

•

-
-
-
-

Management Response to Annual Report on Internal Audit and Investigations Activities

for the year ended 31 December 2019

Presented by:

Ms. Åsa Regnér

**Deputy Executive Director for Normative
Support and Programme Results**



Summary of presentation

❖ Overview of Internal Audit Activities

❖ Management Response to IAS's Overall Recommendations

- ✓ Statement of Internal Control
- ✓ Second Line of Defense

❖ Management Actions to Address Significant Internal Audit Results

- ✓ Management of Implementing Partners
- ✓ Programme and Project Management
- ✓ Travel Management
- ✓ Setting up and implementation of strategic priorities
- ✓ Capacity needed to implement strategic priorities
- ✓ Procurement Management
- ✓ Risk Management Process
- ✓ Other recurrent issues

❖ Status of prior years' audit recommendations

❖ Response to Executive Board Decision 2019/3

- ✓ Recurring recommendations
- ✓ High priority and long outstanding recommendations

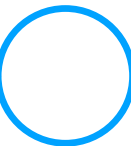
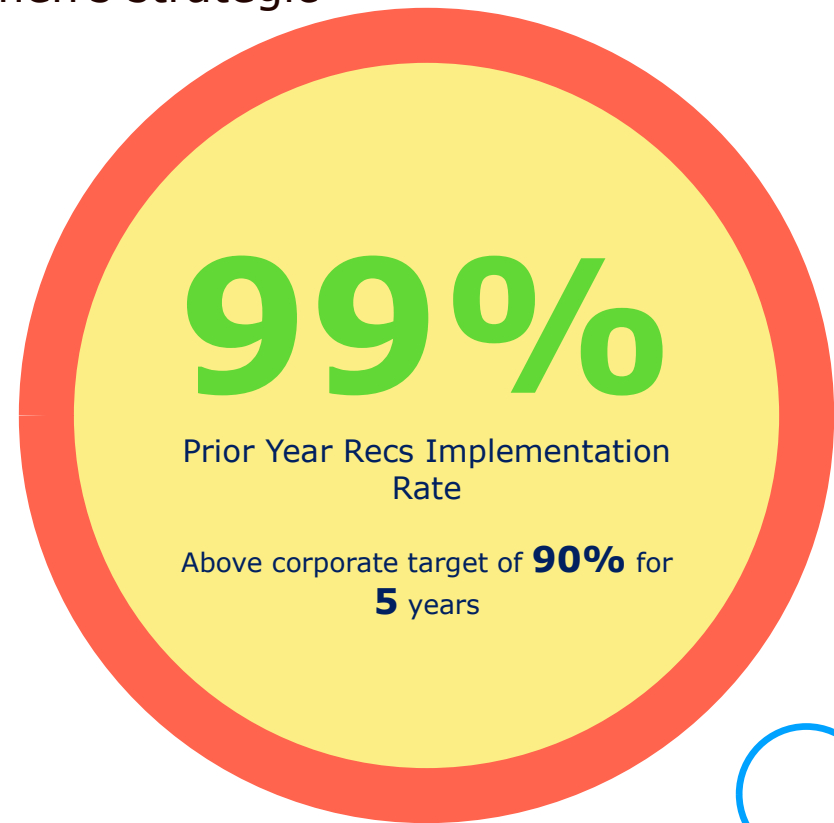
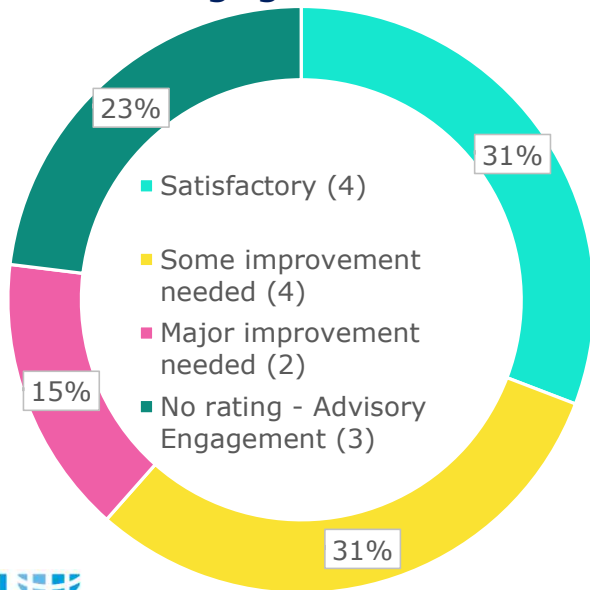
❖ Investigations Activities



Overview of Internal Audit Activities

“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”

Ratings for 13 Audit and Advisory Engagements



Management Response to IAS' Overall Audit Recommendation



UN-Women ongoing actions to consider pursuing effective preparation of relevant Statement of Internal Control



UN-Women 2.0 to have a strengthened Second Line of Defense with no-gap and no-overlap oversight roles at Regional Offices and Headquarters



Management of Implementing Partners

Management actions in progress to address audit recommendations



Identify main Business Process Owner for clear accountability and effective Partner Management (HP)



Identify and address gaps or duplications in policies and controls for partner management (HP)



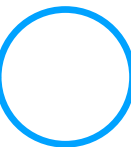
Establish standardized procedure to resolve audit findings of poor partner performance



Improve partner performance monitoring with a Partner and Grants Agreement Management System



Establish partner data protection framework under Information Security Policy (HP)



Programme and Project Management

Management actions implemented and in progress to address audit recommendations



Ensure effective programme monitoring and timely project reports submission (HP)



Design programme implementation and exit strategies to promote sustainability and national ownership (HP)



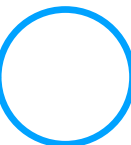
Develop feasible and scalable projects with optimum results impact



Develop project document template and appraisal checklist for efficient feasibility assessment of short-term funded projects (HP)



Implemented



Travel Management

Management actions in progress to address audit recommendations



Assess travel management function within available resources (HP)



Update Duty Travel Policy (HP)



Roll out Atlas Travel and Expense module for global use



Setting up and implementation of strategic priorities

Management actions implemented and in progress to address audit recommendations



Ensure monitoring and evaluation framework in all programmes and projects (HP)

Implemented



Align donor's funding with regional priorities through Gender Equality Bilateral Partners Group consultations (HP)

Implemented



Develop well-coordinated regional resource mobilization plan using the Responsible, Accountable, Consulted, Informed (RACI) model (HP)

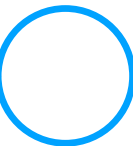
Implemented



Clarify roles and responsibilities of Regional Office and establish appropriate UN-Women global footprint in the field (HP 3)



Ensure Strategic Notes with clearly defined results matrix under the updated AWP Guidance Note following the rigorous mid-term review(HP2)



Capacity needed to implement strategic priorities

Management actions in progress to address audit recommendations



Develop human resources strategy and recruitment plan that supports effective programme and project implementation (HP)



Facilitate flexible and agile use of limited capacity resources at regional and priority country offices; Actualize the decentralization of policy guidance at Regional level (HP 2)



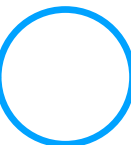
Streamline protocols to expedite recruitment and on-boarding of new staff; Minimize staffing gap with effective succession plans



Lead implementation of UN Country Team's gender scorecard and gender & human rights training (HP)



Ensure UN Country Team gender responsive UNSDCF (HP)



Procurement Management

Management actions implemented to address audit recommendations



Streamline procurement process with E-Procurement platform (HP)



Safeguard confidential procurement records



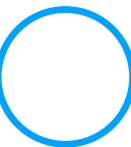
Improve oversight of procurement activities through policies update training and certification program



Implemented

Implemented

Implemented



Risk Management Process

Management actions in progress to address audit recommendations



Reinforce embedding risk management practice in the annual work planning through an updated the Risk Management Policy



Streamline protocols for timely and efficient risk communication and escalation



Other recurrent issues

Management actions implemented and in progress to address recommendations and improve on compliance to policies and procedures



Internal control framework, fraud prevention and risk mitigation procedures

Increase staff's understanding of control environment through training and enhance compliance monitoring and oversight (HP) **Implemented**

HR policies and procedures

Developed SOP checklist to ensure compliance to HR procedures

Asset recording

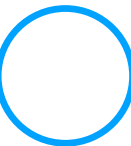
Safeguarded assets with all non-capital assets tagged

BCP and DRP testing

Completed testing of in-use Business Continuity and Disaster Recovery Plans (HP)

Data protection management

Promote project data security by migrating into corporate cloud platform



Status of prior years' audit recommendations

Implemented two out of three long-outstanding recommendations

On going System improvement on mapping of Results Management System with Atlas
In-Progress

Effectively functioning Business Continuity and Disaster Recovery Plans under global health crisis
Implemented

Promulgated Resource Mobilization Partnership Policy
Implemented



Response to Executive Board Decision 2019/3

2018 Recurring issues and implementing partner related recommendations



All recurring issues and implementing partner related recommendations for 2018 are **Implemented**

Positive improvements of implementing recommendations related to Implementing Partners:

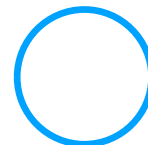
Appropriate partnership or IP capacity development for sustainable projects towards national ownership

Minimized risks of not achieving programme results with rigorous IP capacity assessment

Efficient risk-based and focused programme monitoring included in MERP and AWP

Increased assurance on proper use of project funding through improved advance liquidation review

Correct contract modality and proper engagement, monitoring and reporting by third parties on activities carried out



Response to Executive Board Decision 2019/3

Implemented One long outstanding and three high-priority audit recommendations



Long outstanding recommendation

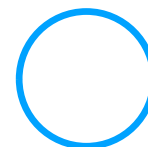
High Priority recommendations

Small Grants Policy and Procedure Promulgated

Synergized Private Sector resource mobilization strategy and clear roles and responsibilities

Marked improvement in Gender Scorecard for gender equality and women empowerment

Demonstrated continuity of business and agile operations amid global health crisis



Investigations Activities

UN-Women overall actions

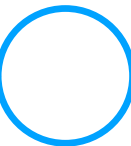
- Leadership remains committed to ensure a positive and respectful workplace for all with support mechanisms in place.
- Workplace concerns dealt with in a holistic manner; systemic issues identified and roots causes of conflicts addressed.
- Transparency maintained with the 2019 Disciplinary Report; prompt and appropriate actions taken to implement the zero-tolerance policy in substantiated investigation cases disclosed.



Investigations Activities

Strategy and Policy in place to promote ethical and respectful workplace

Inclusive Workplace Strategy	Internal campaign to promote diversity, inclusion and upholding the standards of conduct
	Team Culture Survey on UN-Women's values and competencies
	Roll out the Respectful workplace Facilitator's pilot program coordinated by the Ombudsman for Funds and Programmes
Updated Policy on Prevention of Harassment, Sexual Harassment, Discrimination and Abuse of Authority	Strengthened zero-tolerance approach to Sexual Harassment
	Victim-centered approach
	Clearly defined roles and responsibilities for Regional Directors, Heads of Office and Directors of Division on implementation of policy





Thank you!

Questions?

