## Annex 4: UNOPS 2019 annual report on the recommendations of the Joint Inspection Unit

## I. Summary

1. This annex presents responses of UNOPS management to the recommendations issued by the Joint Inspection Unit (JIU) in the reports relevant to UNOPS. The provision of this annex is in accordance with the recommendation given in the JIU management letter JIU/ML/2016/14 'Acceptance and Implementation of JIU Recommendations by the United Nations Office for Project Services (UNOPS)' that the UNOPS Executive Director set up a system to report to the Executive Board on JIU reports and recommendations.
2. In line with General Assembly resolution 59/267 of 23 December 2004, and as reiterated in resolution 62/246 of 3 April 2008, the present report provides a synopsis of management responses to the recommendations and draws attention to the recommendations directed to the legislative bodies of United Nations system organizations.
3. Section IV of this report contains the list of 10 unresolved recommendations from 2009-2018. There is only one outstanding recommendation issued in 2017. The remaining nine open recommendations were issued in 2018 and are strategic in nature, such as the recommendations to improve efficiency and effectiveness in administrative support services by enhancing inter-agency cooperation, the implementation of which requires a strong coordination of the UN system organizations.
4. In 2019, the JIU issued eight reports, of which six are directed to UNOPS. ${ }^{1}$ These are presented in table 1 below. The annexure also highlights recommendations directed to the legislative bodies of the United Nations system organizations, especially those aspects that have particular relevance for the work of UNOPS.
II. Overview of Joint Inspection Unit reports issued in 2019
5. Of the 31 recommendations relevant to UNOPS: 20 are addressed to management, and 11 to the legislative body.

Table 1: JIU reports directed to UNOPS in 2019

| Summary of recommendations |  |  |  | Implementation status |  |  |
| :--- | :--- | :---: | :---: | :---: | :---: | :---: |
| Reference ${ }^{2}$ | Name of report | Addressed <br> to executive <br> head | Addressed <br> to governing <br> body | Total <br> directed to <br> UNOPS | Not accepted/ <br> not relevant | Implemented | In progress

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| Summary of recommendations |  |  |  |  | Implementation status |  |  |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
| Reference | Name of report | Addressed to executive head | Addressed to governing body | Total directed to UNOPS | Not accepted/ not relevant | Implemented | In progress |
| JIU/REP/2019/6 | Review of audit and oversight committees in the United Nations System | - | 7 | 7 | 1 | 6 | - |
| JIU/REP/2019/8 | Review of staff exchange and similar inter-agency mobility measures in United Nations system organizations | 7 | - | 7 | - | 7 | - |
| Total |  | 20 | 11 | 31 | 2 | 19 | 10 |

III. Synopsis and review of relevant Joint Inspection Unit reports and recommendations in 2019
(a) Review of the United Nations System-wide Action Plan on Gender Equality and the Empowerment of Women (JIU/REP/2019/2)
6. The review covered the first phase of implementation of the System-wide Action Plan, from 2012 to 2017, which included 66 participating entities (of which 32 were within the Secretariat) reporting on 15 common performance indicators. Focusing on the institutional arrangements, processes and procedures, the review examined various performance monitoring and accountability mechanisms both system-wide and at the level of each reporting entity. The Unit's assessment is that the System-wide Action Plan has proven to be an effective framework for tracking system-wide advancements towards gender equality and the empowerment of women and is a useful benchmark and catalyst for progress in most participating entities. The recommendations aimed at enhancing credibility in the implementation of the Action Plan, increasing the ownership of reporting entities, and reinforcing accountability by executive heads and governing bodies. The member organizations of the Chief Executives Board welcomed the report and its findings and considered its conclusions of great value.
7. The report contains four recommendations for UNOPS, three of which are addressed to the executive head and one to the governing body. UNOPS accepted all four recommendations. Two of the recommendations have been implemented and the remaining two are in progress. UNOPS as an organization is fully committed to the United Nations System-wide Action Plan on Gender Equality and the Empowerment of Women. There are two organization-wide strategies tied to the UNOPS strategic plan 2018-2021 to guide the organization's work towards gender equality; one focusing on gender parity, and the other on gender mainstreaming. These two strategies are implemented under the guidance and advice of the UNOPS Gender Advisory Panel.

## (b) Review of the integration of disaster risk reduction in the work of the United Nations system in the context of the 2030 Agenda for Sustainable Development (JIU/REP/2019/3)

8. The review focused on inter-agency coordination and systemic coherence for a more effective and efficient implementation of the Sendai Framework for Disaster Risk Reduction 2015-2030 and the revised United Nations Plan of Action on Disaster Risk Reduction for Resilience. The report analysed the extent to which the organizations had integrated the issue of disaster risk reduction in their corporate priorities, with regard to either normative or operational activities to implement their mandates.
9. The report makes three formal recommendations: two are addressed to the executive head and one is addressed to the legislative body. All three recommendations have been accepted by UNOPS. One recommendation has been implemented and implementation of the other two recommendations is in progress. UNOPS acknowledges that disaster risk reduction is a cross-cutting issue and therefore it is important to build capacity to support the coordination of risk-informed development activities. The collaboration with various UN agencies is welcome to leverage from the collective expertise.

## (c) Review of change management in United Nations system organizations (JIU/REP/2019/4)

10. The review examined the concept and practice of change management in the United Nations system through the lens of organizational reform. Based on 47 organizational reforms carried out across 26 organizations during the period 2010-2018, the review found that 20 per cent had no evidence of change management in their design or implementation. By contrast, 33 per cent of the reforms showed evidence of incorporating many of the key elements of change management in their work. The report reinforced that, if personnel understand the benefits of change and what is in it for them, they are more likely to participate in the change and see that it is successfully adopted. It concluded that it is critical to embed change management capacity in the organizational structure to play a role in coordinating reforms and building lessons over time. Overall, the review highlighted the significance of change management as a strategic priority worthy of consideration by governing bodies.
11. The JIU issued five recommendations to the UNOPS Executive Head and one recommendation to the governing body. UNOPS accepted five of the six recommendations and deemed one recommendation not relevant. The recommendation relates to the development and standardization of organizational staff surveys across the United Nations system. At the moment UNOPS is running an integrated personnel and ethics survey that takes all UNOPS workforce into account and assess UNOPS relevant parameters as well as personnel engagement. Two recommendations from this report have already been implemented and the remaining three recommendations are currently under implementation.

## (d) Managing cloud computing services in the United Nations system (JIU/REP/2019/5)

12. In the report, the JIU argue for a more balanced approach in assessing the potential benefits of the cloud, considering both the associated specific risks and the potential synergies from a United Nations system-wide perspective. They discuss the potential of the United Nations International Computing Centre, a specialized entity created precisely to serve the information and data processing needs of the United Nations system. The review proposes a number of additional safeguards and advice intended to expand the United Nations common knowledge on cloud computing, to increase the level of inter-agency cooperation and to strengthen the negotiating capacity of the United Nations organizations.
13. The report contains four recommendations, one of which is addressed to the Executive Board and the other three addressed to the executive heads of participating organizations. The member organizations of the United Nations System Chief Executives Board for Coordination welcomed the report and expressed their appreciation for the comprehensive review. The report is seen as a useful input for organizations that are considering moving more information and communications technology (ICT) applications to the cloud, since it directs organizations to where they can find more detailed resources to effectively manage the risks inherent in cloud computing. In particular, the issues surrounding data residency, data privacy and respect for privileges and immunities are complex and still carry uncertainty to the extent that they have not been broadly tested across the United Nations system. UNOPS accepted all four recommendations.

## (e) Review of audit and oversight committees in the United Nations System (JIU/REP/2019/6)

14. The main objectives of the review were: to determine whether existing audit and oversight committees are adequately established and serving their purpose as originally envisaged in their terms of reference or charters; to assess the deviation from generally accepted standards and principles; to identify good practices and lessons learned; and to recommend implementation by the United Nations system organizations according to the specific needs and characteristics of the entities. The analysis of the 18 audit and oversight committees of United Nations system organizations revealed progress over the past decade, with the scope, content and quality of the terms of reference or charter of the committees having improved considerably. Notwithstanding that progress, the United Nations system still has some way to go to meet the 13 criteria for good practices for audit and oversight committees identified by the Joint Inspection Unit.
15. The report makes seven recommendations, all of which are addressed to the legislative body. UNOPS implemented six recommendations and did not accept one recommendation related to the terms of reference or charter of the audit and oversight committee. Detailed comments on all recommendations are provided in section V of this report.

## (f) Review of staff exchange and similar inter-agency mobility measures in United Nations system organizations (JIU/REP/2019/8)

16. The review concludes that inter-agency mobility policies are not an adequate response to current needs. The report makes 10 recommendations aimed at improving data to support decision-making, including the analysis of gender dimensions. The inspectors articulate the business case for inter-agency mobility, strengthening the principled implementation of the 2012 Agreement. The organizations are recommended to address gaps, to foster a system culture, to increase transparency of how all aspects of inter-agency mobility are handled within organizations, and to enhance accountability to Member States.
17. The report contains seven recommendations, all of which are addressed to the Executive Head. At the time of preparation of this 2019 annual JIU report, Chief Executives Board's comments were not yet available. UNOPS tentatively accepts all seven recommendations, noting that any feedback from the Chief Executives Board shall be reflected in the acceptance and implementation of these recommendations.

## IV. Unresolved Joint Inspection Unit recommendations 2009-2018

| Recommendation summary 2009-2018 |  |  |
| :---: | :---: | :---: |
| Reference and name of report | Recommendation description | Latest implementation status |
| JIU/REP/2017/9 <br> Review of mechanisms and policies addressing conflict of interest in the United Nations system | Recommendation 2 <br> Executive heads of the United Nations system organizations, who have not yet done so, should direct their human resources services to introduce a mandatory conflict of interest disclosure form that should be signed by staff members, along with their declaration of office, by all staff members and other types of personnel joining an organization, whether in a short- or long-term capacity. The form should be developed with the assistance of the ethics function of the respective organization and with other functions, as appropriate, and in consultation with any future inter-agency forum. | UNOPS accepts this recommendation. The Ethics Office identified a technical solution using the G-Suite platform and is working towards the implementation. |
| JIU/REP/2018/5 <br> Opportunities to improve efficiency and effectiveness in administrative support services by enhancing inter-agency cooperation | Recommendation 1 <br> Executive heads, in coordination with the Chair of the United Nations Sustainable Development Group and with a view to a coherent system-wide approach, should, by the end of 2020, enhance existing systems or implement new ones to accurately identify resources devoted to administrative support services, irrespective of funding source or cost classification, and set out how efficiency should be defined and assessed. | UNOPS accepts this recommendation. The Shared Services Centre is currently implementing several projects in order to address this recommendation, though, for example, the higher level of centralization of the Bangkok Shared Services Centre and the extension of the usage of the travel booking tool to the field offices. The business case has been prepared for this. In order to implement this increased coverage, Shared Services Centre aims to automate more processes and redirect resources. Automation of payroll is currently in progress. |
|  | Recommendation 6 <br> The United Nations Sustainable Development Group should refocus the common business operations of United Nations country teams on a more limited agenda, such as common premises, facility services and procurement. All country teams should be required, by the end of 2020, to put forward a business case on common premises. They should also be required to establish joint long-term agreements and service contracts by the end of 2020. | UNOPS accepts this recommendation, which is in line with the UN reform. UNOPS is actively participating in the UNSDG Business Innovation Group and will contribute to the implementation of this recommendation. |

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| Recommendation summary 2009-2018 |  |  |
| :--- | :--- | :--- |
| Reference and name <br> of report | Recommendation description | Latest implementation status |
| JIU/REP/2018/5 <br> Opportunities to <br> improve efficiency <br> and effectiveness in <br> administrative <br> support services by <br> enhancing <br> inter-agency <br> cooperation | Recommendation 7 <br> The Secretary-General, in conjunction with other <br> executive heads of entities with field-based programmes, <br> should, by the end of 2020, develop a specific proposal <br> that defines how to apply mutual recognition as a vehicle <br> for capacity consolidation, so as to reduce redundancy <br> and rationalize physical presence. | Mutual recognition is being discussed by the <br> Business Innovation Group. Indeed, and most <br> significantly, a mutual recognition statement has <br> been agreed amongst the four plus one group <br> (UNDP, UNICEF, UNHCR, WFP and UNFPA) <br> and ILO. The mutual recognition statement <br> represents a broad consensus on adopting <br> common or shared services, without requiring a <br> review of the providers' policies and procedures. |

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| Recommendation summary 2009-2018 |  |  |
| :---: | :---: | :---: |
| Reference and name of report | Recommendation description | Latest implementation status |
| JIU/REP/2018/6 <br> Enhancing accessibility for persons with disabilities to conferences and meetings of the United Nations system | Recommendation 7 <br> The executive heads of United Nations system organizations should issue instructions to information and communications technology and facilities management offices to undertake periodic accessibility assessments of organizational facilities and services for conferences and meetings, and to ensure that organizations of persons with disabilities are adequately consulted at all stages of the process. | UNOPS accepts this recommendation and is working towards its implementation. |
|  | Recommendation 9 <br> The executive heads of United Nations system organizations should develop and implement through relevant inter-agency mechanisms, by December 2021, a common system-wide mandatory specialized training module on disability inclusion and accessibility for personnel involved directly or indirectly in the servicing of conferences and meetings, including, but not limited to, staff in conference management, facilities and services management, human resources management, and procurement, legal, ICT, medical, public information and safety and security services. | UNOPS accepts this recommendation. The UNOPS Diversity and Inclusion Specialist is working on the implementation as part of the United Nations Disability Inclusion Strategy (UNDIS) and the Inter Agency Sub Working Group (IASG) on Disability Inclusion. |

## V. Review of relevant JIU recommendations in 2019 and $2018^{3}$ for consideration by the governing body

| Report description and recommendations | Remarks |
| :---: | :---: |
| Review of the United Nations System-wide Action Plan on Gender Equality and the Empowerment of Women (JIU/REP/2019/2) |  |
| Recommendation 4 |  |
| The legislative and governing bodies of the United Nations system organizations should review the UN-Women annual letter addressed to the executive management, accompanied by indications of strategies and measures envisioned by the executive heads to be undertaken to improve compliance with the indicators included in the System-wide Action Plan and their expected contribution to gender equality and the empowerment of women. | UNOPS accepts the recommendation and welcomes the opportunity to raise it to the attention of the Executive Board. |
| Review of the integration of disaster risk reduction in the work of the United for Sustainable Development (JIU/REP/2019/3) | Nations system in the context of the 2030 Agenda |

## Recommendation 1

The governing bodies of the organizations of the United Nations system should request the secretariats of their organizations to present a map of interlinkages between the core mandate of their organizations and disaster risk reduction and report on the progress made on disaster risk reduction accordingly, using the specific guidance provided by the "Results Framework of the United Nations Plan of Action on Disaster Risk Reduction for Resilience - guidance for monitoring and reporting on the progress of the implementation of the United Nations Plan for Action on disaster risk reduction".

UNOPS accepts this recommendation and welcomes the opportunity to raise it to the attention of the Executive Board. UNOPS is currently aligning the existing results-based reporting systems and identifying the key aspects of outputs that relate to the global agendas. The intent is to report on aspects such as disaster risk reduction, the Sendai Framework for Disaster Risk Reduction and the Plan of Action.

[^1]| Report description and recommendations | Remarks |
| :--- | :--- |
| Review of change management in United Nations system organizations (JIU/REP/2019/4) |  |
| Recommendation 1  <br> Governing/legislative bodies are encouraged to ensure that executive heads <br> embed change management approaches and methods in their organizational <br> reforms and report on the results. UNOPS has a change management function and a <br> documented change management framework which <br> is applied in organizational change processes. <br> UNOPS supports the recommendation and can <br> report to the legislative organ on the results of the <br> organizational reforms, if so requested by the <br> Executive Board. |  |

## Managing cloud computing services in the United Nations system (JIU/REP/2019/5)

Recommendation 2

The governing bodies of the United Nations organizations should request the heads of their respective organizations to include provisions in their financial strategies that facilitate the adaptation, responsiveness and efficient use of operational expenditures and capital investments related to new technologies.

UNOPS accepts this recommendation and welcomes the opportunity to raise it to the attention of the Executive Board.

## Review of audit and oversight committees in the United Nations System (JIU/REP/2019/6)

## Recommendation 1

The legislative and/or governing bodies of the United Nations system organizations that have not already done so should ensure that the terms of reference or charter of their respective audit and oversight committees are revised and updated by the end of 2021 to include specific references to their independence and reporting line to their legislative and/or governing bodies.

The Executive Board has already considered the issue in 2018 and 2019. In 2018, the Executive Board considered the issue in the context of the management response (DP/OPS/2018/6) to recommendation \#1 in the JIU review of management and administration in UNOPS (JIU/REP/2018/3). In 2019, the Executive Board again considered the issue in the context of the UNOPS 2018 annual report on the recommendations of the Joint Inspection Unit (DP/OPS/2019/2, Annex 4) which noted that recommendation \#1 was considered closed. In decision 2019/12, the Executive Board took note of the annual report and the progress made in implementing recommendations relevant to UNOPS. UNOPS therefore does not accept this recommendation.

UNOPS accepts this recommendation and considers it implemented. The Terms of Reference of the UNOPS audit and oversight committee, which is called the Audit Advisory Committee, in paragraph 6 reflect all the UNOPS internal oversight functions as part of the responsibilities of the Committee. This recommendation is considered implemented.

UNOPS accepts this recommendation and considers it implemented. The Terms of Reference of the Audit Advisory Committee, in paragraph 6 include provisions regarding the internal control framework and risk management. Said provisions have been in the Committee's Terms of Reference since the Committee was first established in 2008.

| Report description and recommendations | Remarks |
| :---: | :---: |
| Recommendation 4 <br> The legislative and/or governing bodies of the United Nations system organizations that have not already done so should give due consideration to including the oversight of ethics and anti-fraud activities in the revised terms of reference or charter of their audit and oversight committees in order to strengthen the accountability frameworks of their respective organizations by the end of 2021, provided that these audit and oversight committees meet the independence criteria. | UNOPS accepts this recommendation and considers it implemented. The Terms of Reference of the Audit Advisory Committee, in paragraph 6 include provisions regarding the oversight of ethics and anti-fraud activities. |
| Recommendation 5 <br> In order to meet the needs of the organizations, the legislative and/or governing bodies of the United Nations system organizations that have not already done so should consider revising and updating the terms of reference or charter of their audit and oversight committees to contain provisions related to the relevant skills and professional expertise of members, including a balanced mix of public and private sector experience at the senior level. In addition, a strong understanding of the structure and functioning of the United Nations system and/or intergovernmental and international organizations is desirable | UNOPS accepts this recommendation and considers it implemented. The provisions in the Terms of Reference of the Audit Advisory Committee that relate to the skills and professional expertise of members were most recently updated in 2019. Among other things the Terms emphasize that the Executive Director in appointing members with due consideration to the UNOPS business model and role in the UN system and beyond, shall appoint "members with expert knowledge and experience (s)he deems significant and relevant for furthering the strategy realization" paragraph 11. |
| Recommendation 6 <br> The legislative and/or governing bodies of the United Nations system organizations that have not already done so should request their audit and oversight committees to undertake a self assessment every year and an independent performance evaluation every three years and report to them on the results. | UNOPS accepts this recommendation and considers it implemented. The Terms of Reference of the Audit Advisory Committee (AAC), in paragraph 36 foresee that the Committee "shall perform from time to time a self-assessment relative to the Committee's purpose, duties and responsibilities outlined therein". In addition, relevant recurrent external assessment is achieved through regular external review of the UNOPS internal audit function. Beyond this, management will give due consideration to organizing an external assessment directed solely at the Audit and Advisory Committee, and to including requirement that this is done in a future update of the Terms of Reference. |
| Recommendation 7 <br> The legislative and/or governing bodies of the United Nations system organizations that have not already done so should ensure that the terms of reference or charter of their audit and oversight committees are periodically revised and updated with a view to including emerging priorities of, and new challenges to, their respective organizations. | UNOPS accepts this recommendation and considers it implemented. The Terms of Reference of the Audit Advisory Committee, in paragraph 36 foresee that the Committee shall review its Terms of Reference to ensure it is operating at maximum effectiveness and recommend any changes it considers necessary to the Executive Director for approval. The Terms of Reference were most recently reviewed and revised in 2019. |
| Enhancing accessibility for persons with disabilities to (JIU/REP/2018/6) | conferences and meetings of the United Nations system |
| Recommendation 10 <br> The legislative bodies of United Nations system organizations should include in their agendas the review of periodic reports submitted to them on the state of accessibility of conference and meeting facilities and services for persons with disabilities, including the state of progress of actions to address accessibility deficits. | UNOPS supports the recommendation and can report to the legislative organ on the state of accessibility of conference and meeting facilities and services for persons with disabilities, including the state of progress of actions to address accessibility deficits, if so requested by the Executive Board. |


\section*{| Report description and recommendations | Remarks |
| :--- | :--- | :--- |}

Strengthening policy research uptake in the context of the 2030 Agenda for Sustainable Development (JIU/REP/2018/7)
Recommendation 6

The Secretary-General of the United Nations, in his capacity as Chair of the United Nations System Chief Executives Board for Coordination, should consider calling on the Executive Heads of United Nations system organizations who have not yet done so to establish a systemwide policy on open data access, supporting software and research-sharing among the United Nations system organizations.

## Recommendation 7

The Secretary-General of the United Nations and the Executive Heads of other United Nations system organizations should review the level of involvement of researchers from the South and adopt policies and frameworks that will stimulate capacity-building for all dimensions of the policy research functions, including research uptake at the national level, and report thereon to the General Assembly and to the governing bodies, respectively, by the end of 2020.

## Recommendation 9

The Governing Bodies of the United Nations system organizations should take measures to ensure that commitments to inter-agency collaboration, including through the establishment of a global data knowledge platform and the facilitation of academic exchanges, as stipulated in the Global Compact for Safe, Orderly and Regular Migration, are implemented by the end of 2020 .

## Recommendation 12

The Secretary-General of the United Nations, in consultation with all Executive Heads of the United Nations system organizations, should encourage long-term partnerships with academic communities at the global, regional and national levels, and establish basic guidelines for such partnerships.

UNOPS accepts the recommendation and welcomes the opportunity to raise it to the attention of the Executive Board.

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[^0]:    ${ }^{1}$ The reports that were not directed to UNOPS are JIU/REP/2019/1 Review of management and administration in the International Civil Aviation Organization(ICAO)' and JIU/REP/2019/7 'Review of management and administration of the Joint United Nations Programme on HIV/AIDS (UNAIDS)'.
    ${ }^{2}$ At the time of finalization of this report, JIU/REP/2019/9 'Review of contemporary practices in the external outsourcing of services to commercial service providers by United Nations system organizations' was pending publication by the JIU. UNOPS will incorporate the key items from the report yet to be published by the JIU in the UNOPS 2020 annual report on the recommendations of the Joint Inspection Unit.

[^1]:    ${ }^{3}$ At the time of finalization of the 2018 annual report, the reports JIU/REP/2018/6 'Enhancing accessibility for persons with disabilities to conferences and meetings of the United Nations system' and JUU/REP/2018/7 'Strengthening policy research uptake in the context of the 2030 Agenda for Sustainable Development' were pending publication by the JIU. UNOPS is therefore incorporating the recommendations to the governing body in this report. 6

