

UNITED NATIONS DEVELOPMENT PROGRAMME
Office of Audit and Investigations



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AUDIT

OF

**THE JOINT UNDP-DPA PROGRAMME ON BUILDING NATIONAL
CAPACITIES FOR CONFLICT PREVENTION**

Report No. 1890

Issue Date: 21 December 2017

Report on the Audit of the Joint UNDP-DPA Programme on Building National Capacities for Conflict Prevention Executive Summary

The UNDP Office of Audit and Investigations (OAI) conducted a performance audit of the Joint UNDP-DPA Programme on Building National Capacities for Conflict Prevention (the Programme) from 11 September to 31 October 2017. Performance auditing is an independent examination of an entity to assess whether the entity is achieving economy, efficiency and results in the employment of available resources.

The audit aimed to assess the extent to which the Programme has contributed to building and consolidating initiatives and capacities in UN Country Teams (UNCTs) and national entities for conflict prevention.

The audit covered the activities of the Programme from 1 January 2016 to 30 June 2017. This was the first audit of the Programme.

The audit was conducted in conformance with the *International Standards for the Professional Practice of Internal Auditing*.

Overall audit rating

OAI assessed the Programme as **partially satisfactory / some improvement needed**, which means “the assessed governance arrangements, risk management practices and controls were generally established and functioning, but need some improvement. Issues identified by the audit do not significantly affect the achievement of the objectives of the audited entity/area.” This rating was mainly due to the Programme not adhering to the principles of Results-Based Management.

Key recommendations: Total = 3, high priority = 1

The three recommendations aim to ensure the achievement of the Programme’s strategic objectives.

For high (critical) priority recommendations, prompt action is required to ensure that UNDP is not exposed to high risks. Failure to take action could result in major negative consequences for UNDP. The high (critical) priority recommendation is presented below:

Programme not adhering to the principles of Results-Based Management (Issue 2)

The Programme Document did not fully reflect a Results-Based Management orientation and the outputs were not specific, measurable, achievable, relevant and time-bound (SMART). Also, the Programme did not have a monitoring framework. Reporting of the progress of the Programme was not related to the measuring of achievements against targets.

There was no country-specific results planning. The audit reviewed 15 requests for Peace and Development Advisors (PDAs) made by Resident Coordinators and noted that none of these requests included a specific time-bound plan to enhance UNCT and local capacities; only one request made clear reference to the planning of national entities on conflict prevention. All the other requests made no, or very partial reference to capacity-building and none of the requests made statements about expected results. They only listed activities to be undertaken by the PDA.

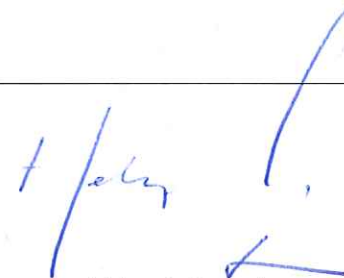
The prioritization of countries for deployment of PDAs was not based on the likelihood of achieving results and did not assess how and when capacities would be created by every existing and newly deployed PDA. Also, the same assessment was used for new deployments and countries which already had a PDA deployed.

Recommendation 2: The Programme should adopt a Results-Based Management approach by: (a) improving the design of the next Programme with clear results and indicators and developing a monitoring framework to measure progress in achieving targets; (b) prioritizing deployment of PDAs based on projected results; and (c) prioritizing requests for deployment of PDAs also based on targets for building local capacities.

Management comments and action plan

The Director of the Bureau for Policy and Programme Support accepted all recommendations and is in the process of implementing them. Comments and/or additional information provided have been incorporated in the report, where appropriate.

Low risk issues (not included in this report) have been discussed directly with management and actions have been initiated to address them.

A handwritten signature in blue ink, appearing to read 'H. Ostveiten', is written over a rectangular box. The signature is stylized and cursive.

Helge S. Ostveiten
Director
Office of Audit and Investigations