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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. Cheick Sidi Diarra, Under-Secretary-General
A: Office of the Special Adviser on Africa (OSAA)

DATE: 25 August 2011

Mr. Vijay Nambiar, Under-Secretary-General
Executive Office of the Secretary-General

REFERENCE: IAD: 11- 00533

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



SUBJECT: **Assignment No. AN2011/840/01 – Audit of the coordination of global advocacy and support for New Partnership for Africa's Development subprogramme (NEPAD)**
OBJET: **for New Partnership for Africa's Development subprogramme (NEPAD)**

Overall results relating to the coordination of global advocacy and support for NEPAD were unsatisfactory

1. Attached please find the report on the above-mentioned audit.
2. Please note that OIOS will report on the progress made to implement its recommendations, particularly those designated as critical (i.e., recommendation 1), in its annual report to the General Assembly and semi-annual report to the Secretary-General.
3. We wish to express our appreciation to the Management and staff of the Office of the Special Adviser on Africa for the assistance and cooperation extended to the auditors during this assignment.

cc: Mr. Patrick Hayford, Director, Office of the Special Adviser on Africa
Mr. Swatantra Goolsarran, Executive Secretary, UN Board of Auditors
Mr. Rohan Wijeratne, Board of Auditors
Ms. Susanne Frueh, Executive Secretary, Joint Inspection Unit
Mr. Moses Bamuwanye, Executive Secretary, IAAC
Mr. Zachary Ikiara, Chief, Oversight Support Unit, DM
Mr. Byung-Kun Min, Special Assistant to the USG-OIOS
Ms. Amy Wong, Programme Officer, Internal Audit Division, OIOS

AUDIT REPORT

Audit of the coordination of global advocacy and support for New Partnership for Africa's Development subprogramme

BACKGROUND

In its resolution 57/300, General Assembly endorsed the creation of the Office of the Special Advisor on Africa (OSAA) and entrusted it the role of coordinating reports and advocacy in support of New Partnership for Africa's Development (NEPAD). OSAA's functions, as outlined in the Secretary-General's bulletin ST/SGB/2003/6, include the coordination of global advocacy in support of NEPAD by: (a) acting as focal point for NEPAD within the United Nations Secretariat; (b) supporting the General Assembly and ECOSOC in their work on Africa; (c) ensuring a coherent and integrated approach for the United Nations support for NEPAD through coordinated follow up to the outcomes of international conferences related to Africa; (d) the Special Advisor on Africa performing as the convener of the Inter-Departmental Task Force on Africa. NEPAD activities are covered under programme 9, which is organized into three subprogrammes implemented by (a) OSAA for subprogramme 1 – Coordination of global advocacy and support; (b) the Economic Commission for Africa (ECA) for subprogramme 2 – Regional coordination and support; and (c) the Department of Public Information (DPI) for subprogramme 3 – Public information and awareness activities. Currently, the Under-Secretary-General of the Office of the High Representative for the Least Developed Countries, Landlocked Developing Countries and Small Island Developing States also oversees OSAA responsibilities and serves as the Special Advisor on Africa. However, the two offices maintain separate programmes, budgets and personnel.

In its 2011 risk-based audit planning, the Office of Internal Oversight Services (OIOS) identified subprogramme 1 as a high risk area based on the results of its previous reviews which identified weaknesses in OSAA's internal governance structure.

OBJECTIVE AND SCOPE

The audit was conducted to assess whether the United Nations Secretariat and OSAA effectively implemented adequate risk management, control and governance processes to provide reasonable assurance regarding the effective achievement of: (a) overall coordination for and leadership of NEPAD (programme 9); and (b) coordination of global advocacy and support for NEPAD. The key controls tested for this audit included those related to: (a) mandates and delegation of authority; (b) risk management and strategic planning; (c) performance monitoring; (d) integrated programmatic and financial management reporting; and (e) coordinated management. The audit covered OSAA's activities related to the four key controls for the periods 2008-2009 and 2010-2011 as of 31 December 2010.

AUDIT RESULTS

In OIOS' opinion, risk management, control and governance processes examined were **unsatisfactory** to provide reasonable assurance regarding the effective achievement of: (a) overall coordination for and leadership of NEPAD (programme 9); and (b) coordination of global advocacy and support for NEPAD.

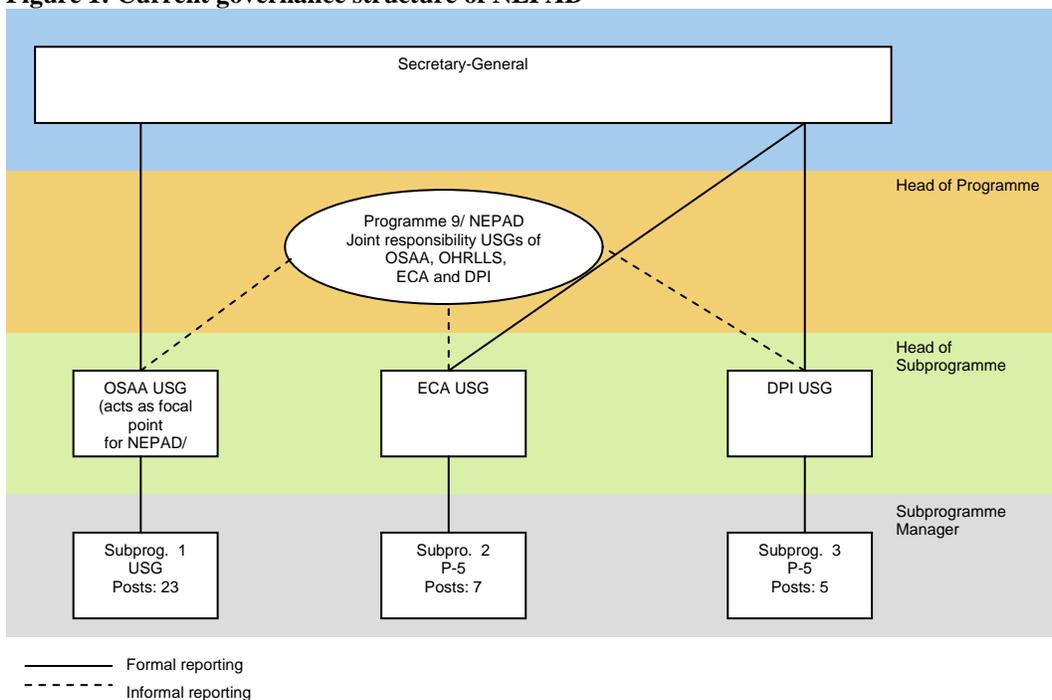
There is no single authority for the overall coordination of leadership for the programme and its resources. Overall coordination for and leadership of NEPAD is under the joint responsibility of OSAA, ECA and DPI. The joint responsibility for NEPAD made its governance structure convoluted and complex.

Overall responsibility for NEPAD needs to be reviewed

Under resolutions 57/7 and 57/300, the General Assembly “endorsed the decision of the Secretary-General to entrust the Under-Secretary-General and Special Adviser on Africa, who will report directly to him, with the responsibilities of: (a) Coordinating and guiding the preparation of Africa-related reports and inputs, in particular support of the New Partnership for Africa’s Development and the international community, and the coordination of global advocacy in support of the New Partnership; and (b) Coordinating the interdepartmental task force on African affairs to ensure coherence and an integrated approach for United Nations support to Africa, including following up the implementation of all summit and conference outcomes related to Africa and addressing gaps and initiating reports on critical issues affecting Africa”.

According to the strategic framework (A/63/6(prog.9)), OSAA is the focal point for programme 9 and programme budget for section 11, which means providing overall coordination for and leadership of programme 9. However, programme 9 is under the joint responsibility of OSAA, ECA and DPI. The placement of programme 9 under such joint responsibility seems at variance with General Assembly resolutions 57/7 and 57/300, which OIOS interprets as giving OSAA sole overall responsibility for programme 9. There is no single authority for programme 9 and programme budget section 11 for the overall coordination of leadership for the programme and its resources. As illustrated in Figure 1, the joint responsibility for programme 9 made its governance structure convoluted and complex.

Figure 1: Current governance structure of NEPAD



- 1. The Executive Office of the Secretary-General should review the overall responsibility for programme 9 and programme budget section 11 in line with General Assembly resolutions 57/7 and 57/300 with the view to ensuring more effective management accountability for programme 9.**

The Executive Office of the Secretary-General (EOSG) accepted recommendation 1 stating that while the final decision rests with Member States, there is a lot of merit in OIOS' recommendation. Strengthening programme 9 has been one of the Secretary-General's priorities. It is in this context that the proposed realignment of OSAA and the Office of the High Representative for the Least Developed Countries, Landlocked Developing Countries and Small Island Developing States (OHRLLS) was envisioned. We are hopeful that the assessment of this experiment currently being conducted by Mr. Diarra's Office will consider OIOS recommendation as an option. Recommendation 1 remains open pending receipt of evidence that the EOSG has reviewed the overall responsibility for programme 9 and programme budget section 11 in line with General Assembly resolutions 57/7 and 57/300.

Mechanism for joint production and submission of NEPAD's strategic framework

Although programme 9 is placed under the joint responsibility of OSAA, ECA and DPI, each of these departments prepares a strategic framework tailored to the subprogramme it is mandated to implement: (a) OSAA for subprogramme 1, (b) ECA for subprogramme 2, and (c) DPI for subprogramme 3. OSAA, ECA and DPI separately submit these subprogramme-level strategic frameworks to OPPBA for compilation under programme 9. There is no mechanism whereby the heads of subprogrammes 1, 2 and 3 jointly sign off their strategic frameworks at the level of programme 9. The production and submission to OPPBA and the General Assembly of three separate strategic frameworks for subprogrammes 1, 2 and 3 and the lack of joint planning of activities do not give assurance that the three subprogrammes' work plans are coordinated to ensure overall coherence and effective management of programme 9.

- 2. OSAA should propose to the Secretary-General a mechanism for joint production and submission by OSAA, ECA and DPI of programme 9 strategic framework and its subprogrammes' work plans to strengthen the coordination of NEPAD activities within the Secretariat.**

OSAA accepted recommendation 2. Recommendation 2 remains open pending receipt of a proposed mechanism for joint production and submission by OSAA, ECA and DPI of programme 9 strategic framework and its subprogramme's work plans.

Mechanism for jointly developing indicators of achievement

OSAA maintained 2008-2009 subprogramme 1 performance data in the UN Integrated Monitoring Documentation Information System (IMDIS). It requested UN entities, including the Secretariat, funds and programmes and specialized agencies to submit data on their activities relating to Africa, which these entities submitted to OSAA as their contributions. OSAA then analyzed the submissions to determine the indicator of achievement under which they should be reported: recommendation incorporated in GA resolution, activity, joint initiative, or forum. Furthermore, analysis of performance results for subprogrammes 2 and 3 were conducted separately by ECA and DPI respectively. As a result, the analysis of performance contributions to each of NEPAD's three subprogrammes was tedious and subjective. There was no written guidance in OSAA on how to perform analysis and categorization of submissions.

3. **OSAA should develop indicators of achievement for subprogramme 1 jointly with ECA and DPI for subprogrammes 2 and 3. For subprogramme 1, OSAA should also establish written guidance to analyze and categorize submissions from the United Nations system so that more precise contributions are received and accounted for against relevant indicators of achievement as part of the performance monitoring mechanism.**

OSAA accepted recommendation 3. Recommendation 3 remains open pending receipt of: (a) evidence that OSAA, ECA and DPI have a mechanism to jointly develop the indicators of achievement for the subprogrammes under programme 9; and (b) a written guidance to analyze and categorize contributions from the United Nations system on relevant indicators of achievement for subprogramme 1.

Strengthening executive direction and management, and programme support

Programme budget section 11 has no provision for executive direction and management function, and no dedicated resources are budgeted for this function. Only recently has a P-5 post been internally deployed to the Office of the USG OSAA to partly carry out this function. The coordination of global advocacy in the United Nations system, the private sector and the Bretton Woods institutions in support for NEPAD is the core responsibility for programme 9. This responsibility requires an effective executive direction and management function with dedicated resources. NEPAD's programme support is spread to the Department of Economic and Social Affairs (subprogramme 1), ECA (subprogramme 2) and DPI (subprogramme 3). As a result, OSAA does not have an overall responsibility for resources at the section 11 level.

4. **OSAA should strengthen the executive direction and management and programme support functions by establishing a dedicated organizational unit to ensure leadership and management of programme 9.**

OSAA accepted recommendation 4. Recommendation 4 remains open pending receipt of evidence that OSAA has strengthened NEPAD's executive direction and management and programme support functions.

ACKNOWLEDGEMENT

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

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I. INTRODUCTION

1. The Office of Internal Oversight Services (OIOS) conducted an audit of the coordination of global advocacy and support for New Partnership for Africa's Development (NEPAD) in New York.

II. AUDIT OBJECTIVE

2. The audit was conducted to assess whether the United Nations Secretariat and the Office of the Special Advisor on Africa (OSAA) effectively implemented adequate risk management, control and governance processes to provide reasonable assurance regarding the effective achievement of: (a) overall coordination for and leadership of NEPAD (programme 9); and (b) coordination of global advocacy and support for NEPAD. The key controls tested for this audit included those related: (a) mandates and delegation of authority; (b) risk management and strategic planning; (c) performance monitoring; (d) integrated programmatic and financial management reporting; and (e) coordinated management.

3. For the purposes of this audit, OIOS defined these key controls as follows:

(a) Mandates and delegation of authority – those controls that are designed to provide reasonable assurance that programme 9 is coherently reflected in subprogrammes 1, 2 and 3 and the subprogrammes are structured establishing proper reporting lines and accountability.

(b) Risk management and strategic planning – those controls that are designed to provide reasonable assurance that risks relating to the subprogramme 1 and programme 9 activities are identified and assessed, and that action is taken to mitigate or anticipate risks.

(c) Performance monitoring – those controls that are designed to provide reasonable assurance that metrics are established on when and how the consolidation and reporting activities are performed, and such activities are carried out in accordance with the metrics.

(d) Integrated programmatic and financial reporting systems – those controls that are designed to provide reasonable assurance that reporting mechanisms are relevant and implemented efficiently and effectively for programme 9.

(e) Coordinated management – those controls that are designed to provide reasonable assurance that potential overlaps in OSAA's functions are mitigated, and that issues affecting or involving other UN partners and actors are discussed and resolved timely and at the appropriate forum. This key control may include regular meetings among UN partners and actors involved in achieving OSAA's objectives, and other tools, forums or mechanisms to discuss issues.

III. AUDIT SCOPE AND METHODOLOGY

4. OIOS conducted this audit from January to March 2011.

5. The audit reviewed programme 9 strategic framework and programme budget section 11 for the periods 2008-2009 and 2010-2011 and examined performance against results-based management targets set for subprogramme 1 in the proposed programme budget for the period 2008-2009. Furthermore, the audit also assessed OSAA's coordination mechanisms within the Secretariat in support of NEPAD.

AUDIT RESULTS

6. To gain a general understanding of programme 9 and its three subprogrammes, OIOS interviewed staff members and reviewed documentation obtained from OSAA, the Department of Public Information (DPI), the Economic Commission for Africa (ECA), the Department of Economic and Social Affairs (DESA), the Department of Political Affairs (DPA), the Office of Programme Planning, Budget and Accounts (OPPBA) and the African Union. To establish OSAA's responsibilities as regards programme 9 and subprogramme 1 and its cooperation with ECA, DPI and DESA, OIOS reviewed several pertinent resolutions of the General Assembly and bulletins of the Secretary-General, notably A/RES/57/7, A/RES/57/300, ST/SGB/2005/12, ST/SGB/1999/10 and ST/SGB/2003/6. OIOS also reviewed compacts of the heads of OSAA, ECA, DPI and DESA with the Secretary-General, and met with the USG of the Office of the High Representative for the Least Developed Countries, Landlocked Developing Countries and Small Island Developing States (OHRLLS) who currently also leads OSAA, ECA Executive Secretary and key officials in OSAA, ECA, DPI, DESA, DPA and the Office of Programming Planning, Budget and Accounts (OPPBA). OIOS also reviewed the reporting protocols established by the General Assembly, the Secretary-General and other stakeholders, and publicly available documents on NEPAD achievements within the Secretariat.

7. To assess the adequacy of the design of internal controls, OIOS considered whether the selected key controls are designed in such a way as to provide reasonable assurance that OSAA implements its mandates effectively. Through interviews and analytical reviews, OIOS assessed: (a) the existence and adequacy of written policies and procedures; and (b) sufficiency and competency of personnel responsible for the activities. OIOS conducted relevant tests of controls to assess whether policies and procedures are implemented consistently.

IV. OVERALL ASSESSMENT

8. In OIOS' opinion, risk management, control and governance processes examined were **unsatisfactory** to provide reasonable assurance regarding the effective achievement of: (a) overall coordination for and leadership of NEPAD (programme 9); and (b) coordination of global advocacy and support for NEPAD. The Secretariat's structure to implement the NEPAD mandate under the joint responsibility of OSAA, ECA and DPI was at variance with General Assembly resolutions 57/7 and 57/300. Performance monitoring was deficient for programme 9. The programme and budget performance data of three subprogrammes was not consolidated at programme 9 level and budget section 11 level before submitting to the Office of Programme Planning, Budget and Accounts.

V. AUDIT RESULTS

A. Mandates and delegation of authority

9. The Secretariat's structure to implement the NEPAD mandate was inadequate. Programme 9 covers NEPAD's programme of work, which is under the joint responsibility of OSAA, ECA and DPI. This joint responsibility arrangement seems at variance with General Assembly resolutions 57/7 and 57/300 which endorsed the decision of the Secretary-General to entrust OSAA the overall coordination and leadership to support NEPAD.

Diffused mandate and unclear accountability

10. General Assembly resolution 57/7 dated 22 November 2002 provided the mandate for the United Nations support for NEPAD. Under resolution 57/300, the General Assembly "endorsed the decision of the Secretary-General to entrust the Under-Secretary-General and Special Adviser on Africa, who will

AUDIT RESULTS

report directly to him, with the responsibilities of: (a) coordinating and guiding the preparation of Africa-related reports and inputs, in particular support for the New Partnership for Africa's Development by the United Nations system and the international community, and the coordination of global advocacy in support of the New Partnership; and (b) coordinating the interdepartmental task force on African affairs to ensure coherence and an integrated approach for United Nations support to Africa, including following up the implementation of all summit and conference outcomes related to Africa and addressing gaps and initiating reports on critical issues affecting Africa”.

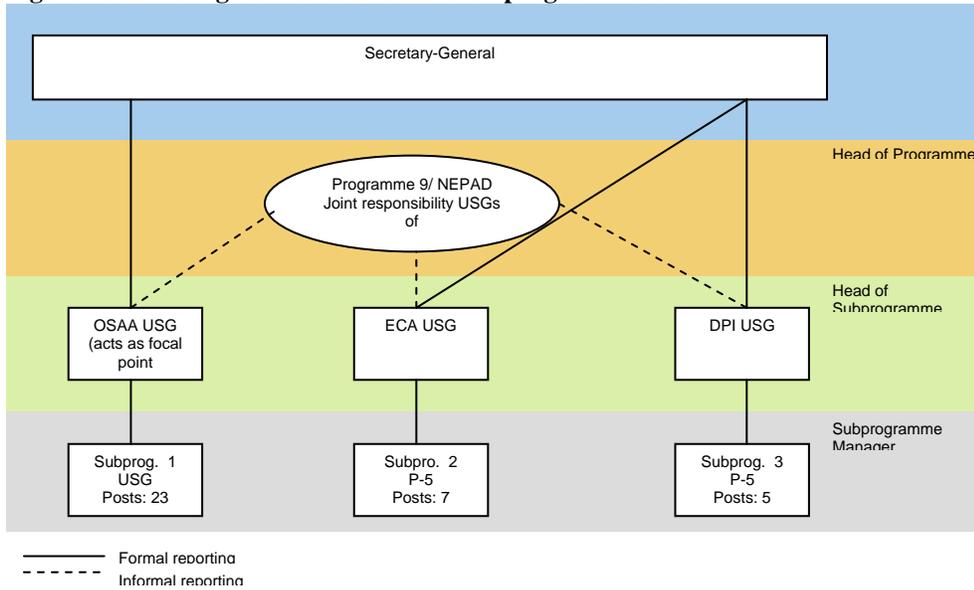
11. According to the strategic framework for programme 9 (A/63/6(prog.9)), OSAA is the focal point for programme 9 and programme budget for section 11, which means providing overall coordination for and leadership of programme 9. However, programme 9 is, under the joint responsibility of OSAA, ECA and DPI. The placement of programme 9 under such joint responsibility seems at variance with General Assembly resolutions 57/7 and 57/300, which OIOS interprets as giving OSAA sole overall responsibility for programme 9.

12. OIOS sees justification for placing subprogramme 2 in ECA due to its presence in Africa. Moreover, core activities of subprogramme 2 cover strengthening UN system-wide support for NEPAD at the regional and sub-regional levels. This includes substantive servicing of meetings like the annual session of the regional coordination mechanism of UN agencies and organizations working in Africa in support for NEPAD.

13. The core activities of subprogramme 3 include raising international awareness of the critical economic, social and environmental situation in Africa with focus on the efforts made by Africa and the international community to promote the economic recovery and sustainable development of the region in pursuit of the goals of the NEPAD and of the achievement of the Millennium Development Goals. Producing quarterly magazine “Africa Renewal” is a key output of subprogramme 3. The coordination of global advocacy in support of NEPAD/programme 9 is OSAA's central role. In OIOS' view, subprogramme 3 activities could be coordinated more effectively under OSAA's direct responsibility.

14. There is no single authority for programme 9 and programme budget section 11 for the overall coordination of leadership for the programme and its resources. As illustrated in Figure 1, the joint responsibility for programme 9 made its governance structure convoluted and complex.

Figure 1: Current governance structure for programme 9/NEPAD



15. OSAA’s organizational structure covers for subprogramme 1 responsibility only. Moreover, subprogrammes 2 and 3 are managed by P-5 level staff reporting to the USGs of ECA and DPI, respectively, whereas subprogramme 1 is managed at the USG level. The USGs of OSAA, DPI and ECA report to the Secretary-General independently from one another.

16. There are no formal reporting mechanisms between USG OSAA and the USGs of ECA and DPI regarding the implementation of subprogramme 2 and 3 activities, and the use of related resources. OSAA USG’s 2010-2011 compact with the Secretary-General covers responsibility for subprogramme 1 only. DPI USG’s compact for the same period does not include responsibility for subprogramme 3. Neither does the DPI Secretary-General’s bulletin (ST/SGB/1999/10) cover responsibility for NEPAD. Respective division directors in DPI and ECA appraise performance of the managers of subprogrammes 2 and 3. Consequently, the current arrangements do not provide reasonable assurance regarding OSAA’s accountability for programme 9 and budget section 11.

Recommendation 1

(1) The Executive Office of the Secretary-General should review the overall responsibility for programme 9 and programme budget section 11 in line with General Assembly resolutions 57/7 and 57/300 with the view to ensuring more effective management accountability for programme 9.

17. *The Executive Office of the Secretary-General (EOSG) accepted recommendation 1 stating that while the final decision rests with Member States, there is a lot of merit in OIOS’ recommendation. Strengthening programme 9 has been one of the Secretary-General’s priorities. It is in this context that the proposed realignment of OSAA and the Office of the High Representative for the Least Developed Countries, Landlocked Developing Countries and Small Island Developing States (OHRLLS) was envisioned. We are hopeful that the assessment of this experiment currently being conducted by OSAA will consider OIOS recommendation as an option. Recommendation 1 remains open pending receipt of evidence that the EOSG has reviewed the overall responsibility for programme 9 and programme budget section 11 in line with General Assembly resolutions 57/7 and 57/300.*

B. Risk management and strategic planning

18. In spite of OSAA's efforts in anticipating challenges to manage its operations, there was a need to establish risk management process and strengthen controls to provide reasonable assurance that OSAA, ECA and DPI effectively coordinated the strategic planning and work programming for the subprogrammes under programme 9.

Absence of risk management and inadequate strategic planning framework

19. Despite the complexity and wide-ranging nature of its mandates, OSAA did not have a formal risk assessment process to identify risks and opportunities related to its mandates under programme 9 and subprogramme 1.

20. OIOS encourages OSAA to implement a formal risk management process to strengthen the preparation of the strategic framework for programme 9 as a whole and the work plans for subprogrammes 1, 2 and 3. This process, under OSAA's leadership from design to reporting, should require the full participation of ECA and DPI.

21. Strategic frameworks in the Secretariat typically include an overall orientation of the programme and outline a broad strategy in achieving the related objectives. The responsibility for this rests with the head of a major organizational unit, in his or her capacity as programme manager. Although programme 9 is placed under the joint responsibility of OSAA, ECA and DPI, each of these departments prepares a strategic framework tailored to the subprogramme it is mandated to implement: (a) OSAA for subprogramme 1, (b) ECA for subprogramme 2, and (c) DPI for subprogramme 3. OSAA, ECA and DPI separately submit these subprogramme-level strategic frameworks to OPPBA for compilation under programme 9. There is no mechanism whereby the heads of subprogrammes 1, 2 and 3 jointly sign off their strategic frameworks at the level of programme 9. The production and submission to OPPBA and the General Assembly of three separate strategic frameworks for subprogrammes 1, 2 and 3 and the lack of joint planning of activities do not give assurance that the three subprogrammes' work plans are coordinated to ensure overall coherence and effective management of programme 9.

Recommendation 2

(2) OSAA should propose to the Secretary-General a mechanism for joint production and submission by OSAA, ECA and DPI of programme 9 strategic framework and its subprogrammes' work plans to strengthen the coordination of NEPAD activities within the Secretariat.

22. *OSAA accepted recommendation 2.* Recommendation 2 remains open pending receipt of a proposed mechanism for joint production and submission by OSAA, ECA and DPI of programme 9 strategic framework and its subprogramme's work plans.

C. Performance monitoring

23. The effectiveness of programme performance monitoring is dependent primarily on the quality of strategic planning and work programming, which have been found deficient for programme 9 as reported above. OIOS reviewed subprogramme 1 performance data and determined that improvements could be made to provide greater assurance that monitoring and reporting of subprogramme 1 performance was effective.

Lack of written guidance for collection and analysis of data used for subprogramme 1 performance monitoring and reporting

24. The programme 9 strategic framework for the 2008-2009 biennium provides the expected accomplishments and indicators of achievement for subprogramme 1 as shown in Table 3.

Table 3: Subprogramme 1 indicators of achievement for programme 9

| Expected accomplishments | Indicators of achievement |
|--|---|
| Increased international community support for African development in general and NEPAD in particular | The number of recommendations in the reports of the Secretary-General incorporated into General Assembly resolutions on African development |
| | An increase in the number of United Nations system activities in support of African development |
| | An increase in the number of forums addressing South-South cooperation in support of Africa |
| Improved United Nations coordination in providing support to African development with the attainment of the Millennium Development Goals | An increase in the number of joint initiatives undertaken by the United Nations system in support of African development |
| Increased international awareness of African development issues | An increase in the number of visits to the website of the Office of the Special Adviser on Africa |

25. OSAA maintained 2008-2009 subprogramme 1 performance data in the UN Integrated Monitoring Documentation Information System (IMDIS). It requested UN entities, including the Secretariat, funds and programmes and specialized agencies to submit data on their activities relating to Africa, which these entities submitted to OSAA as their contributions. OSAA then analyzed the submissions to determine the indicator of achievement under which they should be reported: recommendation incorporated in GA resolution, activity, joint initiative, or forum. However, there was no written guidance in OSAA on how to perform analysis and categorization of submissions. Furthermore, the method for attributing ownership for outputs, between the submitting entity and OSAA, was not clarified. For example, a total of six forums were set as target for addressing South-South cooperation in the 2008-2009 biennium. OSAA analyzed the submissions from various UN entities and identified the following forums as outputs against this target, concluding that subprogramme 1 fully achieved its performance target:

- (f) Tokyo International Conference on African Development IV held in Yokohama, Japan, May 2008, including related events, such as the Asia-Africa Symposium organized by Japan International Cooperation Agency;
- (g) Economic and Social Council (ECOSOC) Development Cooperation Forum held in June 2008, including the Cairo High-Level Symposium, held on 19-20 January 2008 as a preparatory event to the Development Cooperation Forum;
- (h) Global South-South Development Expo 2008 in Geneva;
- (i) The fifth Africa-Asia Business Forum held in June 2009 in Kampala;

(j) United Nations High-Level Conference on South-South Cooperation held on 1-3 December 2009 in Nairobi; and

(k) Global South-South Development Expo 2009 in Washington DC.

26. Likewise, the United Nations Development programme (UNDP) reported in its 2011 Committee for Programme and Coordination submission that it had conducted sensitization meetings to Parliamentarians and other civil society actors to empower them and increase awareness on their roles for better participation in the African peer review mechanism. It was unclear to what extent these meetings constituted an activity reportable by OSAA under subprogramme 1 performance.

27. In March 2010, OSAA met with OPPBA to review the indicators of achievement for the 2012-2013 strategic framework. In the meeting, it was agreed to recommend that the indicator of achievement relating to the number of recommendations in the reports of the Secretary-General incorporated in General Assembly resolutions on Africa's development was to be deleted. OSAA management also expressed difficulty in establishing meaningful indicators of achievement since the core subprogramme activities are hard to quantify numerically.

Recommendation 3

(3) OSAA should develop indicators of achievement for subprogramme 1 jointly with ECA and DPI for subprogrammes 2 and 3. For subprogramme 1, OSAA should also establish written guidance to analyze and categorize submissions from the United Nations system so that more precise contributions are received and accounted for against relevant indicators of achievement as part of the performance monitoring mechanism.

28. *OSAA accepted recommendation 3.* Recommendation 3 will remain open pending receipt of: (a) an established mechanism to jointly develop indicators of achievement for three subprogrammes; and (b) written guidance to analyze and categorize submissions from the United Nations system so that more precise contributions are received and accounted for against relevant indicators of achievement as part of the performance monitoring mechanism.

D. Integrated programmatic and financial management reporting

29. There was a need to consolidate the three subprogrammes' programme performance data at programme 9 level, and budget performance at section 11 level before submitting them to OPPBA. Such a consolidation is critical in providing reasonable assurance that strategic decisions for programme 9 were based on a complete and accurate picture of the programme's achievements and financial situation.

Programmatic and financial reporting systems require consolidation

30. Budget performance and staffing table control are prepared separately at the subprogramme level. There is a vacuum in consolidating: (a) the programme performance of all three subprogrammes at programme 9 level; and (b) proposed programme budget and budget performance of all three subprogrammes at the programme budget section 11 level, which corresponds to programme 9.

31. The heads of each subprogramme jointly appear before the intergovernmental bodies such as the Committee for Programme and Coordination and the Fifth Committee to defend each subprogramme's biennial programme plan and budget proposal. Although informal bilateral discussions take place among

the heads of OSAA, ECA and DPI, there are no formally established mechanisms to ensure that programmatic and financial information presented to the intergovernmental bodies on programme 9 is complete and accurate. **OSAA could explore the feasibility of an improved programmatic and financial reporting mechanism whereby performance information of all three subprogrammes under programme 9 and section 11 would be consolidated for submission to the General Assembly.** *OSAA accepted this opportunity for improvement.*

E. Coordinated management

32. OSAA's executive direction, management and programme support structure do not provide reasonable assurance regarding its overall accountability for programme 9. OSAA's work through the two coordination mechanisms namely, the regional coordination mechanism (RCM) and the Inter-Departmental Task Force on African affairs was operating effectively, although approval of the terms of reference for the Inter-Departmental Task Force on African affairs would provide further assurance that coordination objectives and arrangements within the Secretariat are understood and agreed upon by all parties. In addition, OSAA also participated in the CEB meetings whenever relevant. OSAA's job classifications to coordinate peace and security activities need to be strengthened to provide assurance that the competencies related to peace and security are adequate.

Need for strengthened executive direction, management and programme support functions

33. Programme budget section 11 has no provision for executive direction and management function, and no dedicated resources are budgeted for this function. Only recently has a P-5 post been internally deployed to the Office of the USG OSAA to partly carry out this function. The coordination of global advocacy in the United Nations system, the private sector and the Bretton Woods institutions in support for NEPAD is the core responsibility for programme 9. This responsibility requires an effective executive direction and management function with dedicated resources.

34. Furthermore, programme budget section 11 has no provision for a programme support function of its own. Instead the section relies on DESA for subprogramme 1, ECA for subprogramme 2 and DPI for subprogramme 3. However, there are no formal arrangements with DESA, DPI or ECA for the provision of programme support services in support for NEPAD. DESA USG's 2010-2011 compact does not cover responsibility for providing programme support services to OSAA. Neither does DESA's Secretary-General's bulletin (ST/SGB/1997/9) provide for this responsibility. As a result, NEPAD lacks an overall management of resources at the section 11 level and the accountability for resources is spread to OSAA, ECA and DPI.

35. Consequently, the USG of OSAA does not have the overall responsibility for resources at section 11 level (corresponding to programme 9). For example, OSAA USG's compact covers responsibility for only subprogramme 1. Senior Managers' compact includes the Human Resource Action Plan (HRAP) at the programme 9 level. However, data on resources for all three subprogrammes of programme 9 are not consolidated in OSAA with the resulting impact that the OSAA USG does not have an overview and accountability for resources at the programme 9 level.

Recommendation 4

(4) OSAA should strengthen the executive direction and management and programme support functions by establishing a dedicated organizational unit to ensure leadership and management of programme 9.

36. *OSAA accepted recommendation 4.* Recommendation 4 remains open pending receipt of evidence that OSAA has established a dedicated organizational unit for executive direction and management, and programme support functions.

Need for formalizing the inter-departmental task force's terms of reference

37. Resolutions 57/2 and 57/7 of 30 September and 4 November 2002 of the United Nations General Assembly adopted the position that NEPAD should be the framework within which the international community, including the UN system, should concentrate its efforts on Africa's development. This framework has been structured at global, regional and country levels to operationalize its support. OSAA is the focal point for coordinating the United Nations support for NEPAD globally. In fulfilling this role, OSAA mainly works through two coordination mechanisms namely, the RCM and the inter-departmental task force on African affairs. In addition, OSAA also participated in the relevant Chief Executive Board (CEB) meetings.

38. CEB is an instrument for supporting and reinforcing the coordinating role of United Nations intergovernmental bodies on social, economic and related matters. It is mandated to align the strengths of a decentralized system of regional and national organizations into a cohesive and functioning whole. It works to ensure that the UN system delivers as one at the global, regional and country levels on the broad range of commitments made by the international community. The CEB has its three pillars which are High Level Committee on Programmes, High Level Committee on Management and the United Nations Development Group (UNDG). The senior management of OSAA attended CEB meetings twice a year and it is a member of the UNDG. Whenever Africa related issues were part of the agenda for CEB, OSAA attended these meetings.

39. RCM-Africa is a framework for coordination aiming to fast-track programme implementation system-wide by the United Nations. RCM-Africa sessions are convened by ECA and held on an annual basis. So far 11 sessions of RCM-Africa have been organized and the twelfth session is planned for November 2011. Within the RCM-Africa framework, nine thematic clusters have been established around the priority areas of NEPAD. OSAA, in the capacity of subprogramme 1, chairs the Advocacy and Communication Cluster.

40. The inter-departmental task force on African affairs is particularly important to OSAA as it forms part of its formal mandate and is chaired by OSAA. The terms of reference (TOR) of the task force are not finalized and approved. However, according to the draft TOR, the task force has three objectives:

- Serve as a tool to promote positive change in the institution's response to the challenges faced by Africa;
- Hold discussions on cross cutting issues that affect Africa with the intent to enhance UN support to Africa; and
- Serve as an inter-departmental mechanism to provide policy recommendations to the Secretary-General and the inter-governmental bodies on issues pertaining to Africa.

41. The membership of the inter-departmental task force on African affairs is open to all UN departments, funds, programmes and agencies working on peace and security, economic, social and developmental issues in Africa. At the time of the audit, six task force meetings had taken place for the period from 2008 to 2011. In 2009, the inter-departmental task force on African affairs met only once. This is contrary to the draft TOR which states that the taskforce could meet once a month or as needed when called for by any of its members. **OSAA could benefit from formalizing the terms of reference for the inter-departmental task force on African affairs.** *OSAA responded that the inter-departmental*

AUDIT RESULTS

taskforce on Africa is already constituted and it is effectively in operation in spite of the draft terms of reference. This was evident in the taskforce's critical role in coordination of the Secretary-General's comprehensive review of the recommendations in the original 1998 causes of conflict report, as well as in the preparation of the Secretary-General's report on the monitoring mechanism with regard to Africa development needs.

AUDIT RESULTS

**ANNEX I
SUMMARY OF RECOMMENDATIONS**

Audit of the coordination of global advocacy and support for New Partnership for Africa's Development subprogramme

| Recom. no. | Recommendation | Risk category | Risk rating | C/O ¹ | Actions needed to close recommendation | Implementation date ² |
|------------|---|---------------|--------------------|------------------|--|----------------------------------|
| 1 | The Executive Office of the Secretary-General should review the overall responsibility for programme 9 and programme budget section 11 in line with General Assembly resolutions 57/7 and 57/300 with the view to further enhancing more effective management accountability for programme 9. (Critical). | Governance | Critical (High) | O | Receipt of evidence that the EOSG has reviewed the overall responsibility for programme 9 and programme budget section 11 in line with General Assembly resolutions 57/7 and 57/300. | Not provided |
| 2 | OSAA should propose to the Secretary-General a mechanism for joint production and submission by OSAA, ECA and DPI of programme 9 strategic framework and its subprogrammes' work plans to strengthen the coordination of NEPAD activities within the Secretariat. | Strategy | Important (Medium) | O | Receipt of a proposed mechanism for joint production and submission by OSAA, ECA and DPI of programme 9 strategic framework and its subprogramme's work plans. | No provided |
| 3 | OSAA should develop indicators of achievement for subprogramme 1 jointly with ECA and DPI for subprogrammes 2 and 3. For subprogramme 1, OSAA should also establish written guidance to analyze and categorize submissions from the United Nations system so that more precise contributions are received and accounted for against relevant indicators of achievement as part of the performance monitoring mechanism. | Operational | Important (Medium) | O | Receipt of: (a) an established mechanism to jointly develop indicators of achievement for three subprogrammes; and (b) written guidance to analyze and categorize submissions from the United Nations system so that more precise contributions are received and accounted for against relevant indicators of achievement as part of the performance monitoring mechanism. | Not provided |
| 4 | OSAA should strengthen the executive direction and management and programme support functions by establishing a dedicated organizational unit to ensure leadership and management of programme 9. | Governance | Important (Medium) | O | Receipt of evidence that OSAA has strengthened NEPAD's executive direction and management and programme support functions. | Not provided |