

Office of Internal Oversight Services

INTERNAL AUDIT DIVISION

AUDIT REPORT

Audit of gender affairs programme in UNMIT

Overall results relating to effective management of the gender affairs programme were assessed as partially satisfactory. Due to the drawdown of UNMIT, it was not feasible for UNMIT to implement the recommendations; however, UNMIT has shared the OIOS results with UN Women for consideration

FINAL OVERALL RATING: PARTIALLY SATISFACTORY

24 December 2012

Assignment No. AP2012/682/04

CONTENTS

	<i>Page</i>
I. BACKGROUND	1
II. OBJECTIVE AND SCOPE	1-2
III. AUDIT RESULTS	2-5
A. Risk management and strategic planning	3
B. Coordinated management	3
C. Information and outreach programme	3-4
D. Programme management	4-5
E. Performance monitoring	5
IV. ACKNOWLEDGEMENT	5
ANNEX I Status of audit recommendations	
APPENDIX 1 Management response	

AUDIT REPORT

Audit of gender affairs programme in UNMIT

I. BACKGROUND

1. The Office of Internal Oversight Services (OIOS) conducted an audit of the gender affairs programme in the United Nations Integrated Mission in Timor-Leste (UNMIT).
2. In accordance with its mandate, OIOS provides assurance and advice on the adequacy and effectiveness of the United Nations internal control system, the primary objectives of which are to ensure (a) efficient and effective operations; (b) accurate financial and operational reporting; (c) safeguarding of assets; and (d) compliance with mandates, regulations and rules.
3. UNMIT was established pursuant to Security Council resolution 1704 (2006), and has been extended several times with the most recent resolution 2037 (2012) extending the mandate until 31 December 2012. The Mission's mandate included: mainstreaming gender perspective in all its policies, programmes and activities; supporting the development of national strategies to promote gender equality and empowerment of women; working for the protection of women and girls from sexual and gender-based violence (SGBV); and implementation of Security Council resolution 1325, dated 31 October 2000, to inter alia, mainstream gender perspectives and implement strategic plans to increase participation of women in decision making levels and to further gender perspectives in peacekeeping operations.
4. Gender affairs activities were carried out by substantive sections in UNMIT and were coordinated by the Gender Affairs Unit. The Unit was headed by a Senior Gender Advisor at the P-5 level and had five authorized posts. The staffing costs for 2010/11 and 2011/12 averaged \$390,000 per annum. Travel and training funds for gender affairs activities were funded through various sections in the Mission, and the Department of Peacekeeping Operations provided \$50,000 from the Luxembourg Fund a trust fund to enhance women participation in the 2012 elections.
5. Comments provided by UNMIT are incorporated in italics.

II. OBJECTIVE AND SCOPE

6. The audit was conducted to assess the adequacy and effectiveness of the UNMIT governance, risk management and control processes in providing reasonable assurance regarding the **effective management of the gender affairs programme in UNMIT**.
7. The audit was included in the 2012 OIOS risk-based work plan because of the cross-cutting nature of the gender affairs programme and its importance to the achievement of UNMIT's mandate and Security Council resolution 1325.
8. The key controls tested for the audit were: (a) risk management and strategic planning; (b) coordinated management; (c) information and outreach programme; (d) project management; and (e) performance monitoring. For the purpose of this audit, OIOS defined these key controls as follows:
 - (a) **Risk management and strategic planning** - controls that provide reasonable assurance that risks relating to the management of the gender affairs programme are identified and assessed, and that action is taken to mitigate or anticipate risks.

(b) **Coordinated management** - controls that provide reasonable assurance that potential overlaps in the delivery of the gender affairs programme are mitigated, and that issues affecting or involving other United Nations partners and actors are identified, discussed and resolved timely and at the appropriate forum.

(c) **Information and outreach programme** - controls that provide reasonable assurance that a public information programme exists to inform stakeholders on gender affairs initiatives or results, and to respond to allegations or negative publicity about the gender affairs programme.

(d) **Project management** - controls that provide reasonable assurance that there is sufficient project management capacity to achieve the gender mainstreaming mandate.

(e) **Performance monitoring** - controls that provide reasonable assurance that metrics are established on when and how gender mainstreaming activities are performed, and that such activities are carried out in accordance with the metrics.

9. The key controls were assessed for the control objectives shown in Table 1.

10. OIOS conducted this audit from May to August 2012. The audit covered the period from 1 July 2010 to 30 June 2012.

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

III. AUDIT RESULTS

12. The UNMIT governance, risk management and control processes examined were **partially satisfactory** in providing reasonable assurance regarding the **effective management of the gender affairs programme in UNMIT**. OIOS made two recommendations to address the issues identified, but due to the complete drawdown of the Gender Affairs Unit, it was not feasible for UNMIT to implement these recommendations. There were adequate policy guidelines and strategic planning for the implementation of the Mission's gender mainstreaming mandate. The Gender Thematic Working Group (Working Group) and gender focal points facilitated the exchange of information and coordination activities, and several gender-related activities were carried out for the achievement of the Mission's mandate. The need for the Gender Thematic Working Group to develop a mechanism to follow-up on the implementation status of significant recommendations made to various Government agencies was shared with UN Women for their consideration.

13. The initial overall rating was based on the assessment of key controls presented in Table 1 below. The final overall rating is **partially satisfactory**, as UNMIT while accepting the recommendations, were not in a position to implement them due to the complete drawn down of the Gender Affairs Unit and the imminent liquidation of the Mission.

Table 1: Assessment of key controls

Business objective	Key controls	Control objectives			
		Efficient and effective operations	Accurate financial and operational reporting	Safeguarding of assets	Compliance with mandates, regulations and rules
Effective management of the gender affairs programme in UNMIT	(a) Risk management and strategic planning	Satisfactory	Satisfactory	Satisfactory	Satisfactory
	(b) Coordinated management	Satisfactory	Satisfactory	Satisfactory	Satisfactory
	(c) Information and outreach programme	Satisfactory	Satisfactory	Satisfactory	Satisfactory
	(d) Project management	Partially satisfactory	Satisfactory	Satisfactory	Satisfactory
	(e) Performance monitoring	Partially satisfactory	Partially satisfactory	Satisfactory	Partially satisfactory
FINAL OVERALL RATING: PARTIALLY SATISFACTORY					

A. Risk management and strategic planning

14. The United Nations Integrated Strategic Framework, the Joint Transition Plan and the results-based budget of UNMIT provided policy and strategic planning guidelines for the implementation of the gender mainstreaming mandate, including that given by Security Council resolution 1325. The work plans of the Gender Affairs Unit, substantive components of the Mission and the Working Group included projects which focused on: (a) gender mainstreaming awareness; (b) empowerment of women in the political and socio-economic processes; (c) preparation of laws against domestic violence and; (d) capacity building of the National Police of Timor-Leste (PNTL) to deal with sexual gender-based violence (SGBV) cases and vulnerable persons, including women and girls in Democratic Republic of Timor-Leste (DRTL).

B. Coordinated management

15. The Working Group, which comprised various sections of the Mission and representatives from the United Nations Country Team (UNCT), was used as a forum to exchange information, coordinate activities, and formulate and discuss the implementation of collaborative gender mainstreaming activities. UNMIT also established sub-working groups to tackle gender-related issues such as participation of women voters and candidates in elections. The gender focal points, selected from various sections/units, contributed to enhance internal coordination and strengthen information sharing. A review of eight gender affairs quarterly reports and minutes of 14 meetings of the Working Group showed that the Mission worked in close coordination and cooperation with the UNCT.

C. Information and outreach programme

16. Through the use of campaigns, exhibition, workshops, forums, radio and video programmes, and publication materials, UNMIT conducted several gender mainstreaming outreach activities. The Communication and Public Information Office produced 88 radio programmes and 18 packages of video programmes related to gender awareness and women’s participation in elections. These programmes were broadcasted to all 13 districts across the country. Open days for women were organized in four districts to

promote Security Council resolution 1325 and women's political participation, which were attended by the Special Representative of the Secretary-General. During the election period, posters and banners were distributed throughout the country relating to the empowerment of women and a first voter campaign. The Human Rights and Transitional Justice Unit (HRTJU) and the Serious Crimes Investigation Team (SCIT) jointly organized events across 66 sub-districts to enhance awareness of SGBV. The Security Sector Support Unit (SSSU) also conducted outreach activities targeting lawyers and civil society of all 13 districts to enhance their capability in handling SGBV cases.

17. A review of Secretary-General's reports, weekly situation and briefing reports, as well as the Section's progress reports showed that gender-related issues were fully integrated in UNMIT's reporting, thereby keeping member states and stakeholders abreast of gender affairs activities in DRTL.

D. Project management

18. Gender mainstreaming was well integrated across the Mission, and focal points met regularly to discuss gender-related issues. There was also a Women's Network and Steering Committee within the United Nations Police (UNPOL) to liaise with UNMIT management on issues affecting UNPOL female officers. Gender-related trainings were integrated in induction and regular training programmes delivered by the Training Unit. Also, sections including SCIT and HRTJU developed specific job-related trainings on gender perspectives.

19. Projects related to UNMIT priorities were launched through: (i) public awareness programmes; (ii) training and capacity building of national partners; and (iii) technical and logistic support in the formulation of national policies, action plans, laws and government procedures. UNMIT organized activities to improve the capacities of potential women candidates in elections, case investigation skills, awareness of SGBV, and gender mainstreaming in the Government. The Gender Affairs Unit provided 23 gender awareness and domestic violence trainings to 345 participants from PNTL and the Office of Parliament. UNPOL assisted PNTL in developing a training framework that incorporated gender-related issues, and the Administration of Justice Support Unit, HRTJU and SSSU provided gender-related trainings to the PNTL and Timor-Leste Defence Force officers.

20. UNMIT played an active part in advising the Government on gender-related issues which resulted in several positive outcomes. For example, the Government of DRTL acceded to a number of international covenants including the Convention on the Elimination of All Forms of Discrimination Against Women; promulgation of the law against domestic violence; amendment of penal code treating domestic violence as a public crime; development and adoption of the National Action Plan on SGBV; and establishment of Vulnerable Persons' Units in all 13 PNTL district offices. The electoral law was amended to increase women parliamentarian from 25 per cent to 33 per cent as the minimum representation in parliament. As a result, 38 per cent women were elected in the 2012 parliamentary election in DRTL. Moreover, gender focal points were appointed in each ministry and district of PNTL.

Lack of a monitoring mechanism to follow up on recommendations

21. There was no monitoring mechanism to follow up on the implementation status of important gender mainstreaming recommendations made to Government agencies. Some of the advice and/or recommendations were recorded in minutes of meetings held by the Gender Affairs Unit and the Working Group, and in assessment reports of various sections including SSSU and HRTJU. However, there was no systematic follow up on action points. As a result, UNMIT was unable to effectively assess the outcome of proposed actions. The Senior Gender Advisor advised that some recommendations were promptly implemented by the Government and thus were not recorded.

- (1) UNMIT should advise the Gender Thematic Working Group to develop a mechanism for following up on the implementation status of important recommendations made to various Government agencies of the Democratic Republic of Timor-Leste.**

UNMIT accepted recommendation 1 and stated that OIOS results had been shared with the Country Representative of UN Women in December 2012 for consideration and to implement necessary measures. The Chairperson of the Working Group had been assumed by UN Women. Based on the action taken by UNMIT to share OIOS results with UN Women, recommendation 1 has been closed.

E. Performance monitoring

Performance monitoring process should be strengthened

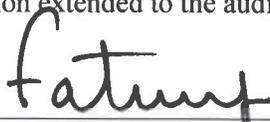
22. The performance of the gender affairs programme was monitored through the strategic work plan of the Working Group, the results-based budget, and the work plans of the Gender Affairs Unit. There was a need to improve the performance monitoring process as: (a) quarterly status updates provided by the various sections were too general and activities completed or in progress were not clearly documented; (b) monitoring of the implementation of the work plan of the Gender Affairs Unit was insufficient as it did not include all work plan activities; and (c) gender affairs outputs and outcomes were not always clearly defined in the work plans of the Working Group and the Unit, impeding assessments of whether planned activities were actually conducted.

- (2) UNMIT, in coordination with the United Nations Country Team members, should strengthen performance monitoring of the gender affairs programme by ensuring that outputs and outcomes are clearly defined, and that progress is regularly monitored to ensure achievement of goals.**

UNMIT accepted recommendation 2 and stated that in light of the complete drawdown of the Gender Affairs Unit it was not feasible to develop a more systematic system to monitor the performance of the gender affairs programme. Based on the action taken by UNMIT to share OIOS results with UN Women, recommendation 2 has been closed.

IV. ACKNOWLEDGEMENT

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



Ms. Fatoumata Ndiaye, Director
Internal Audit Division, OIOS

STATUS OF AUDIT RECOMMENDATIONS

Audit of gender affairs programme in UNMIT

Recom. no.	Recommendation	Critical/ Important ²	C/ O ³	Actions needed to close recommendation	Implementation date ⁴
(1)	UNMIT should advise the Gender Thematic Working Group to develop a mechanism for following up on the implementation status of important recommendations made to various Government agencies of the Democratic Republic of Timor-Leste.	Important	C	Action taken to share results with UN Women for consideration.	Implemented
(2)	UNMIT, in coordination with the United Nations Country Team members, should strengthen performance monitoring of the gender affairs programme by ensuring that outputs and outcomes are clearly defined, and that progress is regularly monitored to ensure achievement of goals.	Important	C	Action taken to share results with UN Women for consideration.	Implemented

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

² Important recommendations address important deficiencies or weaknesses in governance, risk management or internal control processes, such that reasonable assurance may be at risk regarding the achievement of control and/or business objectives under review.

³ C = closed, O = open

⁴ Date provided by UNMIT in response to recommendations.