



 **UN  
WOMEN** 



Planet 50-50 by 2030  
Step It Up for Gender Equality

# Management Response to Annual Report on Internal Audit & Investigations Activities

For the year ended 31 December 2018

- **“No significant weaknesses were identified** in the Entity’s governance, risk management, and control processes that would seriously compromise the achievement of UN-Women’s strategic and operational objectives”
- **Audit recommendation implementation rates**
  - ✓ Measuring against prior year

2018	2017
99%	99%

- **No Unsatisfactory** audit rating
- **31** outstanding audit recommendations with **only one** long outstanding recommendation.

- UNBoA External Audit: **Headquarters and 2 field offices** with focus on financial statement; **AND**
- Internal Audit: **16.0%** of total expenditures, **1 Functional** audit, **1 HQ Division** audit, **9 Field offices** (full scope) audits and **18 DIM Project** audits; **AND**
- Global Auditors project audits: **46%** of Project Expenditures, **95 projects** with **167 partners**; **AND**
- Investigation activities: Global service; **AND**
- Independent Evaluation: **1 Corporate** and **33 decentralized** evaluations

- **UN-Women implemented all recurring recommendations issued in 2017:**
  
- **Highlights of positive impact from actions taken to 2017 recommendations:**
  - mobilization of substantial additional funding;
  - Call for proposals for selection of implementing partners;
  - strengthened guidance for Joint Programming;
  - enhanced guideline distinguishing between infrastructure-related programmatic activities and office refurbishment activities; and
  - strengthened monitoring and reporting of assets.
  
- **Corporate framework and tools in place for monitoring and Oversight:**
  - Three Lines of Defense Model and oversight framework; and
  - ACL Analytics tool.

## ➤ *High Priority recommendations:*

- new **corporate strategy** and clearer leadership roles in resource mobilization;
- new **framework guidance** on resource mobilization processes, action plans and structures;
- updated corporate ERM risk registers and fraud risk registers; and
- improving the **linkage** between Results Management System (RMS) and ERP system;

## ➤ *Corporate recommendations:*

- drafted the **Policy on Crisis Response** and a harmonized **fast-tracking procedures** including programme delivery;
- drafted **Partner Selection Due Diligence Procedure** and improved monitoring of partner expenditures in Atlas;
- implemented **Key Performance Goal Indicators (KPIs)** for Programme Specialists on management of implementing partner advances; and
- revising **Partner Cooperation Agreement template**.

## ➤ *Recurring recommendations:*

- **protocol** for rigorous vendor reference checks;
- **Business Continuity Plan** updated and tested;
- resource mobilization **toolkit** and **Client/Donor Relationship Management System** to be launched;
- leadership in SG's working groups of the **Financing for Gender Equality task force**;
- implementing partner assessment and capacity building strengthened; and
- project activity and performance monitoring enhanced.

- 31 outstanding recommendations as at 31 December 2018:
  - 30 were issued in 2018 and 1 was issued in 2017; and
  - 15 out of 31 recommendations are implemented to-date.
  
- Nearly at completion of the 1 long outstanding recommendation:
  - new Small Grants Policy finalized for promulgation.

- Increased investigation case load can, inter alia, be attributed to:
  - enhanced knowledge and awareness on reporting mechanisms;
  - trust in independence of investigations.
- Sustained greater accountability, enhanced communication and awareness, and strengthened policies.
- Enhanced focus on people management, better planning and workload management, and enhanced training in leadership and management.
- Presented the report on disciplinary measures and other actions taken to respond to wrongdoing under zero tolerance policy.





Thank you!