



**OIOS**

Office of Internal Oversight Services

## **INTERNAL AUDIT DIVISION**

# **AUDIT REPORT**

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**Audit of the management of the  
Office of the Special Adviser on  
Gender Issues (OSAGI) and the  
Division for the Advancement of  
Women (DAW)**

**OSAGI and DAW's programme of work needs  
consolidation and overall review**

**22 May 2009**

**Assignment No. AN2008/540/01**

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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. Sha Zukang, Under-Secretary-General  
A Department of Economic and Social Affairs (DESA)

DATE 22 May 2009

REFERENCE IAD: 09-07493

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

*Fatoumata*

SUBJECT **Assignment No. AN2008/540/01 - Audit of the management of the Office of the Special  
OBJET **Adviser on Gender Issues (OSAGI) and the Division for the Advancement of Women (DAW)****

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 11, 14, 15 and 17 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. Your response indicated that you did not accept recommendations 1 and 3. In OIOS' opinion however, these recommendations seek to address significant risk areas. We are therefore reiterating them and requesting that you reconsider your initial response based on the additional information provided in the report.
4. Please note that OIOS will report on the progress made to implement its recommendations, particularly those designated as high risk (i.e., recommendations 1-4, 6-8, and 16) in its annual report to the General Assembly and semi-annual report to the Secretary-General.

cc: Ms. Rachel Mayanja, ASG/Special Adviser on Gender Issues and Advancement of Women  
Ms. Carolyn Hannan, Director, Division for the Advancement of Women  
Ms. Catherine Peluso, Executive Officer, DESA  
Mr. Swatantra Goolsarran, Executive Secretary, UN Board of Auditors  
Ms. Maria Gomez Troncoso, Officer-in-Charge, Joint Inspection Unit Secretariat  
Mr. Moses Bamuwanye, Chief, Oversight Support Unit, Department of Management  
Mr. Byung-Kun Min, Programme Officer, OIOS  
Mr. William Petersen, Chief, New York Audit Service, OIOS

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## INTERNAL AUDIT DIVISION

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### 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

### **Audit of the management of the Office of the Special Adviser on Gender Issues (OSAGI) and the Division for the Advancement of Women (DAW)**

OIOS conducted an audit of the management of the Office of the Special Adviser on Gender Issues (OSAGI) and the Division for the Advancement of Women (DAW). The overall objective of the audit was to assess the: (a) efficiency and effectiveness of programme management in achieving the mandates and implementing the programme of work; and (b) compliance with the United Nations (UN) Regulations and Rules. The audit was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.

OSAGI and DAW's programme of work was guided by multiple stakeholders and legislative mandates and covered a complex target audience across the UN Secretariat, UN system, national governments and civil society. The Assistant Secretary General (ASG)/Special Adviser to the Secretary General (SG) was accountable to the SG, the Deputy Secretary General (DSG) and the Under Secretary General (USG), DESA who are in turn guided by the resolutions or other directives of the Security Council, General Assembly and Economic and Social Council. A review of the expected accomplishments and indicators of achievement indicated that the programme activity did not reflect progress in supporting the implementation of the objectives established by the Beijing declaration and its follow up in Beijing+5 held in 2000. Thirteen years after the Beijing declaration, the UN system, facilitated by OSAGI and DAW through its servicing of the Commission on the Status of Women (CSW) and other intergovernmental bodies, had not been able to establish a cohesive framework to measure global progress of the agenda for the advancement of women as has been done in the case of the Millennium Development Goals (MDGs).

*The DESA Administration stated that the Commission on the Status of Women (CSW) established the Beijing Platform for Action as the global framework for gender equality and the CSW monitors progress on the implementation of this framework in different ways at each annual session, and during mandated five-yearly reviews. The work programmes of OSAGI and DAW are established by mandates from intergovernmental bodies (CSW, ECOSOC, GA and Security Council), and are reviewed by the CSW, Committee for Programme Coordination (CPC) and/or Advisory Committee on Administrative and Budgetary Questions (ACABQ) before approval by the 5<sup>th</sup> Committee of the General Assembly. The resources provided to OSAGI and DAW are directly related to the specified activities in these mandates. The MDGs contain a sub-set of the recommendations with targets and indicators from all the global conferences of the 1990s, including the Beijing Platform for Action. These are the only indicators on gender equality endorsed by Member States.*

In OIOS' view, a more actionable expected accomplishment for sub-programme 2 could have been OSAGI and DAW's facilitation of CSW in ensuring that the UN system establishes a cohesive framework to measure global

progress on the advancement of women, for example, as has been achieved in the case of the MDGs. OIOS noted that since the indicators for measuring the progress in monitoring the Beijing declaration and Beijing +5 objectives had not been established or agreed to, the reports on progress were primarily anecdotal. The risk of preparing an anecdotal compilation is that global progress is not readily comparable or measurable on a recurrent basis as is being done, for example, in measuring the MDGs. OIOS notes that the eight MDGs have been adopted by the international community as a framework of development activities and are operational in nature. Goal number 3 pertains to eliminating gender disparity in primary and secondary education by 2005 and in all levels by 2015. The Beijing Platform for action is a much larger framework covering 12 critical areas and is not limited to indicators established by MDG 3. Therefore, the indicators used for the MDG number 3 are not adequate to measure progress for the Beijing Platform for action. Further, ECOSOC in its resolution 2007/33 recognized that a large gap exists between policy and practice regarding gender mainstreaming, and that the UN system needs to devise a more effective monitoring and evaluation framework and promote a results-based management framework with benchmarks and indicators for measuring progress in the application of strategies to achieve gender equality.

The General Assembly's goal of obtaining a 50/50 gender distribution in UN senior posts by 2000 had not been achieved. According to the most recent report on the status of women in the UN system (A/63/364), only 38.7 per cent (2,576 out of 6,661) of all staff in the professional categories are women, and only 26.3 per cent (165 out of 627) of professionals having appointments at the D-1 level and above are women. The Focal Point for Women, who is responsible for implementing this mandate, was under resourced, and she had not prepared work plans between 1988 and 2007, although a work plan had been prepared for 2008-2009.

OSAGI and DAW's weak internal control environment resulted from DESA's management not ensuring that senior managers' performance was evaluated on an annual basis. Further, the facts relating to the staff grievances needed to be assessed and resolved. In addition, a number of other administrative areas have been identified for improvement.

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## I. INTRODUCTION

1. The Office of Internal Oversight Services (OIOS) conducted an audit of the management of the Office of the Special Adviser on Gender Issues and Advancement of Women (OSAGI) and the Division for the Advancement of Women (DAW). The audit was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.

2. OSAGI is headed by an Assistant-Secretary-General (ASG), who is also the Special Adviser to the Secretary-General on Gender Issues and the Advancement of Women. OSAGI has responsibility for: (i) providing leadership for the mainstreaming of gender issues into all activities and programmes in the UN system; (ii) providing leadership to the Inter-Agency Network on Women and Gender Equality (IANWGE) which plays a central role in promoting gender equality throughout the UN system and in the follow-up to the Fourth World Conference on Women in Beijing in 1995 and the twenty-third special session of the General Assembly (Beijing +5) in 2000; and (iii) monitoring and reporting on the status of women in the UN System, and assisting the Secretary-General (SG) in achieving the General Assembly (GA) mandated goal of 50/50 gender balance at all levels in the UN system through the Focal Point for Women. The ASG/Special Adviser also advises the Secretary-General on gender mainstreaming issues, including her advocacy related functions, facilitating the integration of gender issues into the overall policy direction of the UN, performing representational functions for the Secretary-General, and assisting him in designing the policies to improve the status of women in the Secretariat.

3. DAW is responsible for: (i) advising the Special Adviser in her capacity as coordinator of gender issues; (ii) providing support for the implementation of the Beijing Declaration objectives; (iii) providing support to the Commission on the Status of Women (CSW), the Economic and Social Council (ECOSOC) and the GA; (iv) providing support to other intergovernmental forums of the UN system including the IANWGE; (v) providing advisory services to developing countries for implementation of the Beijing declaration objectives; (vi) strengthening partnerships with civil society; and (vii) designing and maintaining with governments and specialized constituencies a system of information related to the objectives of the Beijing declaration, including the maintenance and expansion of internet space. DAW is managed by a Director who reports to the Secretary-General through the ASG/Special Adviser on Gender Issues and Advancement of Women (OSAGI).

4. Budget appropriations and staff resources allotted to OSAGI and DAW fall under sub-programme 2 of Programme 7 of the UN biennial budget and are detailed in Table 1:

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**Table 1. Budget for Gender Issues and Advancement of Women**  
(thousands of United States dollars)

	2006-2007	2008-2009
Regular budget	\$10,604.0	\$10,370.9
Extrabudgetary	\$2,586.0	\$2,830.8
Posts (Professionals + General Service)	41	40

Source: Proposed Programme Budget 2006-2007, 2008-2009: Programme 7: Sub-programme 2 (A/62/6)

5. Comments made by the Department of Economic and Social Affairs are shown in *italics*.

## II. AUDIT OBJECTIVES

6. The main objectives of the audit were to assess the:

- (a) Efficiency and effectiveness of programme management in achieving the mandates and implementing the programme of work; and
- (b) Compliance with United Nations Financial Regulations and Rules and other established UN policies and procedures.

## III. AUDIT SCOPE AND METHODOLOGY

7. The audit covered the period from 1 January 2006 to 31 August 2008. The audit was conducted through interviews of key personnel, review of documentation, analytical procedures, and tests of controls.

## IV. AUDIT FINDINGS AND RECOMMENDATIONS

### A. Governance

OSAGI and DAW's programme of work needs consolidation and overall review

8. The Beijing declaration of September 1995 serves as the overarching framework for the follow up of issues related to the advancement of women globally. It identified 12 critical areas of concern along with actions to be taken in respect of each of the strategic objectives by different stakeholders such as national governments, multilateral financial institutions, national and international non-governmental organizations, and women's groups. The Secretary-General was invited to establish a high level post in his office to act as his Special Adviser on Gender Issues and Advancement of Women and to help him in ensuring system-wide implementation of the strategic objectives. DAW was tasked with the function of servicing intergovernmental bodies concerned with issues relating to the advancement of women. Also, DAW was to examine the obstacles relating to the advancement of women through the application of

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gender impact analysis policy studies. It was also to maintain a flow of information exchanged with national commissions, national institutions and NGOs. The UN system was to provide technical cooperation activities and other forms of assistance to the developing countries.

9. In 2000, the General Assembly reaffirmed its commitments to the 12 critical areas identified in the Beijing declaration. Actions identified are included in Part C and D of the Annex to the General Assembly's resolution A/RES/S-23/3. Areas listed in this document are mainly to assist national governments in developing methods to address the targeted actions. These include, for example, assisting the national governments to develop institutional capacity in developing national action plans and in developing methods for compiling statistics on the contributions of women to the economy.

a) Programme of work is complex and not adequately resourced

10. A review of the OSAGI and DAW activities indicates that although their budget submission was under one sub-programme, they functioned as two separate entities. OSAGI and DAW have separate work programmes arising from different mandates. The work programme of OSAGI is under the direct authority of the Secretary-General. The programme of work for both these entities is complex because it seeks to address the needs of multiple stakeholders across the UN system. For example, the mandate on gender balance which covers the UN Secretariat, on one hand, attempts to conduct studies on issues related to the status of women in the Secretariat, to advise the SG on gender issues for policy direction and attention, and represents the SG at fora on gender issues and advancement of women. On the other hand, the sub-programme also covers the UN System in providing leadership to: the mainstreaming of gender issues into all activities and programmes; IANWGE; and the Inter-Agency Task Force on Women, Peace and Security.

11. In OIOS' opinion, the programme was under-resourced for the nature and scope of activities that it was tasked to implement. For example, one acting D1 in OSAGI, with adhoc support from DAW, was tasked with activities relating to gender mainstreaming, inter agency coordination including servicing IANGWE, gender architecture and violence against women, all of which related to the UN system. Planned OSAGI and DAW activities/outputs increased from 693 in 2004-2005 to 839 in 2006-2007 without any increase in staffing. At the time of the audit, due to the excessive volume of activities, staff in the divisions was under substantial pressure to complete their workload.

12. As a result of the heavy workload, nearly two-thirds of DAW's planned publications were either postponed or terminated. In 2004-2005, only 12 out of 34 publications had been produced, whereas, in 2006-2007, only 10 out of 31 publications were produced. *DESA noted that some publications were terminated because of the additional workload in 2004-2005 and 2007-2008 relating, respectively, to the 10-year review and appraisal, and to the extra sessions of CEDAW mandated by the General Assembly.* Particularly noteworthy, was the postponement of the important publication on the review of the implementation of the Beijing Platform for Action in two successive biennia

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(2004-2007). In OIOS' view, this publication should have been considered a high priority since the Beijing Platform for Action is the comprehensive framework agreed to by Member States to guide the UN system's work on gender. *DESA stated that preparation of the electronic publication on the review and appraisal of the 12 critical areas of the Beijing Platform for Action commenced at the end of 2005 and was scheduled to be completed by June 2006. The finalization of the report was delayed due to a request from the Secretary-General's office to release one of the consultants temporarily for another priority assignment. The final report was therefore submitted in March 2007 to DAW.* DESA is currently preparing an updated version of this report which will be part of the preparations for the 15 year review and appraisal in 2010 and will be posted on their '15 Year Review' webpage.

13. Also, urgent ad hoc requests were frequently received from the Secretary-General (SG), the Deputy Secretary-General (DSG), intergovernmental bodies and other stakeholders, and were followed up by OSAGI and DAW without always being logged or receiving additional resources. *DESA stated that responses to ad hoc requests from a variety of sources is part of the routine work of OSAGI and DAW, in accordance with mandates on gender mainstreaming and follow-up to the implementation of the Beijing Platform for Action. While DAW logs in and keeps records of all inputs provided on ad hoc requests, this is not the case with OSAGI.* Such requests include, for example, talking points for meetings of the SG/DSG with ministers or other high-level representatives from Member States or for conferences/intergovernmental meetings, background notes on specific substantive issues, inputs to and comments on SG reports for other divisions/departments, etc. In recognition of the staffing constraints, the General Assembly in its draft resolution (A/RES/63/260 dated 17 February 2009) approved five additional staff for the sub-programme on Gender Issues and Advancement of Women for the 2008-2009 programme budget.

b) Discussions on the formation of a new entity

14. In November 2006, the Secretary-General's High Level Panel on System-Wide Coherence in the UN (the Panel), in its report entitled "Delivering as One" (A/61/583), called for the need to examine the overlapping mandates on gender by *inter alia* consolidating the three entities of OSAGI, DAW and UN Development Fund for Women (UNIFEM) into an independent gender entity under one Under-Secretary-General. In April 2007, the Secretary-General recommended to the General Assembly (A/61/836) that it establishes an independent women-specific entity that would combine OSAGI, DAW, and UNIFEM. The consolidation would combine both normative and operational responsibilities with a strong global, regional, and country presence, thereby creating important synergies. The new gender entity would be fully resourced and led by a senior official at the USG level.

15. Following the Secretary-General's recommendations, the General Assembly commissioned the Inter-Agency Gender Task Force, comprising all relevant UN entities and led by the DSG in collaboration with the ASG for OSAGI and DAW, to fully assess a range of institutional options for strengthening the coherence and impact of the gender architecture. In her

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statement of 21 June 2007 to the General Assembly<sup>1</sup>, the DSG concurred with the Panel's assessment, reporting that the current gender architecture was fragmented and ill-equipped for system-wide work on gender mainstreaming and was under-resourced for its broad mandates. The gender architecture lacked the mandate and resources to lead the UN system in gender equality and women's empowerment, as well as system-wide coherence on gender equality policies, measurable goals and timelines, coordinated capacity-building, accountability for senior managers, and efficient use of inter-sectoral synergies. In sum, the UN gender architecture suffered from an absence of strategic leadership.

16. Acknowledging the deficiencies highlighted by the DSG, the General Assembly requested the preparation of a concept note detailing the Secretariat's proposal for strengthening the gender equality architecture. The concept note, which supported the consolidation of the four women's entities of OSAGI, DAW, UNIFEM and INSTRAW, and proposed increased resources and enhanced authority to achieve the gender mandate, was presented to the General Assembly in July 2008. The General Assembly's resolution (A/RES/62/277) requested the Secretary General to provide a paper detailing modalities and focusing on the options set out in the DSG's paper, covering funding, governance structure, staffing, specific functions, and the relationships with the CSW and other relevant bodies. Substantive action on this paper by the General Assembly is expected during its sixty-third session.

17. In OIOS' view, the USG, DESA in consultation with the Secretary-General needs to consolidate the two entities for OSAGI and DAW and have one single programme of work for gender within the department. Since the budget submission is already under one sub-programme, the merger of the entities would help in making the best use of limited resources and in streamlining the planning, implementation and monitoring of the work programme.

18. Further, OIOS is of the opinion that the programme of work should be reviewed by USG, DESA in consultation with the CSW and major stakeholders, to enable it to effectively facilitate the follow up of internationally agreed goals. This should include a review of its expected accomplishments, indicators of achievements, and agreed methodology for the facilitation of the follow to the Beijing Declaration and Beijing +5's internationally agreed goals. The review of the programme and the GA's decision on the gender architecture should also include a review of the terms of reference of the ASG/Special Adviser, with a view to clearly defining the distinct responsibilities of this office within the UN Secretariat and the UN system.

### **Recommendations 1 and 2**

**(1) The USG, DESA, in consultation with the Secretary-General, should consolidate the two divisions of OSAGI and DAW and have one single programme for gender within the department.**

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<sup>1</sup> The Deputy-Secretary-General Statement to the General Assembly: "Consultations on System-wide Coherence and Gender Architecture", New York, 21 June 2007.

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**(2) The USG, DESA should ensure that the General Assembly's review of the gender architecture also considers the terms of reference of the ASG/Special Adviser, with a view to clearly defining the distinct responsibilities of this office within the UN Secretariat and the UN system.**

19. *The DESA Administration did not accept recommendation 1 and stated that although the Department agrees that this merits review, it should be seen as part of the ongoing gender equality architecture review already underway in the General Assembly, under the direction of the President of the General Assembly. In accordance with GA resolution 62/277, the target for completion of this process is within the 63<sup>rd</sup> session of the Assembly. At the same time, the distinction between the programmes of work of DAW and OSAGI must be considered as the two entities currently have different mandates and distinct activities. The reporting lines also differ. The Special Adviser reports directly to the Secretary-General while, as a division of DESA, DAW reports to the USG of DESA through the ASG. In OIOS' view, the fact that OSAGI and DAW have different reporting lines and different activities is not a sound basis for not consolidating the programme. If this were the basis for defining functional units, then the consolidation of OSAGI, DAW, UNIFEM and INSTRAW should also not be considered. OIOS agrees that it would be appropriate to wait for the GA's decision in the 63<sup>rd</sup> session. However, OIOS is compelled to reiterate this recommendation pending the GA's decision on this issue in the 63<sup>rd</sup> session. The USG, DESA should closely monitor the GA's review of the gender architecture in its 63<sup>rd</sup> session. If there is no decision by the GA on the merger of OSAGI, DAW, UNIFEM and INSTRAW, DESA should implement OIOS' recommendation to consolidate OSAGI and DAW and have one programme for gender. Recommendation 1 remains open pending receipt of documentation indicating the GA decision on gender architecture in its 63<sup>rd</sup> session.*

20. *The DESA Administration did not accept recommendation 2 and stated that this should be seen as part of the ongoing process of the reform of the gender equality architecture which is currently underway in the General Assembly, under the direction of the President of the General Assembly. In accordance with GA resolution 62/277 the target for completion of this process is within the 63<sup>rd</sup> session of the Assembly. OIOS agrees that it would be appropriate to wait for the GA decision in the 63<sup>rd</sup> session. However, pending the possibility that no decision may be taken on this issue in the 63<sup>rd</sup> session, OIOS would like to reiterate this recommendation. The USG, DESA should monitor the GA decision on the review of the gender architecture in its 63<sup>rd</sup> session and in the event that there is no clear decision from the GA on the merger of OSAGI, DAW, UNIFEM and INSTRAW, DESA should proceed to implement this recommendation. Recommendation 2 remains open pending receipt of documentation indicating the GA decision on gender architecture in its 63<sup>rd</sup> session.*

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Expected accomplishments and indicators of achievement need review

21. A review of the expected accomplishments and indicators of achievement indicated that the programme activity did not reflect progress in supporting the implementation of the objectives established by the Beijing declaration and its follow up Beijing+5 special session held in 2000. For example, sub-programme 2 had identified one of its key expected accomplishments in the biennium 2006-2007 as "enhancing international debate and facilitation of agreements on gender equality and the advancement of women and increased attention to the implementation of the Beijing Platform for Action." One indicator of achievement (IOA) for this expected accomplishment was the number of Member States specifying actions taken to implement the Beijing Platform for Action. The target for this IOA was 130 statements to be made by Member States. The performance was reported as 293 statements made by Member States.

22. *DESA stated that the indicators do reflect progress in implementation in the areas measured both at the national level and in the intergovernmental context. The indicators of achievement cannot be comprehensive but, in keeping with the current results-based planning framework in the Secretariat, focus on a limited number of areas in the programme of work. Indicators for 2008-2009 focus on the number of policies and actions taken at national and regional levels to implement the Platform for Action and the Convention on the Elimination of All Forms of Discrimination against Women; the number of Member States which report on actions taken to implement gender mainstreaming at the national level; the proportion of resolutions of the GA which incorporate gender perspectives; the numbers of NGOs participating in the work of the Commission; and the number of actions by UN entities to incorporate gender perspectives into their policies and programmes. Indicators for 2006-2007 focus on the impact of recommendations proposed by DAW on the formulation of resolutions, decisions and agreed conclusions in the intergovernmental process; the number of Member States which report on actions taken to implement the Platform for Action; the number of ECOSOC resolutions that incorporate attention to gender perspectives; and the numbers of Member States and UN entities reporting on actions taken to implement gender mainstreaming at the national level. Member States established the Beijing Platform for Action in 1995 as the global framework and have since then reiterated in many different contexts their support for it as the global framework. Since 1995, the implementation of this framework has been regularly and systematically monitored by the Commission on the Status of Women. CEDAW is another important and effective mechanism for follow-up and review of progress on gender equality and advancement of women.*

23. In terms of global monitoring of the Platform for Action, the Commission on the Status of Women does this in three ways. Firstly, the Commission holds five-yearly review and appraisals covering all 12 Critical Areas of Concern, based on information provided by Member States in response to a questionnaire provided through a Note Verbale. Secondly, a report of the Secretary-General compiles achievements and good practices in all areas as well as gaps and challenges. Such reviews were held in 2000 and 2005 and will be

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held again in 2010. Thirdly, in its new working methods adopted in 2006, at each annual session the Commission now regularly reviews progress towards implementing the recommendations adopted on priority themes at earlier sessions.

24. However, OIOS noted that since the indicators for measuring the progress in monitoring the Beijing declaration and Beijing +5 objectives had not been established or agreed to, the reports on progress were primarily anecdotal. The risk of preparing an anecdotal compilation is that global progress is not readily comparable or measurable on a recurrent basis as is being done, for example, in measuring the Millennium Development Goals. The expected accomplishments and indicators of achievement for the programme of work for sub-programme 2 were therefore not in alignment with the actionable nature of the Beijing declaration and Beijing +5 objectives and hence were of limited effectiveness in facilitating the agenda for the advancement of women. *DESA stated that the Member States have not given the UN system the mandate to develop a framework for measuring the progress of Member States in the implementation of the Platform for Action, including the prioritization of areas to be followed up and the development of indicators. This is the prerogative of the Member States.*

25. With regard to the above comment by DESA, OIOS points out that recent intergovernmental resolutions have called for the creation of a framework that could measure progress. For example, ECOSOC, in its resolution 2006/9, requested the Secretary-General to report on a selected priority theme from amongst the agenda issues in the advancement of women, including proposals for possible indicators elaborated in cooperation with the Statistical Commission. In response to this, CSW and the Statistical Commission organized a parallel event in March 2007 to discuss the development of indicators for selected priority themes in the implementation of the Beijing declaration and Beijing +5 objectives and proposed indicators to measure violence against women were discussed at the Statistical Commission's 40<sup>th</sup> session in 2009.

26. ECOSOC in its resolution 2007/33 recognized that a large gap exists between policy and practice regarding gender mainstreaming and that the UN system needs to devise a more effective monitoring and evaluation framework and promote a results-based management framework with benchmarks and indicators for measuring progress in the application strategies to achieve gender equality. Three sets of results frameworks have been adopted by IANWGE for monitoring the UN system-wide progress on gender equality and empowerment of women at headquarters and at the country level, and for monitoring the Security Council resolution on women, peace and security (1325). However, there is so far no universal and comprehensive framework establishing the priorities to be followed up, and the indicators and benchmarks for measuring progress in the implementation of the Beijing declaration and Beijing +5 objectives. *DESA stated that it is expected that the CSW will continue to identify areas for further development of indicators within its new programme of work, and will continue to call on the technical expertise of the Statistics Commission in the elaboration of these indicators in terms of definition, scope, and data*

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*sources, and in line with the required procedures for the development of indicators, prior to their adoption by the CSW.*

27. OIOS notes that the eight MDGs goals have been adopted by the international community as a framework of development activities and are operational in nature. Goal number 3 pertains to eliminating gender disparity in primary and secondary education by 2005 and in all levels by 2015. It monitors the ratio of girls to boys in primary, secondary and tertiary education, the share of women in wage employment in the non-agricultural sector and the proportion of seats held by women in national parliaments. However, the Beijing Platform for action is a much larger framework covering 12 critical areas and is not limited to indicators established by MDG number 3. Therefore, the indicators used for the MDG 3 are not adequate to measure progress for the Beijing Platform for action. *DESA stated that the MDGs are based on the outcomes of all the global conferences and summits of the 1990s, including the Beijing Platform for Action. Member States endorsed three indicators on gender equality and empowerment of women for MDG 3 – on education, employment and participation – based on the Platform for Action. All UN entities are expected to follow-up and report on these indicators within their respective mandates.*

28. Since DESA supports CSW in preparing the latter's agenda, facilitating discussions and recording recommendations and conclusions, and the ECOSOC is also requesting a results-based management framework with benchmarks and indicators for measuring progress in the application strategies to achieve gender equality, it falls within DESA's remit to facilitate such a discussion in CSW. Although, IANGWE has made progress in monitoring the UN system-wide progress on gender equality and empowerment of women at headquarters and at the country level, and for monitoring the Security Council resolution on women, peace and security, this also does not substitute for a universal and comprehensive framework establishing the priorities to be followed up, and the indicators and benchmarks for measuring progress in the implementation of the Beijing declaration and Beijing +5 objectives.

29. The Director, DAW informed OIOS that the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW), adopted by the General Assembly in 1979, obliges the parties to the convention to report, within a year after its entry into force and at least every four years thereafter, on the legislative, judicial, administrative or other measures that have been adopted to implement the Convention. By accepting the Convention, States committed themselves to undertake a series of measures to end discrimination against women in all forms. These reports are reviewed by the CEDAW which is comprised of 23 experts elected on a country basis. In the Declaration adopted at the ten-year review and appraisal in 2005, the Commission on the Status of Women recognized that "the implementation of the Beijing Declaration and Platform for Action and the fulfillment of the obligations under the Convention on the Elimination of All Forms of Discrimination against Women are mutually reinforcing in achieving gender equality and the empowerment of women." *DESA stated that the Committee on the Elimination of Discrimination against Women not only refers to the specific articles of the Convention but systematically considers the implementation of the Beijing Platform for Action*

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*and outcome of the 23rd special session of the General Assembly (Beijing +5). The Declaration adopted by the CSW in 2005 noted the synergies between the Platform for Action and the Convention in relation to the implementation of gender equality and empowerment of women. The reports of the States parties and the concluding comments of the CEDAW Committee are also used in the report on progress on gender equality and empowerment of women in reports of the Secretary-General to the Commission on the Status of Women and the General Assembly. The Chairperson of the CEDAW Committee is mandated to report to the Commission on the Status of Women as well as to the General Assembly. OIOS points out that this mechanism, although covering some issues envisaged within the Beijing declaration and Beijing + 5 objectives, is limited to monitoring the specific 1979 CEDAW convention.*

### **Recommendation 3**

**(3) The USG, DESA, in consultation with the Commission on the Status of Women and major stakeholders should review the programme of work to enable DESA to effectively facilitate the follow up of internationally agreed goals. This should include a review of the expected accomplishments, indicators of achievements, and agreed methodology for the facilitation of the follow-up to the Beijing Declaration and Beijing +5's internationally agreed goals prior to the strategic framework's review and approval by the intergovernmental process.**

30. *The DESA Administration accepted recommendation 3. Recommendation 3 remains open pending receipt of documentation indicating that the expected accomplishments, indicators of achievements, and agreed methodology for the facilitation of the follow to the Beijing Declaration and Beijing +5's internationally agreed goals has been reviewed.*

### IANWGE's coordination efforts need to be improved

31. IANWGE is a network of gender focal points in the offices of the UN system. IANWGE promotes gender equality, and monitors and coordinates mainstreaming of gender perspectives in the UN system. It is chaired by the Special Adviser for the Advancement of Women and Gender Issues. OIOS reviewed the progress of the expected accomplishments for increased interagency collaboration on the promotion of gender equality and advancement of women, which included a review of the achievements of IANWGE and 11 task forces established by it on a number of subjects. Of these, 6 task forces had been established prior to 2004 and the remaining 5 were established in 2008. Information on the activities and achievements of the task forces was not updated on the IANWGE website. It was difficult to establish whether the objectives of the task forces had been met because the indicators of progress had not been agreed to by the task forces in all cases. Further, task force meetings were not held regularly and it was difficult to establish the level of task force activities given that data was not adequately reflected on the website. Responsibilities of task force members had also not been clearly defined. Some task forces were

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more active than others but there had been no overall review of the status of achievement of each of the task forces since their establishment, especially those that were established prior to 2004.

#### **Recommendations 4 and 5**

**The OSAGI Administration should:**

**(4) Review the status of achievements of the IANWGE task forces vis-à-vis their terms of reference to determine the need for their continuance; and**

**(5) Clearly specify indicators of progress for the IANWGE task forces and the progress made by each task force should be indicated on the IANWGE website.**

32. *The OSAGI Administration accepted recommendation 4 and stated that the review of the work of the task forces is conducted regularly through presentation of annual reports and work plans as part of the annual meetings of IANWGE. The extension of mandates of the task forces is carried out by the network as a whole. OSAGI will require all task managers to take a more critical look at the terms of reference and develop indicators of performance. Recommendation 4 remains open pending receipt of documentation updating the terms of reference and indicators of performance for each of the task forces.*

33. *The OSAGI Administration accepted recommendation 5 and stated that it will require all task managers to develop indicators of performance and to provide updated information for the website on a regular basis. A consultant is being recruited to update the website. Recommendation 5 remains open pending receipt of information from DESA indicating that the website has been updated with the indicators of progress developed by each task force.*

#### Weak internal control environment

34. According to the common definition of internal controls, standards, and criteria against which companies and organizations can assess their control systems, the internal control environment sets the tone of an organization, influencing the control consciousness of its people. It is the foundation for all other components of internal control, providing discipline and structure. Control environment factors include the integrity, ethical values, management's operating style, delegation of authority systems, as well as the processes for managing and developing people in the organization. OIOS' review indicated that OSAGI and DAW's internal control environment was weakened due to the following: (a) there was no evaluation of senior managers' performance on an annual basis; and (b) a large number of staff grievances had not been redressed.

a) OSAGI and DAW senior managers' performance were not being evaluated

35. The purpose of the PAS (ST/AI/2002/3) is to improve the delivery of programmes mandated by the General Assembly by optimizing performance at

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all levels. PAS is a management tool based on linking individual work plans with those of departments and offices and forms the basis on which individual performance is assessed. This entails setting goals, planning work in advance and promoting two-way communication and providing on-going feedback, on the goals to be achieved.

36. PAS evaluations of the senior management positions in the OSAGI and DAW (Assistant Secretary-General, Director and Deputy-Directors) had not been completed for the period from 2004 to 2008. The Director had submitted her work plans for the 2004-2009 PAS cycles, which were approved but not evaluated by the First Reporting Officer (FRO) or the Second Reporting Officer (SRO) for reasons such as the previous FRO's sick leave and retirement. The current ASG/Special Adviser attributed the non-compliance to the unclear reporting lines of the Director which have since been clarified.

37. The ASG/Special Adviser also informed OIOS that the Focal Point for Women's PAS for 2006, after obtaining OHRM's clarification, has been signed off and returned to her. The PAS is yet to be signed off by the staff member. The ASG/Special Adviser further stated that the staff member's 2007-2008 PAS is under preparation and has been delayed due to her being on extended sick leave.

38. The ASG/Special Adviser herself did not have a designated FRO or SRO, as required by the PAS evaluation process. Therefore, the ASG/Special Adviser's performance had never been evaluated by a senior official despite her various responsibilities as the Head of Office. The ASG/Special Adviser stated that she was not aware of the requirement for an ePas for ASGs as she thought that a compact with the USG would have been the appropriate evaluation mechanism. However, there was also no compact initiated during the previous USG's tenure. In April 2008, the SG determined that on a pilot basis all ASGs would have compacts with the USGs. For 2008, the ASGs also have to complete their PAS. The ASG/Special Adviser has prepared a compact for 2008-2009 which, at the time of the audit, had yet to be approved by the USG. The risk of not evaluating the performance of senior managers is that the programme of work may not be led effectively or continually assessed for improvements. Reference is made to General Assembly resolutions 61/244 and 53/221, requesting the Secretary-General to improve the accountability of senior managers to ensure that they are properly undertaking the responsibilities entrusted to them, as required for all staff members under UN Staff Regulation 101.3. *DESA stated that there were extenuating circumstances in the case of the ASG and the Director as to why the PAS evaluations had not been completed.*

#### **Recommendations 6 and 7**

**(6) The OSAGI and DAW Administration should ensure that all PAS performance evaluations are brought up to date immediately and, in future, are completed within the PAS cycle deadlines in compliance with ST/AI/2002/3.**

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**(7) The USG, DESA should ensure that the Assistant Secretary General/Special Adviser's compact and PAS for 2008 and previous years are finalized as soon as possible.**

39. *The DESA Administration accepted recommendation 6 and stated that DESA agrees that the outstanding PASs should be finalized. The USG recently convened a Management Review Committee (MRC) where it was decided, inter alia, that all outstanding performance appraisals in the Department should be finalized by 31 March 2009, and follow-up action is being taken in this regard. The DESA Administration accepted recommendation 7 and stated that the Special Adviser's Compact for 2008 has been completed. The outstanding PAS will be finalized. Recommendations 6 and 7 remain open pending receipt of documentation from DESA showing that the PAS have been completed.*

b) Staff grievances not addressed

40. During the period from 2006 to 2008, a total of 22 staff grievances were reported to the Focal Point for Women who informed OIOS that she brought them to the attention of OSAGI and DAW management on an informal basis. OIOS' review of the nature of the grievances indicated that 21 out of the 22 of the complaints related to alleged harassment and managerial abuses of power, misconduct, and incompetence pertaining to one manager. The resignation letter of one staff member, which was submitted to the Director, the Executive Office, and OHRM, also included a formal complaint of harassment against the same manager. Staff also reported fear of retaliation and a lack of respect for management. According to the staff, the DAW management had not satisfactorily redressed their complaints, and the problems were recurring. The allegations were also brought to OIOS' attention by the staff during the audit.

41. *The Director of DAW reported that she had never received a complaint from a staff member, or through any other channel, on harassment or abuse of authority as outlined in ST/SGB/2008/5. Some conflicts between staff members, which were related to harsh treatment, usually in relation to performance issues, were reported to the Director and these were immediately addressed. Periodic follow-up was undertaken to ensure that the situation did not re-occur. The EO stated that her office has not been approached by the Focal Point, staff representatives, OHRM or the Ombudsman (except in the case of one senior manager) regarding staff complaints. She had been approached by two general service staff. One staff member brought forward a performance related issue and the EO encouraged the staff member to approach the Director. The other staff member requested confidentiality. No staff complaints specific to DAW were brought to the EO's attention by the staff representatives in the context of the DESA Task Force on Human Resources reviewing issues solicited from all DESA staff, including anonymous complaints.*

42. According to the Secretary-General's Bulletin, "Prohibition of discrimination, harassment, including sexual harassment, and abuse of authority" (ST/SGB/2008/5), Heads of departments and offices are to: (i) maintain work environments free of discrimination, intimidation, and abuse of authority; and (ii) ensure that complaints of prohibited conduct are promptly addressed in a fair and

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impartial manner. In OIOS' view, the staff complaints including the resignation letter of a staff member provide adequate grounds to the USG, DESA to conduct a review and take measures to resolve the staff's grievances and improve their conditions of work.

#### **Recommendation 8**

**(8) The Under-Secretary-General for DESA should review and take measures to resolve the OSAGI and DAW staff's grievances without further delay.**

43. *The DESA Administration accepted recommendation 8.* Recommendation 8 remains open pending assurance that the review of the staff's grievances and conditions of work has been conducted and that any issues arising from the review have been addressed and resolved.

### **B. Programme Management**

#### Delayed preparation of DAW's divisional work plans

44. According to Administrative Instruction ST/AI/2002/3, heads of departments and offices should meet with the senior managers under their direct supervision and develop a departmental or office work plan that will be the foundation for the unit work plans. Heads of units are required to consult with staff members of their unit to prioritize activities and establish independent and effective systems for implementing, monitoring, and verifying the effectiveness of the work actually done. Planning should be done prior to the beginning of the work cycle.

45. In 2006-2008, DAW prepared individual unit work plans which followed different formats and were not formally approved by the Director. They were prepared on different dates and were mostly finalized from 3 to 5 months after the work cycle had begun. Only some of the work plans indicated the names of the staff members assigned to the work.

46. *DESA stated that the section's work plans in DAW follow a basic format, with some flexibility in relation to the level of detail included. Since the individual plans of the staff members outline their specific responsibilities, it has not been required that the Section work plans specify the names of the staff. The plans are prepared by the Sections and approved by the Director annually, in a timely fashion, prior to the preparation of individual work plans for staff in the different sections.* However, OIOS noted that 4 of the 9 work plans for the period 2006-2008 were still in draft form at the time of the audit.

#### Incomplete work plans in OSAGI

47. In OSAGI, only the Focal Point for Women had prepared a 2008-2009 unit work plan, 4 months after the beginning of the work cycle, which was yet to be approved by the ASG. The work plan outlined the goals, related tasks, outputs, and timeframes, but did not indicate the success criteria or the staff

members responsible for carrying out the tasks. The Focal Point for Women did not have work plans for the previous two work cycles, 2006-2007 and 2007-2008.

### Recommendation 9

**(9) The OSAGI and DAW Administration should prepare, approve, and disseminate a comprehensive annual work plan, which integrates the unit work plans, prior to the beginning of the work cycle in accordance with ST/AI/2002/3.**

48. *The DESA Administration accepted recommendation 9 and stated that a work plan for the OSAGI and DAW for 2009/2010 is under preparation through a consultative process. OSAGI's annual work plan for the next work cycle beginning in April 2009 has been completed and distributed to staff. Recommendation 9 remains open pending receipt of completed work plans for 2009/2010 for OSAGI and DAW.*

### Management of the OSAGI programme of work needs improvement

49. The management of the OSAGI programme of work needs improvement to obtain effective results. For example, the 2006-2007 results (OSAGI and DAW work on a programme year of April to March) indicated that, of the total 52 programmed, carry-forward, and additional outputs, the Office postponed or terminated 18 (35 percent) of all programmed outputs. Table 2 outlines the postponed and terminated activities and outputs of the office, along with the underlying reasons for non-performance, as applicable.

**Table 2. OSAGI Postponements and Terminations (2006-2007)**

Activity/Output	Count	Related Mandate	Reason for Postponement/Termination
Parliamentary documentation	2	Gender mainstreaming	Reports not requested.
Ad hoc expert group meetings	2	Gender mainstreaming	Funds reallocated to other unit activities.
Recurrent Publications	4	Improvement of Status of Women	Postponed due to lack of staff resources.
Non-recurrent publications	2	Gender mainstreaming	Resources reallocated for travel of the Special Adviser relating to priority themes.
Non-recurrent publications	1	Improvement of Status of Women	Postponed due to lack of staff resources.
Technical materials	2	Improvement of Status of Women	Postponed due to lack of staff resources.
IANWGE meetings	5	Inter-agency coordination	Decision to reduce the duration of IANWGE meetings to 3 days due to lack of resources

Source: IMIDIS: 2006-2007

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50. Between 2006 and 2008, the ASG/Special Adviser made a total of 40 missions, five of which were in the United States. Due to a very limited travel budget, the ASG has had to decline many invitations to events. Many of the speeches delivered by the Special Adviser are at Headquarters in the context of intergovernmental meetings or as a representative of the Secretary-General or the USG, DESA. The Special Adviser's outreach activities cover participation in activities that are often organized over the lunch hour, evenings and weekends. During the intensive CSW period, for example, the Special Adviser may give several statements per day. Also, the outreach work of the Special Adviser extends beyond speeches and statements and much attention is devoted to intensive and regular liaison with Member States and with senior officials of the UN system. OIOS noted that the ASG/Special Adviser's outreach functions were not guided by a well-defined programme of work and therefore, it was not possible to assess the focus or effectiveness of her outreach activities.

#### **Recommendation 10**

**(10) The OSAGI Administration should develop a programme of work for its outreach activities which include the ASG/Special Adviser's speeches and statements at selected functions.**

51. *The DESA Administration accepted recommendation 10 and stated that the ASG's outreach role requires that she participate in a number of ad hoc activities, including traveling to attend meetings and speaking on behalf of the SG and other high level officials. By definition, it is not always possible to plan these in advance. OSAGI will create a system for tracking and monitoring these ad hoc outreach activities.* Recommendation 10 remains open pending receipt of documentation indicating that the ASG's outreach activities are also included in the OSAGI programme of work.

#### Office of the Focal Point for Women: Programme of work and resources to support the programme need review

52. Although the General Assembly established that a 50/50 gender distribution in senior posts should be obtained by 2000, as of 2008, the goal had still not been achieved. The results of the latest report on the status of women in the UN system (A/63/364) indicated that only 38.7 per cent (2,576 out of 6,661) of all staff in the professional categories are women, and that only 26.3 per cent (165 out of 627) of professionals at the D-1 level and above are women. Obstacles encountered are grouped in seven categories in this report: inadequate accountability, monitoring and enforcement mechanisms, lack of special measures for gender equality, absence of or weak integration of focal point systems within departments, inflexible work arrangements, insufficient outreach, low numbers of qualified women applicants, and lack of adequate data on the causes of high attrition rates for women.

53. Critical to the Focal Point for Women's role in assuring balanced gender distribution at the senior levels is her participation in the Central Review Body

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(CRB) for staff appointments to positions at the P-5 category and higher. The Focal Point for Women informed OIOS that her office attended only about 30 per cent of the weekly CRB meetings convened during 2006-2008. The Focal Point for Women had allocated the available time as follows: developing policies and strategies (25 per cent); rendering practical assistance in assisting departments in implementation of targets (50 per cent); monitoring the implementation of special measures (10 per cent); and reporting to the intergovernmental and other bodies in the UN Secretariat (15 per cent). She had been assigned two General Service staff from the regular budget to perform these functions. Additionally, one temporary P4 professional had been provided to support her on a non-reimbursable basis from UNICEF. In OIOS' opinion, the lack of resources limited her ability to effectively advise on one of her primary functions in the staff selection process of eligible women candidates to senior manager posts. OIOS also noted that the Focal Point for Women had not prepared a work plan requesting budget resources between 1988 and 2007 although a work plan had been prepared for 2008-2009.

#### **Recommendation 11**

**(11) The programme of work for the Office of Focal point for Women should be reviewed as part of the overall review of the programme of work for sub-programme 2. This should include an assessment of the level of resources required to effectively fulfill the Office's mandate.**

54. *The DESA Administration accepted recommendation 11 and stated that as a result of the comprehensive assessment of the level of resources through the recent Development Pillar Budget exercise, a P4 post will be allocated to the Office of the Focal point to ease the work load. Based on the action taken by DESA, recommendation 11 has been closed.*

#### **Ad hoc requests need to be logged and tracked by OSAGI**

55. OSAGI receives ad hoc requests from the General Assembly, the CSW, and other UN departments, which places pressure on its staff to carry out their planned programme of work. Since OSAGI does not log ad hoc requests, it could not determine how many requests it had received and processed, or received and rejected, from UN departments. The OSAGI also could not determine how long it took to process each request, or accurately estimate the number of staff resources assigned to process the requests. This was attributed to the fact that OSAGI does not track the requests it receives and rejects; or document reasons for not accepting the requests.

#### **Recommendation 12**

**(12) The OSAGI Administration should record and track ad hoc requests to justify the need for additional resources.**

56. *The DESA Administration accepted recommendation 12 and stated that OSAGI will institute a system to track ad hoc requests and tasks.*

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Recommendation 12 remains open pending receipt of documentation indicating that OSAGI has begun tracking ad hoc requests and tasks.

#### Improvements required in website management

57. OSAGI and DAW manage the OSAGI, DAW, the IANWGE extranet websites and the OSAGI and DAW homepages on the UN intranet platform (iSeek). In addition, DAW maintains the WomenWatch (WW) portal on iSeek which is a conduit of gender websites that includes the three OSAGI, DAW, and IANWGE websites, other UN gender websites, and a repository for gender related reference materials. However, OIOS found that the OSAGI and IANWGE websites were not updated on a timely basis. For example, the OSAGI website's "Latest News" was last updated in December 2007. The IANWGE's website was last updated with General Assembly and ECOSOC resolutions in 2006.

58. A review of the structure of the websites showed that there was some duplication and that they are not user-friendly. For example, the IANWGE and DAW content on the websites both contain the same General Assembly resolutions. There is no link between the WomenWatch online discussion on the review and appraisal of the Beijing Declaration and Platform for Action and the outcome document of the twenty-third special session of the General Assembly on the DAW website even though the review is relevant to the work of DAW. In addition, the websites do not have sitemaps to facilitate navigation.

#### **Recommendation 13**

**(13) The OSAGI and DAW Administration should (i) enhance the user-friendliness of the OSAGI, DAW and IANWGE websites by including relevant links between websites and incorporating sitemaps to facilitate navigation; and (ii) ensure that their contents are updated in a timely manner and are not duplicated.**

59. *The DESA Administration accepted recommendation 13 and stated that OSAGI and DAW will review the website from the point of view of user-friendliness. The sitemaps to improve navigation have already been implemented on WomenWatch and are being implemented for other websites. OSAGI and DAW provide links to General Assembly resolutions that are relevant to their work programmes. OSAGI provides links to the resolutions on the Status of Women. DAW provides links to all the resolutions under the gender equality agendas since DAW's website covers the full gender equality agendas in all the intergovernmental processes in the General Assembly, ECOSOC and CSW. The link to the WomenWatch online discussion on the review and appraisal of the Beijing Declaration and Platform for Action which was inadvertently removed in the most recent review/overhaul of the website has been replaced. The DAW website has a whole section on the twenty-third special session of the General Assembly which contains a link to this document. Recommendation 13 remains open pending receipt of documentation indicating the completion of review of the websites.*

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DAW's technical cooperation projects need to be monitored

60. DAW provides technical assistance, upon request, to Member States in support of their national strategies to achieve gender equality and women's empowerment, a key to all development goals. The technical assistance project portfolio for 2005-2008, which served as a fundraising tool, included 5 projects to support Member States in implementing the Convention on the Elimination of Discrimination against Women (CEDAW or the Convention) and the Beijing Platform for Action. DAW raised a total of \$700,000 from three donor governments to fund the projects of which \$670,000 was earmarked to fund one project. In the donor agreements, 2 of the 3 donors stipulated that funding could be withdrawn if the projects were stopped, substantially altered, or delayed, and that any proposed changes to the projects or the project budget profiles must be agreed to in writing. In August 2008, DAW presented the revised project budget for the "Programme of support to countries emerging from conflict to implement the Convention on the Elimination of All Forms of Discrimination against Women and the Beijing Platform for Action" to the donors, requesting an extension until 2010 to implement the projects. As of the date of the audit, DAW had not received the donors' response to this request.

61. Further, DAW was undecided whether to transfer the project "Training package on implementation of the Convention on the Elimination of All Forms of Discrimination against Women" to the Office of the High Commissioner for Human Rights (OHCHR), since the responsibility for servicing CEDAW was transferred to OHCHR effective 1 January 2008. *According to DESA, DAW was not undecided on this issue but rather was of the clear opinion that the project should be finalized by the entity responsible for servicing CEDAW. However, this required investigation of the feasibility of transferring this assignment and the willingness of OHCHR to undertake this task. After consultation, OHCHR was positive to the proposal and is already moving forward on this.*

**Recommendations 14 and 15**

**The DAW Administration should:**

**(14) Follow up with the donors for approval of the revised project budget for the "Programme of support to countries emerging from conflict to implement the Convention on the Elimination of All Forms of Discrimination against Women and the Beijing Platform for Action"; and**

**(15) Decide without further delay whether to execute the project for developing the training package on the implementation of the Convention on the Elimination of All Forms of Discrimination against Women or to transfer it to Office of the High Commissioner for Human Rights.**

62. *The DAW Administration accepted recommendation 14 and stated that DAW has followed up with the relevant donors on several occasions over the past year on the project. It will continue to do so until it receives a response.* In

view of DAW's assurance to follow up with the donor, recommendation 14 has been closed.

63. *The DAW Administration accepted recommendation 15 and stated that with the transfer of the servicing of CEDAW to OHCHR in 2008, DAW decided that the project would be more appropriately carried out by OHCHR. Contact was made with OHCHR and a positive response has been received. OHCHR has taken responsibility for the finalization of this project. In view of DAW's response indicating that OHCHR has taken responsibility for the finalization of this project, recommendation 15 has been closed.*

### **C. Personnel Administration**

#### Staff shortages in OSAGE and DAW need to be better managed

64. During the period from 2004 to 2008, DAW had critical vacancies and a high turnover of staff. The staff shortages were due to mission assignments, temporary staff placements, and high vacancy rates. For example, three senior P-5 professionals were on mission assignment for more than two years, creating a high turnover in leadership positions in 2 of the 3 substantive units, namely the Gender Analysis Section (GAS) and the Coordination and Outreach Unit (COU). During this period, the Chief of Unit post in GAS (P-5) had eight incumbents and the Chief of Unit post (P-5) in the COU had four incumbents. A total of 11 temporary incumbents served on the P-5 post which supports the Office of the Director, resulting in high turnover in this critical post. Additionally, there were 60 movements among 20 professional posts in DAW between 2006 and 2008, averaging 3 movements per post over an 18 month period. Table 3 shows the statistics for the vacancies from 2004 through 2008.

**Table 3. OSAGI AND DAW Post Vacancies (2004-2008)**

Post	Mission Assignment (# of Months)	Vacant Post (# of Months)	Number of temporary incumbents	Number of Temporary Placements
DAW/Office of the Director (P-5)*	42	12.8	6	11
DAW/GAS (P-5)	33.5	9.3	7	8
DAW/COU (P-5)	51.5	3.3	4	4
OSAGI (P-5)**	--	10.1	1	1
OSAGI (P-2)***	--	10.9	4	7

Source: IMIS

\* Staff member was on mission for a total of 62 months from 2001 and had 3 breaks from mission assignment in NY for 1.5 – 3 months each, between 2002 and 2003, and returned to NY for 4 months before retirement in 2007

\*\* Previous incumbent of this post is on SPA to D-1 in OSAGI. D-1 is on mission assignment

\*\*\* Post borrowed from DAW and continues to be filled on temporary basis with periodic vacancies

65. The UN's mobility policy encourages staff members to serve in missions as part of their career development (ST/SGB/277). Programme managers are expected to release staff for mission assignment, while balancing their staff requirements in order to maintain productivity in programme delivery. However, ST/AI/404 reminds that departments cannot be expected to block posts for more

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than two years when permanent staff members proceed on mission detail, as it places significant burden on these departments, and the staff who remain must continue to maintain and even enhance productivity in programme delivery.

#### **Recommendation 16**

**(16) The OSAGI and DAW Administration should critically review requests for additional extensions of staff on mission assignment beyond the 2-year time limit with a view to minimizing the administrative burden created by short-term appointments.**

66. *The DESA Administration accepted recommendation 16. Recommendation 16 remains open pending receipt of documentation indicating that steps have been taken to critically review additional extensions to staff on mission assignment beyond the 2-year time limit.*

#### The management of consultants and individual contractors needs improvement

67. During the period from 2006 to 2008, OSAGI and DAW hired 47 consultants. A review of the consultancy engagements indicated that the DAW management had not strictly complied with Administrative Instruction ST/AI/1999/7, which guides managers in the hiring of consultants and individual contractors, as follows. OIOS noted that the terms of reference for an individual contractor employed as a webmaster for the Women Watch and IANWGE websites did not specify tangible and measurable outputs, the delivery dates of outputs, or other performance indicators.

68. In four cases, the final outputs of the consultants were completed 6 to 20 months after the initial contract expiration date. The delays resulted from the need for the consultants to spend additional time revising the reports. In one case, DAW had received the report, but did not publish it due to the need for revision and in two other cases the consultants did not submit the reports on time. In the fourth case, the individual contractor prepared the report late and it could not be used for the intended purpose, which was as an input to an expert group meeting. *DAW indicated that it does not accept drafts or pay consultants until an adequate draft is received, even if this means requiring multiple revisions going beyond the initial contract expiration date. Problems experienced in the preparation of reports, including timeliness of outputs, are noted in the evaluations of consultants. In one case, the employment circumstances of a consultant changed significantly during the contract period and she was not able to complete the report. With regard to the specific case of the on-line discussion report, the primary purpose of this report is intended to feed into the CSW deliberations. If the online discussion report is prepared in time for the expert group meeting, it will be made available at that meeting, but this is not essential or required for the expert group meeting.*

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### **Recommendation 17**

**(17) The DAW Administration should strictly comply with the requirements of ST/AI/1999/7 for hiring consultants and individual contractors and also ensure that required outputs are delivered on time so that they can be used for their intended purposes.**

69. *The DAW Administration accepted recommendation 17 and stated that in the context of the 2007 audit on the use of consultants and individual contractors by DESA (AN2007/540/02), the Department is finalizing guidelines and instructions to all substantive offices to ensure strict implementation of the relevant administrative instructions and policies. DAW will continue to strictly comply with the requirements of ST/AI/1999/7 and make every effort to ensure delivery of timely outputs. Outputs prepared by consultants must, however, be consistent with the terms of reference (ToRs), and DAW will continue to require revisions of drafts beyond the initial contract expiration date, as needed, to ensure quality products. ToRs for consultants will continue to be prepared by staff and approved by management. In view of DAW's assurance that it will ensure strict implementation of ST/AI/1999/7 in respect of hiring consultants, recommendation 17 has been closed.*

## **V. ACKNOWLEDGEMENT**

70. We wish to express our appreciation to the Management and staff of OSAGI and DAW 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 <sup>1</sup>	Actions needed to close recommendation	Implementation date <sup>2</sup>
1	The USG, DESA, in consultation with the Secretary-General, should consolidate the two divisions of OSAGI and DAW and have one single programme for gender within the department.	Governance	High	0	Submission to OIOS of documentation indicating the G/A decision on gender architecture in its 63 <sup>rd</sup> session	
2	The USG, DESA should ensure that the General Assembly's review of the gender architecture also considers the terms of reference of the ASG/Special Adviser, with a view to clearly defining the distinct responsibilities of this office within the UN Secretariat and the UN system.	Governance	High	0	Submission to OIOS of documentation indicating the G/A decision on gender architecture in its 63 <sup>rd</sup> session.	
3	The USG, DESA, in consultation with the Commission on the Status of Women and major stakeholders should review the programme of work to enable DESA to effectively facilitate the follow up of internationally agreed goals. This should include a review of the expected accomplishments, indicators of achievements, and agreed methodology for the facilitation of the follow-up to the Beijing Declaration and Beijing +5's internationally agreed goals prior to the strategic framework's review and approval by the intergovernmental process.	Governance	High	0	Submission to OIOS of documentation indicating that the expected accomplishments, indicators of achievements, and agreed methodology for the facilitation of the follow to the Beijing Declaration and Beijing +5's internationally agreed goals has been reviewed.	
4	The OSAGI Administration should review the status of achievements of the IANWGE task forces vis-à-vis their terms of reference to determine the need for their continuance	Governance	High	0	Submission to OIOS of documentation updating the terms of reference and indicators of performance for each of the task forces.	February 2010
5	The OSAGI Administration should clearly specify indicators of progress for the IANWGE task forces and the progress made by each task force should be indicated on the	Governance	Medium	0	Submission to OIOS of information from DESA indicating that the website has been updated with the indicators of progress developed by each task force.	February 2010

Recom. no.	Recommendation	Risk category	Risk rating	C/O <sup>1</sup>	Actions needed to close recommendation	Implementation date <sup>2</sup>
	IANWGE website.					
6	The OSAGI and DAW Administration should ensure that all PAS performance evaluations are brought up to date immediately and, in future, are completed within the PAS cycle deadlines in compliance with ST/AI/2002/3.	Human Resource Management	High	O	Submission to OIOS of documentation from DESA showing that the PAS's have been completed.	30 April 2009
7	The USG, DESA should ensure that the Assistant Secretary General/Special Adviser's compact and PAS for 2008 and previous years are finalized as soon as possible.	Human Resource Management	High	O	Submission to OIOS of documentation from DESA showing that the PAS's have been completed.	30 April 2009
8	The Under-Secretary-General for DESA should review and take measures to resolve the OSAGI and DAW staff's grievances without further delay.	Governance	High	O	Confirmation of the review of the staff's grievances and conditions of work has been conducted and that any issues arising from the review have been addressed and resolved.	Immediately
9	The OSAGI and DAW Administration should prepare, approve, and disseminate a comprehensive annual work plan, which integrates the unit work plans, prior to the beginning of the work cycle in accordance with ST/AI/2002/3.	Programme Management	Medium	O	Submission to OIOS of copies of completed work plans for 2009/2010 for OSAGI and DAW.	30 April 2009
10	The OSAGI Administration should develop a programme of work for its outreach activities which include the ASG/Special Adviser's speeches and statements at selected functions.	Programme Management	Medium	O	Submission to OIOS of documentation indicating that the ASG's outreach activities are also included in the OSAGI programme of work.	Implemented
11	The programme of work for the Office of Focal point for Women should be reviewed as part of the overall review of the programme of work for sub-programme 2. This should include an assessment of the level of resources required to effectively fulfill the Office's mandate.	Programme Management	Medium	C	Action completed	Implemented
12	The OSAGI Administration should record and track ad hoc requests to justify the need for additional resources.	Programme Management	Medium	O	Submission to OIOS of documentation indicating that OSAGI has begun tracking ad hoc requests and tasks.	
13	The OSAGI and DAW Administration should (i) enhance the user-friendliness of the	Programme Management	Medium	O	Submission to OIOS of documentation indicating the completion of review of	

Recom. no.	Recommendation	Risk category	Risk rating	C/O <sup>1</sup>	Actions needed to close recommendation	Implementation date <sup>2</sup>
	OSAGI, DAW and IANWGE websites by including relevant links between websites and incorporating sitemaps to facilitate navigation; and (ii) ensure that their contents are updated in a timely manner and are not duplicated.				the websites.	
14	The DAW Administration should follow up with the donors for approval of the revised project budget for the "Programme of support to countries emerging from conflict to implement the Convention on the Elimination of All Forms of Discrimination against Women and the Beijing Platform for Action".	Programme Management	Medium	C	Action completed	Implemented
15	The DAW Administration should decide without further delay whether to execute the project for developing the training package on the implementation of the Convention on the Elimination of All Forms of Discrimination against Women or to transfer it to Office of the High Commissioner for Human Rights.	Programme Management	Medium	C	Action completed	Implemented
16	The OSAGI and DAW Administration should critically review requests for additional extensions of staff on mission assignment beyond the 2-year time limit with a view to minimizing the administrative burden created by short-term appointments.	Human Resource Management	High	O	Submission to OJOS of documentation indicating that steps have been taken to critically review additional extensions to staff on mission assignment beyond the 2-year time limit.	
17	The DAW Administration should strictly comply with the requirements of ST/AI/1999/7 for hiring consultants and individual contractors and also ensure that required outputs are delivered on time so that they can be used for their intended purposes.	Human Resource Management	Medium	C	Action completed	Implemented

<sup>1</sup> C = closed, O = open

<sup>2</sup> Date provided by DESA in response to recommendations