



INTERNAL AUDIT DIVISION

REPORT 2015/045

Audit of the gender advisory programme in the African Union-United Nations Hybrid Operation in Darfur

Overall results relating to the effective management of the gender advisory programme in the African Union-United Nations Hybrid Operation in Darfur were initially assessed as partially satisfactory. Implementation of two important recommendations remains in progress

FINAL OVERALL RATING: PARTIALLY SATISFACTORY

26 May 2015
Assignment No. AP2014/634/14

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AUDIT REPORT

Audit of the gender advisory programme in the African Union-United Nations Hybrid Operation in Darfur

I. BACKGROUND

1. The Office of Internal Oversight Services (OIOS) conducted an audit of the gender advisory programme in the African Union-United Nations Hybrid Operation in Darfur (UNAMID).
2. In accordance with its mandate, OIOS provides assurance and advice on the adequacy and effectiveness of the United Nations internal control system, the primary objectives of which are to ensure (a) efficient and effective operations; (b) accurate financial and operational reporting; (c) safeguarding of assets; and (d) compliance with mandates, regulations and rules.
3. The gender advisory programme in UNAMID was coordinated by the Gender Advisory Unit. The Unit was responsible for facilitating gender mainstreaming activities, implementing gender-related capacity building activities and promoting gender awareness. The Unit derived its mandate from Security Council resolution 1325 (2000) on Women, Peace and Security and subsequent resolutions specifically addressing the disproportionate and unique impact of conflict on women and girls.
4. The Gender Advisory Unit was headed by a Senior Gender Advisor at the P-5 level who reported to the Deputy Joint Special Representative. The approved posts for the Unit for fiscal year 2013/14 were 23, consisting of 4 international staff, 3 United Nations volunteers, 6 national professional officers and 10 national staff. The Unit's expenditures for fiscal years 2012/13 and 2013/14 were \$1.73 million and \$1.41 million respectively.
5. Comments provided by UNAMID are incorporated in italics.

II. OBJECTIVE AND SCOPE

6. The audit was conducted to assess the adequacy and effectiveness of UNAMID governance, risk management and control processes in providing reasonable assurance regarding the **effective management of the gender advisory programme in UNAMID**.
7. The audit was included in the 2014 risk-based work plan of OIOS because of operational risks related to the gender advisory programme.
8. The key controls tested for the audit were: (a) risk assessment and planning; and (b) programme management. For the purpose of this audit, OIOS defined these key controls as follows:
 - (a) **Risk assessment and planning** - controls that provide reasonable assurance that risks relating to the gender advisory programme are identified and assessed; appropriate actions are taken to mitigate or anticipate these risks; and plans are in place to drive the UNAMID gender advisory activities.
 - (a) **Programme management** - controls that provide reasonable assurance that a system exists to monitor, assess and report on the gender advisory programme in UNAMID.

9. The key controls were assessed for the control objectives shown in Table 1. Certain control objectives shown in Table 1 as “not assessed” were not relevant to the scope defined for this audit.

10. OIOS conducted this audit from November 2014 to January 2015. The audit covered the period from 1 July 2012 to 31 October 2014.

11. OIOS conducted an activity-level risk assessment to identify and assess specific risk exposures, and to confirm the relevance of the selected key controls in mitigating associated risks. Through interviews, analytical reviews and tests of controls, OIOS assessed the existence and adequacy of internal controls and conducted necessary tests to determine their effectiveness.

III. AUDIT RESULTS

12. The UNAMID governance, risk management and control processes examined were initially assessed as **partially satisfactory**¹ in providing reasonable assurance regarding the **effective management of the gender advisory programme in UNAMID**. OIOS made two recommendations to address the issues identified. UNAMID had drafted its gender mainstreaming strategy, delivered train-the-trainer sessions to 243 military personnel on gender matters in 2014, and implemented controls to ensure that the activities of the Gender Advisory Unit were within the Unit’s mandated thematic areas. However, UNAMID needed to: (a) allocate funds to conduct a gender baseline study; and (b) implement adequate procedures and take steps to prioritize its activities on the promotion of gender mainstreaming.

13. The initial overall rating was based on the assessment of key controls presented in Table 1. The final overall rating is **partially satisfactory** as implementation of two important recommendations remains in progress.

Table 1: Assessment of key controls

Business objective	Key controls	Control objectives			
		Efficient and effective operations	Accurate financial and operational reporting	Safeguarding of assets	Compliance with mandates, regulations and rules
Effective management of the gender advisory programme in UNAMID	(a) Risk assessment and planning	Partially satisfactory	Partially satisfactory	Not assessed	Partially satisfactory
	(b) Programme management	Satisfactory	Satisfactory	Not assessed	Satisfactory
FINAL OVERALL RATING: PARTIALLY SATISFACTORY					

¹ A rating of “**partially satisfactory**” means that important (but not critical or pervasive) deficiencies exist 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.

A. Risk assessment and planning

The Mission needed to undertake a comprehensive gender baseline study

14. The Department of Peacekeeping Operations (DPKO) Policy on Gender Equality in United Nations Peacekeeping Operations and UNAMID standard operating procedures required the Gender Advisory Unit to undertake a baseline study to identify the unique experiences, needs, aspirations, priorities, and socio-cultural and religious realities of women and use the baseline study results as benchmarks to evaluate the programme. The aim of the study was to assess the gender dimensions in the UNAMID area of operation to support evidence-based advocacy and establish benchmarks for assessing the impact of the gender advisory programme.

15. The Gender Advisory Unit had not conducted the required baseline study. This was because the Unit lacked the required expertise and the Mission had not allocated resources to source expertise to conduct the baseline study. As a result, UNAMID lacked benchmarks against which it could measure the impact of its gender-related activities.

(1) UNAMID should allocate funds for the conduct of a gender baseline study to identify the unique experiences, needs, aspirations, priorities, and socio-cultural and religious realities of gender differences and inequality.

UNAMID accepted recommendation 1 and stated that it had allocated funds for a gender baseline study and would engage a local consultant to undertake the study. Recommendation 1 remains open pending receipt of a copy of the results of the Mission's gender baseline study.

The Mission needed to further implement gender mainstreaming into its activities

16. The DPKO Policy on Gender Equality in United Nations Peacekeeping Operations and UNAMID standard operating procedures required the Gender Advisory Unit to promote effective gender mainstreaming by providing technical advice on planning and decision-making processes at senior management level. The Unit was also required to: adopt the DPKO/DFS gender checklist to monitor and report progress on the implementation of its gender mainstreaming activities; develop a gender mainstreaming strategy and action plan; establish an effective network of gender focal points; and train all personnel (military and civilian) on the United Nations policy and UNAMID mandates on gender equality.

17. UNAMID drafted its gender mainstreaming strategy and delivered train-the-trainer sessions on gender matters to 243 military personnel in 2014. However, the Mission had not: adopted the DPKO/DFS gender checklist; prepared an action plan to implement its draft gender mainstreaming strategy; and identified gender focal points for 14 of its 20 sections and had not established terms of reference for focal points. Also, there was no evidence that: (a) the Gender Advisory Unit had provided technical advice on gender mainstreaming to senior management; (b) the Mission had regularly reviewed and reported progress on the implementation of its gender mainstreaming activities; and (c) participants in the train-the-trainer programme provided similar training to their respective contingents. A review of training records of 100 of the 151 civilian staff deployed from July 2012 to October 2014 indicated that 60 staff (mainly senior management) had not attended the gender induction training.

18. The above resulted as UNAMID management did not prioritize this activity and because of inadequate Mission-specific procedures on gender mainstreaming. Also, during the audit period, the Gender Advisory Unit was part of the Humanitarian Protection Strategy Coordination Division, which did not allow the Unit direct access to senior management to promote effective gender mainstreaming such as

the adoption of the DPKO/DFS checklist. In November 2014, the Unit started reporting directly to the Deputy Joint Special Representative where it had the ability to advise senior management on gender mainstreaming.

19. As a result of the above, UNAMID had not adequately reflected gender perspective in its work and there was duplication of some gender related activities. For example, a review of Mission work plans indicated that five planned activities of the Gender Advisory Unit for 2012/13 and 2013/14 were also planned by other substantive sections.

(2) UNAMID should implement adequate procedures and take steps to prioritize its activities on the promotion of gender mainstreaming to ensure: senior management uses the DPKO/DFS gender checklist for monitoring and reporting on the implementation of gender mainstreaming activities; implementation of an effective network of gender focal points; and mission personnel are adequately trained on the United Nations policy and UNAMID mandates on gender equality.

UNAMID accepted recommendation 2 and stated that the Senior Gender Affairs Officer would hold consultative meetings with all sections as well as the military and police components to assess the process of gender mainstreaming in their activities, appoint and train gender focal points, train Mission personnel and adopt the DPKO/DFS checklist. UNAMID also would assess its gender ratio on a quarterly basis. Recommendation 2 remains open pending receipt of evidence that UNAMID is adequately promoting effective gender mainstreaming by providing technical advice on planning and decision-making processes at senior management level.

B. Programme management

The Gender Advisory Unit had implemented activities in its mandated thematic areas

20. The Mission concept of operation required the UNAMID gender advisory programme to focus on and complete activities in four thematic areas: (a) peace process; (b) security; (c) rule of law, governance and human rights; and (d) humanitarian, recovery and development.

21. A review of the 2012/13 and 2013/14 work plans of the Gender Advisory Unit indicated that all 24 activities of the Unit were in line with the mandated thematic areas of the gender advisory programme. Also, a review of the activities of the Unit indicated that it had completed all 24 planned activities. Notably, the Unit contributed to the establishment of: inclusive state committees; women protection networks in the camps for internally displaced persons; Darfur Women Legislative Caucus; and civil society and youth groups. The Unit had also conducted capacity building workshops and gender awareness activities involving a number of stakeholders including: Darfur Regional Authority officials, state ministries, native administrations, internally displaced persons, traditional and modern media personnel, civil society groups, prosecutors, judges, medical personnel, Sudanese Armed Forces and law enforcement officials (police, national intelligence services and prisons officers). The gender awareness programmes had contributed to the increase in the reporting of sexual and gender-based violence.

22. OIOS concluded that UNAMID had implemented adequate controls to ensure the activities of Gender Advisory Unit were within the Unit's four mandated thematic areas.

IV. ACKNOWLEDGEMENT

23. OIOS wishes to express its appreciation to the Management and staff of UNAMID for the assistance and cooperation extended to the auditors during this assignment.

(Signed) David Kanja
Assistant Secretary-General for Internal Oversight Services

STATUS OF AUDIT RECOMMENDATIONS

Audit of the gender advisory programme in the African Union-United Nations Hybrid Operation in Darfur

Recom. no.	Recommendation	Critical ² / Important ³	C/ O ⁴	Actions needed to close recommendation	Implementation date ⁵
1	UNAMID should allocate funds for the conduct of a gender baseline study to identify the unique experiences, needs, aspirations, priorities and socio-cultural and religious realities of gender differences and inequality.	Important	O	Receipt of evidence that the baseline study has been conducted by the consultant to be engaged to undertake the study	15 October 2015
2	UNAMID should implement adequate procedures and take steps to prioritize its activities on the promotion of gender mainstreaming to ensure: senior management uses the DPKO/DFS gender checklist for monitoring and reporting on the implementation of gender mainstreaming activities; implementation of an effective network of gender focal points; and mission personnel are adequately trained on the United Nations policy and UNAMID mandates on gender equality.	Important	O	Receipt of evidence that: the Senior Gender Affairs officer has been conducting consultative meetings section chiefs; gender focal points have been appointed; training of all Mission personnel on gender matters; and adoption of DPKO gender checklist by UNAMID Senior Management.	31 December 2015

² Critical recommendations address significant and/or pervasive deficiencies or weaknesses in governance, risk management or internal control processes, such that reasonable assurance cannot be provided regarding the achievement of control and/or business objectives under review.

³ Important recommendations address important deficiencies or weaknesses in governance, risk management or internal control processes, such that reasonable assurance may be at risk regarding the achievement of control and/or business objectives under review.

⁴ C = closed, O = open

⁵ Date provided by UNAMID in response to recommendations.

APPENDIX I

Management Response

AFRICAN UNION

الاتحاد الأفريقي



UNAMID





UNITED NATIONS

الأمم المتحدة

African Union – United Nations Hybrid Operation in Darfur

07 May 2015

To: Ms. Eleanor T. Burns, Director
Internal Audit Division, OIOS

From:  Abiodun Oluremi Bashua 
Acting Joint Special Representative, UNAMID

Subject: Draft report on an audit of the gender advisory programme in the African Union-United Nations Hybrid Operation in Darfur (Assignment No. AP2014/634/14)

1. With reference to your memorandum of 04 May 2015, on the captioned-subject matter, please find attached UNAMID's response (Appendix I) to the draft report for your consideration.
2. I further confirm the factual accuracy of the report.
3. UNAMID will work towards meeting the target dates for all accepted operational recommendations, and the management of the Mission will provide the necessary support to the Gender Advisory Unit to enable the full implementation of its mandate.

Thank you.

cc: Mr. Abdul B. Kamara, Deputy Joint Special Representative, UNAMID
Mr. Rakesh Malik, Director, Mission Support Division, UNAMID
Ms. Margaret Masenda-Simbi, Officer-in-Charge, Gender Advisory, UNAMID
Mr. Bolton Tarleh Nyema, Chief, Peacekeeping Audit Service, IAD, OIOS
Mr. Prances Sooza, Chief Resident Auditor, Internal Audit Division, OIOS
Mr. Velayutham Gopal, Audit Focal Point, UNAMID
Ms. Cynthia Avena-Castillo, Professional Practices Section, Internal Audit Division, OIOS

Management Response

Audit of gender advisory programme in the African Union-United Nations Hybrid Operation in Darfur

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
1	UNAMID should allocate funds to source expertise for a gender baseline study to identify the unique experiences, needs, aspirations, priorities and socio-cultural and religious realities of gender differences and inequality.	Important	YES	Officer-in-Charge Gender Advisory	15 October 2015	<p>Funds to initiate a gender baseline study are acquired. The Mission has also initiated the following:</p> <p>Terms of Reference for the gender baseline survey will be prepared and submitted for approval by UNAMID senior management by 20 June 2015.</p> <p>A local consultant will be contracted through UN competitive recruitment process to select the most suitable candidate with gender and organizational development / baseline survey expertise and experience in Darfur by 20 July 2015.</p> <p>The selected candidate is expected to start the work by 30 July 2015 and to complete field work by 30 August 2015.</p> <p>A draft report is expected to be presented by 30 September 2015.</p> <p>Final report will be due on 15 October 2015.</p>

¹ Critical recommendations address significant and/or pervasive deficiencies or weaknesses in governance, risk management or internal control processes, such that reasonable assurance cannot be provided regarding the achievement of control and/or business objectives under review.

² Important recommendations address important deficiencies or weaknesses in governance, risk management or internal 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 gender advisory programme in the African Union-United Nations Hybrid Operation in Darfur

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
2	UNAMID should implement adequate procedures and take steps to prioritize its activities on the promotion of gender mainstreaming to ensure: senior management uses the DPKO/DFS gender checklist for monitoring and reporting on the implementation of gender mainstreaming activities, implementation of an effective network of gender focal points, and mission personnel are adequately trained on the United Nations policy and UNAMID mandates on gender equality.	Important	YES	Officer-in-Charge Gender Advisory	31 December 2015	<p>From 25 July to 31 August 2015, the Senior Gender Affairs Officer will hold a series of consultative meetings with Chiefs of all UNAMID substantive sections, as well as the military and police components, to assess the process of mainstreaming gender in their activities</p> <p>Relevant focal points will be identified from both substantive and MSD sections by 31 August 2015.</p> <p>Training for all focal points will be carried out by Gender Advisory Unit by 30 October 2015.</p> <p>At UNAMID Senior Management Meetings, Gender Advisory Unit will flag gender mainstreaming strategies devised and implemented by Gender Advisory Unit by 30 October 2015.</p> <p>Gender checklist will also be presented to all UNAMID senior managers. Each senior manager will receive a copy of the checklist and space for asking questions by 30 November 2015.</p> <p>Gender staff proportion assessment will be conducted every quarter, starting from 30 September 2015, to identify (using disaggregated</p>

Management Response

Audit of gender advisory programme in the African Union-United Nations Hybrid Operation in Darfur

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
						data) the number of UNAMID personnel (military, police and civilians) in the mission who have been promoted, left the mission / retrenched / retired or have joined the Mission (quarterly).