



AUDIT

OF

UN WOMEN TRAINING CENTRE IN THE DOMINICAN REPUBLIC

Follow-up of OAI Report No. 1230 dated 6 June 2014

Report No. 1438

Issue Date: 30 October 2015

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**Report on Follow-up Audit of UN Women Training Centre in the Dominican Republic
(Previous OAI Report No. 1230, 6 June 2014)
Executive Summary**

From 27 to 31 July 2015, the Office of Audit and Investigations (OAI) of the United Nations Development Programme (UNDP) conducted an on-site follow-up audit of the UN Women Training Centre in the Dominican Republic (the Centre). This on-site follow-up audit was undertaken, in addition to regular desk reviews, in view of the 'unsatisfactory' audit rating assigned by OAI as a result of an audit per Report No. 1230 dated 6 June 2014. The follow-up audit was conducted in conformance with the *International Standards for the Professional Practice of Internal Auditing*.

Audit scope and approach

The follow-up audit reviewed the implementation of 11 audit recommendations. OAI conducted appropriate tests of transactions and activities by the Centre from 1 June 2014 to 1 July 2015 and interviewed management and staff concerned to determine whether the reported corrective actions were indeed implemented, as reported by the Centre in the Comprehensive Audit and Recommendation Database System (CARDS).

Audit results

Of the 11 audit recommendations, the Centre had fully implemented 8 and initiated action on 3, resulting in an implementation rate of 73 percent¹ as of 29 October 2015.

Implementation status	Number of recommendations	Recommendation Nos.
Implemented	8	3, 5, 6, 7, 8, 9, 10, 11
In progress	3	1, 2, 4
Not implemented	0	-
Withdrawn	0	-
Total	11	

The detailed implementation status of the 11 recommendations has been updated by OAI in CARDS.

Section I summarizes the three recommendations that have yet to be fully implemented. OAI encourages the relevant UN Women units to continue to take appropriate actions to address the remaining recommendations. OAI will continue to monitor the progress of the implementation of these recommendations as and when updates are provided by the relevant UN Women units in CARDS.

¹ This may differ from the implementation rate in CARDS, which includes extra points depending on how quickly the recommendations have been implemented.

Management comments and action plan

The Directors of the Programme Division and the Policy Division provided the revised implementation dates for the outstanding recommendations.



Helge S. Ostveiten
Director
Office of Audit and Investigations

I. Details of recommendations not yet implemented

Recommendation No.	Recommendation	Implementation status reported by the Centre/Division	OAI assessment recommended action
1	Define UN Women's plans for supporting national priorities at the country level relating to gender equality and empowerment of women, and communicate these plans to the Executive Board and the host government.	<p>In progress</p> <p>In addition to funding the Gender Advisor post, the Programme Division provided funding for the recruitment of a Programme Specialist to support the Representative in the development of a programme that will outline the support to be provided for national priorities. Management plans to clarify its programme presence and the job descriptions for individuals performing programme activities and their reporting lines.</p>	<p>In progress</p> <p>The Programme Division indicated that the Centre's mandate, mission, role, and optimal location were being discussed by senior management. A revised Annual Work Plan was approved for the Centre that included development priorities for the Country. As the actions to strengthen UN Women's programme presence were ongoing (i.e., determination of reporting lines and accountability for programme activities, location of the programme presence, and staffing and financial resources to support national priorities), this recommendation has been retained as "in progress."</p> <p><u>Revised implementation date:</u> January 2016</p>
2	Perform a detailed analysis of the Centre's ability to deliver within the existing context and use the analysis to determine the Centre's mandate, mission, role and optimal location.	<p>In progress</p> <p>The Centre has prepared a Strategic Plan which was approved by the Regional Office. Simultaneously, the Policy Division has gathered relevant background information regarding the Centre's operations, mandate, mission, and role. There are ongoing discussions between the Centre and the Policy Division on the way forward, including an analysis of potential training needs in light of the adoption of the Sustainable Development Goals.</p>	<p>In progress</p> <p>The discussions on the Centre's mandate, mission, role, and optimal location were ongoing, and as such, OAI has maintained the recommendation status as "in progress."</p> <p><u>Revised implementation date:</u> April 2016</p>



<p>4</p>	<p>Maintain adequate funding for the Centre’s resource mobilization activities by: (a) finalizing, approving and implementing a resource mobilization strategy and a related plan to guide the Centre’s resource mobilization efforts; and (b) providing training to management on how to make resource mobilization a sustainable activity.</p>	<p>In progress</p> <p>The medium/long-term plan for achieving the Centre’s mandate has been developed along with a Resource Mobilization Strategy and Pricing Policy for the Office. Further support from Headquarters to the Centre on resource mobilization is needed, including training.</p>	<p>In progress</p> <p>The Centre prepared a Resource Mobilization Strategy in accordance with recommendation (a). However, training to management on how to make resource mobilization a sustainable activity, including sustainability of the critical infrastructure related to the Centre’s mission, had yet to be provided.</p> <p><u>Revised implementation date:</u> April 2016</p>
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ANNEX Definitions of audit terms – implementation status, ratings and priorities

A. IMPLEMENTATION STATUS

- **Implemented** The audited office has either implemented the action as recommended in the audit report or has taken an alternative solution that has met the original objective of the audit recommendation.
- **In progress** The audited office initiated some action to implement the recommendation or has implemented some parts of the recommendation.
- **Not implemented** The audited office has not taken any action to implement the recommendation.
- **Withdrawn** Because of changing conditions, OAI considers that the implementation of the recommendation is no longer feasible or warranted or that further monitoring efforts would outweigh the benefits of full implementation. A recommendation may also be withdrawn when senior management has accepted the residual risk of partial or non-implementation of recommendation.

B. AUDIT RATINGS

- **Satisfactory** Internal controls, governance and risk management processes were adequately established and functioning well. No issues were identified that would significantly affect the achievement of the objectives of the audited entity.
- **Partially Satisfactory** Internal controls, governance and risk management processes were generally established and functioning, but needed improvement. One or several issues were identified that may negatively affect the achievement of the objectives of the audited entity.
- **Unsatisfactory** Internal controls, governance and risk management processes were either not established or not functioning well. The issues were such that the achievement of the overall objectives of the audited entity could be seriously compromised.

C. PRIORITIES OF AUDIT RECOMMENDATIONS

- **High (Critical)** Prompt action is required to ensure that UN Women is not exposed to high risks. Failure to take action could result in major negative consequences for UN Women.
- **Medium (Important)** Action is required to ensure that UN Women is not exposed to risks that are considered moderate. Failure to take action could contribute to negative consequences for UN Women.
- **Low** Action is desirable and should result in enhanced control or better value for money. Low priority recommendations, if any, are dealt with by the audit team directly with the Office management, either during the exit meeting or through a separate memo subsequent to the fieldwork. Therefore, low priority recommendations are not included in this report.