion, conflict resolution, support to civil society organizations and confidence building, including through outreach activities in cooperation with other partners in MINUSCA. Additionally, the Section provides support for the deployment of government officials to designated duty stations, restoration of state authority, preservation of territorial integrity and strengthening of administrative and social services delivery at the community level. The CAS is responsible for managing quick impact projects (QIPs), which are small-scale, rapidly implementable projects of benefit to the local population.
4. A Chief at the D-1 level who reports to the Deputy Special Representative of the Secretary-General – Humanitarian (concurrently the Resident Coordinator) heads CAS. A team of 88 staff (2016/17) comprising 17 international staff, 63 national staff and 8 United Nations volunteers support the Chief. For 2017/18, the total approved posts for Civil Affairs Section was 127, to cater for the recruitment of additional Community Liaison Assistants (national staff). MINUSCA operational budgets for the civil affairs programme for fiscal years 2015/16, 2016/17 and 2017/18 were \$3.2 million, \$3.6 million and \$3.4 million respectively.
5. Comments provided by MINUSCA are incorporated in italics.

II. AUDIT OBJECTIVE, SCOPE AND METHODOLOGY

6. The objective of the audit was to assess the adequacy and effectiveness of the implementation of the civil affairs programme in MINUSCA.
7. This audit was included in the 2017 risk-based work plan of OIOS due to operational risks related to management of the civil affairs programme in MINUSCA.
8. OIOS conducted this audit from November 2017 to March 2018. The audit covered the period from July 2015 to December 2017. Based on an activity-level risk assessment, the audit covered higher and medium risk areas in the civil affairs activities, which included: risk assessment and strategic planning of civil affairs activities; representation, monitoring and facilitation at the local level; and

support to PoC, conflict management, and restoration and extension of state authority. The audit did not cover the implementation of QIPs as this is the subject of a separate audit.

9. The audit methodology included: interviews of key personnel; review of relevant documentation; analytical review of data; sample testing of randomly selected programme activities, and daily and weekly analytical reports related to the civil affairs programme; and visits to four field offices (Bria, Bambari, Kaga Bandoro and Bouar) outside Bangui.

10. The audit was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.

III. AUDIT RESULTS

A. Risk assessment and strategic planning of civil affairs activities

Strategic objectives of the Civil Affairs Section were defined and aligned to Mission mandate

11. The Department of Peacekeeping Operations/Department of Field Support (DPKO/DFS) policy directive on civil affairs requires the Head of Civil Affairs to play a crucial role in providing strategic vision, setting priorities and responding flexibly to meet civil affairs programme objectives. The Head is also required to contribute to the development of the Mission Concept.

12. MINUSCA prepared a Mission Concept covering the period 2016 to 2019, which was aligned with its mandate. The CAS, in addition to setting strategic priorities, contributed to the preparation of the Mission Concept. PoC was a key focus of the Concept and featured prominently under the first strategic priority (improving security, protection and human rights) and the third strategic priority (peacebuilding). Priorities devised and supported by CAS for the period 2016 to 2019 included the implementation of a Mission-wide PoC strategy, using all necessary means to prevent or respond to threats associated with PoC and assisting in building the national PoC capacity. In addition, CAS provided support to the Government in developing basic security services in priority areas by mapping and identifying hotspots.

13. The CAS, in collaboration with other Mission partners, devised strategies to support the training, deployment and capacity-building of State Authorities to the sectors outside of Bangui. Strategies were in place to provide support to the Government to prevent illicit exploitation and trafficking of natural resources. Strategies were also devised to have regular dialogue with local communities, including the implementation of early alert systems for conflict and violence management. OIOS concluded that CAS had developed clearly defined strategies which were aligned with the Mission Concept and the mandate.

Annual work plans were prepared and aligned with the Mission Concept

14. The DPKO/DFS Civil Affairs Handbook requires the civil affairs annual work plans to: draw from the multi-year strategy or concept of operations; map out the activities that will be undertaken yearly to achieve civil affairs objectives; identify timeframes, regional priorities and use of resources; specify key indicators for measuring impact and progress; include details of the logic behind the specific approaches identified; and be based on deliberations from an annual retreat of the civil affairs staff.

15. A review of the civil affairs annual work plans for 2015/16, 2016/17 and 2017/18 noted that they: were aligned with the multi-year strategy elaborated in the Mission Concept; mapped out the activities under the three core components of civil affairs; contained the matrices to measure monthly quantitative performance; and included the context-specific approaches to achieve the objectives. The plans were

finalized after the annual CAS retreats, with input from senior management of the Mission. More specifically, the following were noted:

- (a) Activities listed in all CAS work plans for the three years articulated the multi-year Mission strategy and comprised: PoC and community liaison; dialogue, reconciliation and social cohesion; and restoration and extension of state authority as their core components.
- (b) The work plans mapped out the priority activities under the PoC and community liaison, such as implementation of community-based PoC, support for the full involvement of local authorities and security forces in PoC, ensuring close collaboration with the Force component and better partnership with humanitarian actors, and implementation of QIPs.
- (c) Each work plan identified timeframes, regional priorities and the use of resources. Throughout the period covered by this audit, sector coordinators prepared and sent monthly progress reports to the Chief of CAS. Monthly achievement reports identified accomplishments in quantitative and qualitative terms. All three plans allocated resources (staff, QIPs, programme funds) to sector offices and constituted the basis for the design of the civil affairs staff's individual work plans. The expected accomplishments were systematically tracked and included in the standard results-based budgeting reporting framework. Additionally, since 2017, the monthly progress reports were uploaded into the MINUSCA central repository (COSMOS) for Mission-wide monitoring by the Strategic Planning Section. Outputs from the work plans were generally achieved as elaborated further in this report.

16. OIOS concluded that CAS had prepared work plans that were aligned with Mission priorities, the Mission Concept and the mandate.

B. Representation, monitoring and facilitation at local level

There was adequate local-level liaison and representation

17. The DPKO/DFS Civil Affairs Handbook required Civil Affairs Officers to build wide networks in order to: report on the local situations and feed into a wider understanding and analysis of conflicts in the context of peacebuilding; build relationships with key actors who can affect the peace process; plan joint activities or seek inputs on activities planned by the Mission; and demonstrate the Mission's commitment to reach out to areas beyond the capital.

18. A review of CAS staffing as at 28 February 2018 indicated that the Section had deployed 88 staff across the country: 21 in Bangui (also includes Bangui Field operations), 26 in Sector West, 25 in Sector Centre and 16 in Sector East. Interactions with the civil affairs coordinators and staff during OIOS field visits to all three sector headquarters indicated that CAS had established local-level liaison and representation in all 16 prefectures (administrative zones). The Section had also established and maintained regular contact with civil society organizations, non-governmental organizations and religious institutions in its area of operations.

19. Staff trained and deployed in the field included 52 Community Liaison Assistants (CLAs) who actively engaged with communities to set up and implement protection tools including the development of community protection plans and establishment of local community alert networks (for early warning). They also served as interpreters working with the military component of MINUSCA. The Civil Affairs staff, in collaboration with other MINUSCA components, met regularly with local communities to discuss protection concerns.

20. In addition, the Section participated in Joint Protection Teams (JPTs) and Joint Assessment Missions (JAMs) as elaborated further in this report. JPT field visits monitor, evaluate, anticipate and identify definable security threats against civilian population and provide appropriate protection inputs. JAM field visits provide a general evaluation of any tensions or reported threats in a specific area which could further escalate if not addressed promptly, or which may have already taken place. The CAS assisted in establishing 21 (26 planned) local community protection plans in 2015/16 and 12 more in 2016/17 to support communities at risk of violence, assuring coverage of communities around 33 of 35 company operating bases of MINUSCA. The shortfall in 2015/16 was due to security reasons.

21. The CAS organized 12 workshops (against 4 that were planned) on conflict resolution/mitigation in 2015/16 and 14 (against 12 that were planned) in 2016/17. Despite these Mission interventions and support to the Government, conflicts and attacks on civilians were still prevalent due to the fragile security and the influence of armed groups in the country. As these factors were not within the control of CAS, OIOS is not making a recommendation.

Within-Mission joint planning process and coordination needed to be strengthened

22. The DPKO/DFS Civil Affairs Handbook requires Civil Affairs Officers to work in coordination with United Nations force, police and civilian components within the Mission and other external actors with common objectives, engaged in the development and humanitarian activities in the United Nations Country Team and other multilateral coordination structures. The areas of coordination may include information-sharing and analysis, negotiating decisions and implementing joint activities.

23. The CAS had established coordination networks within the Mission and with multilateral coordination structures externally. The CAS coordinated with multilateral agencies such as the World Bank, United Nations Development Programme (UNDP), United Nations High Commissioner for Refugees (UNHCR), United Nations Children's Fund, International Organization for Migration, Food and Agriculture Organization (FAO), World Food Programme, Harvard Humanitarian Initiative and the Government of the Central African Republic. For example, activities covered with FAO included dealing with transhumance (the action or practice of moving livestock from one grazing ground to another in a seasonal cycle) and its impact on communities. The CAS worked with UNHCR on the return and stabilization of the internally displaced population, and with the host Government on the redeployment of public administration officials.

24. The CAS had also jointly conducted protection, representation, monitoring, facilitation, conflict management and support to the restoration and extension of state authority activities with partners within the Mission including the Force component, United Nations police, Joint Mission Analysis Centre, Conduct and Discipline Team, Women Protection Unit, PoC Unit and the Gender Unit.

25. However, these activities were not systematically or jointly planned and synergized into the Mission-wide planning process. For example, although a PoC Unit exists within MINUSCA with lead responsibility for PoC issues, the PoC component had 22 outputs listed under six different MINUSCA Sections as follows: CAS (5), Force component (9), Police component (4), Political Affairs Division (1), PoC Unit (1), Strategic Communications and Public Information (1) and United Nations Mine Action Service (1). These outputs were simply compiled from the respective sectional work plans without adequate joint planning, coordination and sequencing of implementation steps. Although the roles and activities of the participating sections within the PoC component were complementary to each other, there was no evidence that activities were not duplicated as the sections had operated independently of each other.

26. While acknowledging current limitations, MINUSCA indicated that the Mission had issued clear guidance on joint planning through the integrated operational planning and coordination standard operating procedure. Also, the Mission had published its Mission Concept and Special Representative of the Secretary-General's Directives to promote strategic planning. As the Mission moves fully into its implementation phase, it acknowledges the need to standardize section-level work plans to enable a more harmonized way for mapping, monitoring and evaluation of activities to avoid duplication. In the absence of a United Nations produced mechanism for Mission-wide joint planning, the Mission is implementing an interim solution through COSMOS (a SharePoint system) that will allow the Mission to address the weaknesses identified. Based on the action MINUSCA has taken to address the weaknesses, OIOS is not making a recommendation.

C. Support for protection of civilians, conflict management and restoration and extension of state authority

Follow-up mechanism on the recommendations of field visits on protection of civilians needed to be strengthened

27. The standard operating procedures and the terms of reference for JPTs and JAMs require follow-up of the recommendations from the field visits conducted by the JPTs and JAMs at local and national levels. The procedures further require that: the Protection Working Group (PWG) should systematically review and analyze the findings and recommendations at national level and flag priority areas of concern for the attention of the MINUSCA Senior Management Group for Protection (SMG-P) headed by the DSRSG-Political and Protection; SMG-P should review and analyze these findings and provide strategic/policy guidance at national level; and at the field level, SMG-P should supervise the field level activities and develop coordinated protection responses.

28. During fiscal years 2015/16 and 2016/17, CAS in coordination with other substantive sections (e.g., political, human rights, child protection, women protection), the military and police components conducted 266 field visits (against 172 that were planned) comprising 134 JPTs and 132 JAMs to monitor and assess the PoC situation throughout the MINUSCA area of operations. These teams comprised multidisciplinary expertise and made appropriate recommendations related to physical protection and to facilitate the delivery of humanitarian assistance in the Mission area.

29. The recommendations made by the JPT and JAM teams were discussed at the SMG-P at the field level. Recommendations that required attention at the national level were discussed by the PWG, headed by the Senior PoC Advisor. However, OIOS could not verify the implementation status of these recommendations as there was no supporting documentation for tracking the status of implementation.

30. The above occurred because PoC staff were not represented in all field locations, including Kaga Bando and Bria, and the Mission did not enforce the existing procedures to implement an effective mechanism for follow-up of the implementation of recommendations. The Senior PoC Advisor explained that although some efforts were made to track and implement recommendations at the Headquarters level, efforts were still in progress to fully establish a follow-up mechanism.

31. In the absence of an appropriate follow-up and tracking mechanism, there was a risk that the recommendations of the JPT and JAM field visits may not be implemented resulting in the loss of legitimacy and reputational damage for MINUSCA in the perception of the host population.

(1) MINUSCA should implement a tracking mechanism to ensure proper follow-up and timely implementation of the recommendations made by the Joint Protection Teams and

Joint Assessment Missions.

MINUSCA accepted recommendation 1 and stated that it was setting up a tracking mechanism to ensure the implementation of recommendations of JPT and JAM through the consolidation of a tracking database produced by heads of offices and the SMG-P. This was being centrally managed by the PoC Unit. Recommendation 1 remains open pending receipt of evidence of implementation of the tracking mechanism to monitor status of JPT/JAM recommendations.

Civil Affairs Section implemented conflict management activities

32. The DPKO/DFS Policy on civil affairs requires CAS to provide analysis and recommendations on a range of political, social and economic issues at the community level which include the identification of conflict drivers and an analysis of their nature, an assessment of obstacles to the establishment of peace, and recommendations for responses at the national and local level by either Mission actors or other partners.

33. The CAS had systematically gathered information on potential conflicts, analyzed them and made recommendations to resolve the issues. For example, the Section evaluated conflicts related to transhumance movements covering the period from 2015 to 2017 in the Central African Republic and made key findings and recommendations. The reports also provided historical background, transhumance operational plan and the challenges to the Mission leadership, United Nations Country Team and Government agencies of the Central African Republic. The CAS also prepared sectoral conflict analysis, which formed a basis for MINUSCA to develop its conflict analysis paper for senior management and Government attention.

34. Despite persistent threats from armed groups, CAS had organized workshops and round tables for managing various conflicts. These included, among others, a three-day social cohesion awareness and conflict management workshop for 60 religious leaders in Kaga Bandoro (March 2016), and a workshop that defined strategies for respecting transhumance corridors and the drafting of a proposal to establish a waiting area for transiting cattle destined for the market in Bria (April 2017). In cooperation with the Gender Unit, the Section also trained 65 women leaders on the importance of women in the resolution of local conflicts and in peacebuilding in Bambari (December 2016).

35. The CAS was also involved in organizing activities aimed at strengthening relationships between communities by supporting local peace and reconciliation committees. For example, in 2016, CAS was instrumental in bringing together two rival communities in the third and fifth districts of Bangui in order to strengthen relations and ensure non-aggression between Muslim and Christian societies as well as help foster free circulation of people and goods. This resulted in the signing of a non-aggression pact on 11 February 2016, which allowed access to the cemetery for the Muslim community in the predominantly Christian neighbourhood of Boeing in Bangui. Also, the intervention of CAS in Bambari, through the establishment of the local peace committee led to the reopening of the city's central market in May 2017. The market had been closed since 2014 due to conflict.

36. OIOS concluded that CAS implemented activities in support of local communities to manage conflicts as part of the Mission's overall objective of establishing peace in the Central African Republic.

Civil Affairs Section provided support for the restoration and extension of state authority

37. The DPKO/DFS Policy on Civil Affairs requires CAS to provide support for the restoration and extension of state authority by developing political space at the local level and providing operational support to state institutions. This includes preliminary assessment of capacity-building and support needs,

logistical and administrative support, small-scale capacity-building support, and local implementation of joint capacity-building programmes with other development actors.

38. The CAS coordinated with the Government of the Central African Republic in preparing a deployment plan for prefects and sub-prefects. Also, CAS conducted various activities to support the restoration of state authority, including:

(a) Formulation of a national restoration of state authority strategy for the Government of the Central African Republic in association with UNDP (under a national project called “ARAT”- a project established to support redeployment of state administration and socio-economic revitalization in the Central African Republic) and the French cooperation agency;

(b) Since 2015, CAS had supported and facilitated the deployment of 738 civil servants across the country. However, deployment of prefects and sub-prefects was delayed for security and political reasons. In 2017, after the preparation of action plans for the redeployment and functioning of territorial administration at the prefecture and sub-prefecture levels and in collaboration with other partners including other MINUSCA components, Government agencies, UNDP and the European Union, CAS facilitated the deployment of 12 of 16 prefects and 51 of 71 sub-prefects;

(c) Mapping of public administration and social infrastructure and rehabilitation needs in 13 of the 16 prefectures resulting in the deployment of public officials. This exercise also enabled the determination of priorities for QIPs and ARAT projects to support stabilization of communities; and

(d) Organization of 18 capacity-building workshops in coordination with the European Union and the United Nations Country Team covering the issues of public administration/core government competencies, local governance, planning and budgeting of local stabilization, and reconstruction projects.

39. OIOS concluded that CAS had systematically planned and supported the restoration and extension of state authority in the Central African Republic.

Documentation and monitoring of programme activities needed improvement

40. The DPKO/DFS guidelines on programme activities require MINUSCA to: record and archive all project documents including project progress reports (narrative and financial) for review purposes; and implement a tracking tool with timelines for planned and actual implementation of programme activities in order to have updated information on the progress of implementation.

41. The table shows the programme funding (excluding QIPs) under the three civil affairs components during the period July 2015 to September 2017.

Civil affairs programme funding

	<i>Number of projects</i>	<i>Project cost</i>
PoC and community liaison	5	\$180 349
Community dialogue and social cohesion	56	390 005
Restoration and extension of state authority	20	145 355
Total	81	\$715 709

Source: Civil Affairs performance reports for 2015/16 and 2016/17

42. The CAS did not maintain project documentation such as copies of narrative and financial reports for review and archiving purposes. The Section kept only copies of the transmittal memoranda issued by the Director of Mission Support for approval of the requested programme activities and project proposals. Moreover, supporting documents such as invoices, receipts and attendance sheets were filed haphazardly; they were not cross-referenced to the entries in the statement of expenditures. Other deficiencies noted included the following:

(a) Expenditure reports on the organization of training and debriefing sessions for community alert networks focal points conducted from January to March 2017 in nine field locations were not reconciled with the list of individual expenditures. The CAS submitted invoices for \$47,301 expenditures against the \$49,170 total amount spent. There were no supporting invoices for \$1,868 in expenditures;

(b) Expenditure report related to a workshop on capacity-building of newly appointed Presidents of Special Delegation (Mayors) in November 2015 for \$18,024 did not have relevant supporting invoices. The supporting invoice attached to this report pertained to another activity (cash-for-work support programme for the reintegration of armed groups, youth at risk and other persons). The Chief Budget and Finance Officer explained that at the initial stages of the Mission, some staff working in the Finance and Budget Section were not adequately trained and this could have resulted in the relevant supporting documents being misplaced; and

(c) Attendance sheets of any of the participants were not available for 9 out of 20 workshops. Also, there were no substantive reports showing the number of participants, topics discussed in the workshops, recommendations formulated and feedback from the participants on the relevance of the subject matter for 13 out of 20 workshops.

43. Although the Section prepared an Excel spreadsheet to monitor progress of programme activities, it did not capture details of the timeframe for each project such as date of: approval of the project fund; release of project advances; and submission of both substantive and financial reports after the completion of the activities. Due to this, CAS was not able to effectively monitor the critical phases of activities and take suitable mid-course corrective actions.

44. The above occurred because CAS and the Finance and Budget Section did not enforce the DPKO guidelines on the maintenance of appropriate documentation and implementation of monitoring tools. Due to lack of enforcement and untimely verification of supporting evidence of expenditure, there was a risk of misuse of programme funds without being detected.

(2) MINUSCA should enforce the DPKO/DFS guidelines to ensure: (a) proper documentation of supporting evidence including substantive reports; and (b) improvement of tracking tool to monitor implementation of individual programme activities.

MINUSCA accepted recommendation 2 and stated that it would remind all the substantive components to enforce the November 2017 DPKO/DFS guidelines on mandated programmatic activities funded through peacekeeping assessed budgets. Recommendation 2 remains open pending receipt of evidence that MINUSCA has implemented the DPKO/DFS guidelines to ensure proper documentation, including substantive reports, and improved its tracking tool to monitor individual programme activities.

Impact assessment of programme activities needed to be conducted

44. The DPKO/DFS guidelines on programme activities require MINUSCA to conduct evaluation of the impact of the programme after completion to assess qualitative impact of the programme.

45. The CAS did not conduct evaluation of the impact of the programmes carried out during the period reviewed. For example, a series of workshops on community alert network for focal points were held across the country on different dates (14 locations from March to June 2016; 9 locations from January to March 2017 and 18 locations from May to June 2017); however, the impact assessment including the feedback from participants was not recorded after completion of the workshops to determine the participants' perception of the effectiveness and relevance of the subject matter to the audience and to implement adjustments to improve the programme.

46. The above occurred because CAS did not prioritize the conduct of impact assessments. Consequently, the Mission was unable to assess the impact of the programme activities for the beneficiaries.

(3) MINUSCA should conduct impact assessments of civil affairs related programme activities to determine impacts and adjust programmes to suit the requirements of the beneficiaries.

MINUSCA accepted recommendation 3 and stated that it would report on the implementation of mandated programme activities through quarterly and annual budget performance reports and that it would use an independent consultant for review and evaluation if the budget permitted. Recommendation 3 remains open pending receipt of evidence that MINUSCA has conducted impact assessments of civil affairs related programme activities and used the results to adjust the programmes to the requirements of the beneficiaries.

Civil Affairs Section had taken steps to archive reports in a central repository

46. The DPKO/DFS policy on civil affairs requires CAS to provide DPKO with daily situation reports and special reports on activities covering civil affairs work as part of standard reporting. The standard operating procedures for the preparation of daily and weekly reports require such reports to be prepared covering: highlights; PoC and community liaison; community dialogue and social cohesion; restoration and extension of state authority; QIPs; and management and coordination.

47. From September 2014 to December 2016, CAS did not systematically archive any of the daily reports; reports were fragmented across staff's computers and in a shared drive, making retrieval difficult. The shared drive was also not accessible to OIOS, after the migration to the Mission's central repository system (COSMOS). However, as of February 2018, the Section had uploaded weekly reports since October 2016 and daily reports since January 2017 into COSMOS on a regular basis. A review of all 51 weekly reports archived from October 2016 to September 2017 indicated that all reports were in the required format and contained the required information. These reports were regularly sent to DPKO and were also shared with MINUSCA senior management. OIOS concluded that MINUSCA, after initial difficulties, had implemented adequate procedures to archive reports of activities and issues related to civil affairs.

IV. ACKNOWLEDGEMENT

48. OIOS wishes to express its appreciation to the management and staff of MINUSCA for the assistance and cooperation extended to the auditors during this assignment.

(Signed) Eleanor T. Burns
Director, Internal Audit Division
Office of Internal Oversight Services

STATUS OF AUDIT RECOMMENDATIONS

**Audit of the civil affairs programme in the United Nations Multidimensional Integrated Stabilization Mission
in the Central African Republic**

Rec. no.	Recommendation	Critical/ Important ²	C/ O ³	Actions needed to close recommendation	Implementation date ⁴
1	MINUSCA should implement a tracking mechanism to ensure proper follow-up and timely implementation of the recommendations made by the Joint Protection Teams and Joint Assessment Missions.	Important	O	Receipt of evidence of implementation of the tracking mechanism showing implementation of recommendations made by the Joint Protection Teams and Joint Assessment Missions.	30 June 2018
2	MINUSCA should enforce the DPKO/DFS guidelines to ensure: (a) proper documentation of supporting evidence including substantive reports; and (b) improvement of tracking tool to monitor implementation of individual programme activities.	Important	O	Receipt of evidence that MINUSCA has implemented the DPKO/DFS guidelines to ensure proper documentation, including substantive reports, and improved its tracking tool to monitor individual programme activities.	31 July 2018
3	MINUSCA should conduct impact assessments of civil affairs related programme activities to determine impacts and adjust programmes to suit the requirements of the beneficiaries.	Important	O	Receipt of evidence that MINUSCA has conducted impact assessments of civil affairs related programme activities and used the results to adjust the programmes to the requirements of beneficiaries.	31 July 2018

¹ Critical recommendations address critical and/or pervasive deficiencies in governance, risk management or control processes, such that reasonable assurance cannot be provided with regard to the achievement of control and/or business objectives under review.

² Important recommendations address important (but not critical or pervasive) deficiencies in governance, risk management or control processes, such that reasonable assurance may be at risk regarding the achievement of control and/or business objectives under review.

³ C = closed, O = open

⁴ Date provided by MINUSCA in response to recommendations.

APPENDIX I

Management Response

INTEROFFICE MEMORANDUM

MEMORANDUM INTERIEUR

CONFIDENTIAL

TO: Mr. Arnold Valdez, Officer in Charge
A: Peacekeeping Audit Service
Internal Audit Division, OIOS

DATE: 12 June 2018

REFERENCE: OSRSG/019/2018

FROM: Parfait Onanga-Anyanga
DE: Special Representative of the Secretary-General
and Head of MINUSCA

SUBJECT: **Draft report on an audit of the civil affairs programme in the United Nations Multidimensional**
OBJET: **Integrated Stabilization Mission in the Central African Republic (Assignment No. AP2017/637/7)**

1. With reference to your memorandum of 2 June (ref 2018-637-07-04), on the subject-mentioned audit, please find attached MINUSCA comments to the recommendations stipulated in the Appendix 1. An action plan with target dates and the titles of individuals responsible for implementing the recommendations is included in the appendix.
2. In addition to MINUSCA response to the audit draft report, please find enclosed a memo that MINUSCA issued to remind the Civil Affairs and all substantive components to enforce the DPKO/DFS Guidelines on “Mandated Programmatic Activities funded through Peacekeeping Assessed Budgets” signed on 30 November 2017 (as per recommendation 2 in the attached Appendix).

Attachments: -Management response – Appendix 1
-Reminder Memo

cc :

Ms. Najad Rochdi, DSRSG/RC/HC, MINUSCA,
Ms. Vivian van de Perre, Chief of Staff, MINUSCA
Mr. Laurent Guepin, Chief Civil Affairs Section, MINUSCA
Ms. Zeneda Feratllari, Audit Focal Point, MINUSCA
Mr. Laud Botchwey, Chief Resident Auditor, MINUSCA, Internal Audit Division, OIOS
Ms. Cynthia Avena-Castillo, Professional Practices Section, Internal Audit Division, OIO

APPENDIX I

Management Response

Audit of the civil affairs programme in the United Nations Multidimensional Integrated Stabilization Mission
in the Central African Republic

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
1	MINUSCA should implement a tracking mechanism to ensure proper follow-up and timely implementation of the recommendations made by the Joint Protection Teams and Joint Assessment Missions.	Important	YES	Chief of POC UNIT	30 June 2018	MINUSCA is setting-up a tracking mechanism to ensure the implementation of JPT and JAM recommendations through the consolidation of a tracking database produced by HoOs for JAM (JAM constitute a local responsibility) and JPT and by the SMG-P at the central level by the POC Unit for JPT.
2	MINUSCA should enforce the DPKO/DFS guidelines to ensure: (a) proper documentation of supporting evidence including substantive reports; and (b) improvement of tracking tool to monitor implementation of individual programme activities.	Important	YES	Chief Civil Affairs	31 July 2018	MINUSCA will issue an official memo to remind the need for Civil Affairs and all substantive components to enforce the DPKO/DFS Guidelines on "Mandated Programmatic Activities funded through Peacekeeping Assessed Budgets" signed on 30 November 2017. As per the guidelines: "Expenditures on programmatic activities should be tracked with Umoja Project System functionalities.

¹ Critical recommendations address critical and/or pervasive deficiencies in governance, risk management or control processes, such that reasonable assurance cannot be provided with regard to the achievement of control and/or business objectives under review.

² Important recommendations address important (but not critical or pervasive) deficiencies in governance, risk management or control processes, such that reasonable assurance may be at risk regarding the achievement of control and/or business objectives under review.

Management Response

Audit of the civil affairs programme in the United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic

						<p>The mission Finance and Budget Section is responsible to set up the appropriate project structure for tracking purpose and inform the relevant office and sections on the budget codes or account assignments to use”.</p> <p>The tracking tool proposed in the Annex C. of the Guidelines will be implemented by all components “to have updated information on how implementation is progressing and to be able to make timely decisions when modifications need to be made”.</p>
3	MINUSCA should conduct impact assessments of civil affairs related programme activities to determine impacts and adjust programmes to suit the requirements of the beneficiaries.	Important	YES	Chief Civil Affairs	31 July 2018	<p>As per the guidelines, Civil Affairs “will report on the implementation of mandated programme activities in the quarterly and annual Budget Performance Report to assess the impact and adjust programs if necessary to the requirement of the beneficiaries.</p> <p>The impact of the programmatic activities on mandate implementation will be outlined in the ‘Mandate performance’ section.</p>

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						<p>The achievements against related outputs and indicators will be included as part of the RBB reporting under each relevant component, and the reporting on financial expenditure against the relevant costing sheets in the formats provided by the UN Controller. All project documents including the project progress reports (narrative and financial) will be recorded and archived in the Office of the Head of Mission for audit purposes”.</p> <p>In addition, MINUSCA will use an independent consultant for review and evaluation of Civil Affairs programmes if budget permits in 2018-2019.</p>
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