

United Nations  Nations Unies

INTEROFFICE MEMORANDUM

MEMORANDUM INTERIEUR

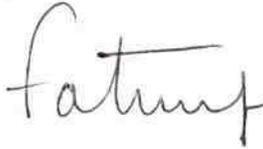
OFFICE OF INTERNAL OVERSIGHT SERVICES - BUREAU DES SERVICES DE CONTRÔLE INTERNE
INTERNAL AUDIT DIVISION - DIVISION DE L'AUDIT INTERNE

TO: Mr. B. Lynn Pascoe, Under-Secretary-General
A: for Political Affairs

DATE: 2 September 2011

REFERENCE: IAD: 11- 00553

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



SUBJECT: **Assignment No. AP2011/560/01 – Audit of DPA's substantive and administrative support to**
OBJET: **special envoys and advisers**

Overall results relating to DPA's effective provision of administrative and substantive support to special envoys and advisers were satisfactory

1. Attached please find the report on the above-mentioned audit.
2. The audit identified a number of opportunities for improvement (see Annex I). While OIOS will not report on the implementation of these opportunities, we encourage you to implement them to improve the efficiency and effectiveness of your operations. OIOS will review their implementation as part of future audits.
3. Please note that under General Assembly resolution 59/272, a Member State may request that the final report be made available. Also note that pursuant to General Assembly resolution 64/263, OIOS has included the complete management response as an appendix to the present report.
4. We wish to express our appreciation to the Management and staff of DPA for the assistance and cooperation extended to the auditors during this assignment.

cc: Ms. Ann de la Roche, Executive Officer, DPA
Mr. Darko Mocibob, Senior Political Officer, DPA
Mr. Swatantra Goolsarran, Executive Secretary, UN 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 DPA's substantive and administrative support to special envoys and advisers

BACKGROUND

Article 99 of the Charter of the United Nations provides the Secretary-General with discretionary authority to bring to the attention of the Security Council any matter that in his opinion might threaten the maintenance of international peace and security. In exercising this responsibility, the Secretary-General may deploy a special envoy or adviser to carry out preventive diplomacy or to bring to bear his "good offices" in the resolution of conflicts.

Special envoys and advisers, along with other field missions, committees and panels established with mandates that are political in nature, are referred to as special political missions (SPMs). The Department of Political Affairs (DPA) is tasked with directing, managing and providing political and policy guidance and strategic direction to SPMs. Presently, DPA directs and provides substantive guidance and administrative support to eight special envoys and advisers.

This audit was included in the 2011 OIOS risk-based work plan in order to examine the changes in controls and support arrangements for special envoys and advisers as a result of the recent DPA strengthening exercise.

OBJECTIVE AND SCOPE

The audit was conducted to assess the adequacy and effectiveness of DPA's risk management, control and governance processes in providing reasonable assurance regarding the effective provision of administrative and substantive support to special envoys and advisers. The key controls tested for the audit included those related to: (a) mandates and delegation of authority; (b) project management; and (c) performance monitoring. The audit covered DPA's support to special envoys and advisers for the periods 2008-2009 and 2010-2011.

AUDIT RESULTS

In OIOS' opinion, DPA's risk management, control and governance processes examined were **satisfactory** to provide reasonable assurance regarding the effective provision of administrative and substantive support to special envoys and advisers.

DPA's authority, roles and responsibilities for the support of special envoys and advisers were defined and appropriate. DPA had established mechanisms to ensure adequate coordination within DPA and with other United Nations stakeholders on substantive guidance and support to special envoys and advisers. Also, although there was sufficient capacity to provide adequate and timely support to special envoys and advisers, efforts were ongoing for a more efficient means of resourcing these activities. Performance metrics for monitoring the support provided were in place, with opportunities to better use existing mechanisms.

ACKNOWLEDGEMENT

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