

### Office of Internal Oversight Services- Status of audit recommendations

Actual Issue Date	Audit	Recommendation	Status
2019-10-31	Audit of UNEP Secretariat of the Convention on Biological Diversity (SCBD)	(12) The secretariat of the Convention on Biological Diversity should, in consultation with UNEP, develop an evaluation policy and mechanism to facilitate evaluation of its multi-year programme of work.	Under Implementation
2019-10-31	AA2019-220-01 Audit of UNEP Secretariat of the Convention on Biological Diversity	(3) The secretariat of the Convention on Biological Diversity should, in collaboration with UNEP, accelerate its efforts to implement the Conference of Parties' request to publish additional financial information on the Convention's website to enhance transparency and accountability.	Closed-Closed - Implemented (I)
2019-10-31	AA2019-220-01 Audit of UNEP Secretariat of the Convention on Biological Diversity	(9) The secretariat of the Convention on Biological Diversity, with the support of UNEP, should address staff complaints and concerns about the prevailing work environment in the secretariat.	Closed-Closed - Implemented (I)
2019-10-31	AA2019-220-01 Audit of UNEP Secretariat of the Convention on Biological Diversity	(10) The secretariat of the Convention on Biological Diversity should identify and address the root causes of high staff turn-over and delays in recruitment at the secretariat with the support of UNEP.	Closed-Closed - Implemented (I)
2019-10-31	AA2019-220-01 Audit of UNEP Secretariat of the Convention on Biological Diversity	(6) UNEP, in coordination with the secretariat of the Convention on Biological Diversity, should ensure that the lessons learned from the procurement action concerning the lease of new office premises for the Convention's secretariat are documented and appropriately disseminated to prevent recurrence.	Closed-Closed - Implemented (I)
2019-10-31	AA2019-220-01 Audit of UNEP Secretariat of the Convention on Biological Diversity	(8) The secretariat of the Convention on Biological Diversity should ensure that: (a) staff complete mission reports for all travels undertaken, including explanation of their linkage to expected results; and (b) establish a mechanism to demonstrate the effectiveness of measures taken to rationalize the use of travel resources.	Closed-Closed - Implemented (I)

Actual Issue Date	Audit	Recommendation	Status
2019-10-31	AA2019-220-01 Audit of UNEP Secretariat of the Convention on Biological Diversity	(2) The secretariat of the Convention on Biological Diversity, in consultation with UNEP, should develop a mechanism to ensure compliance with the 90-day requirement for circulation of budget proposals for Conference of Parties meetings.	Closed-Closed - Implemented (I)
2019-10-31	AA2019-220-01 Audit of UNEP Secretariat of the Convention on Biological Diversity	(1) The secretariat of the Convention on Biological Diversity, with the support of UNEP, should implement a results-based approach in its work programming and budgeting.	Closed-Closed - Implemented (I)
2019-10-31	AA2019-220-01 Audit of UNEP Secretariat of the Convention on Biological Diversity	(5) UNEP, in collaboration with the secretariat of the Convention on Biological Diversity and UNON, should review the existing administrative arrangements and assess options and the feasibility of establishing service level agreements for provision of administrative services to the secretariat and the Conference of the Parties in an efficient and effective manner.	Closed-Closed without implementation - reasons acceptable (CA)
2019-10-31	AA2019-220-01 Audit of UNEP Secretariat of the Convention on Biological Diversity	(7) UNEP should establish accountability for the failure of the secretariat of the Convention on Biological Diversity to comply with Financial Rules 105.14 and 105.18 and applicable procurement procedures which resulted in procurement of goods amounting to \$77,500 without a written contract and without any competitive bidding.	Closed-Closed - Implemented (I)
2019-10-31	AA2019-220-01 Audit of UNEP Secretariat of the Convention on Biological Diversity	(11) The secretariat of the Convention on Biological Diversity should, with the support of UNEP, validate the adoption of structural changes proposed by the Conference of Parties and identify any gaps that should be presented to the next Conference of Parties for further guidance.	Closed-Closed - Implemented (I)
2019-10-31	AA2019-220-01 Audit of UNEP Secretariat of the Convention on Biological Diversity	(4) The secretariat of the Convention on Biological Diversity, in collaboration with UNEP, should implement the United Nations Enterprise Risk Management and Internal Control Policy to systematically manage risks and strengthen internal controls in implementing its mandated activities.	Closed-Closed - Implemented (I)
2013-09-27	AA2013-220-01 Audit of the United Nations Environment Programme's Secretariat of the Convention on Biological Diversity	(3) The Executive Secretary of SCBD should ensure that the bid solicitation procedures prescribed in the Procurement Manual are fully complied with.	Closed-Closed - Implemented (I)

Actual Issue Date	Audit	Recommendation	Status
2013-09-27	AA2013-220-01 Audit of the United Nations Environment Programme's Secretariat of the Convention on Biological Diversity	(4) The Executive Secretary of SCBD should introduce measures for evaluating the performance of the vendors, conduct performance evaluations of contractors prior to extending or renewing service contracts, and re-bid each contract after a maximum of five years to derive best value for money and comply with the Procurement Manual.	Closed-Closed - Implemented (I)
2013-09-27	AA2013-220-01 Audit of the United Nations Environment Programme's Secretariat of the Convention on Biological Diversity	(1) The Executive Secretary of SCBD should propose to COP and COP-MOP an alignment of the working capital reserves to the level of 15 per cent of the estimated annual budget expenditure as prescribed by ST/AI 284.	Closed-Closed - Implemented (I)
2013-09-27	AA2013-220-01 Audit of the United Nations Environment Programme's Secretariat of the Convention on Biological Diversity	(6) The Executive Secretary of SCBD should ensure that additional travel costs resulting from personal travel combined with official travel do not result in higher costs to the organization and that any cost difference is paid for by the traveler in accordance with ST/AI/2006/4.	Closed-Closed - Implemented (I)
2013-09-27	AA2013-220-01 Audit of the United Nations Environment Programme's Secretariat of the Convention on Biological Diversity	(7) The Executive Secretary of SCBD should ensure that the roster is used to source additional translators especially for the Chinese and Russian languages to mitigate the risk of relying solely on one individual to deliver within the required timeframes.	Closed-Closed - Implemented (I)
2013-09-27	AA2013-220-01 Audit of the United Nations Environment Programme's Secretariat of the Convention on Biological Diversity	(8) The Executive Secretary of SCBD should explore opportunities to minimize the need for hand carrying cash in order to mitigate security risks to staff members.	Closed-Closed - Implemented (I)
2013-09-27	AA2013-220-01 Audit of the United Nations Environment Programme's Secretariat of the Convention on Biological Diversity	(2) The Executive Secretary of SCBD should establish a local vendor roster to facilitate competitive solicitation of local procurement and ensure that the rationale for selection of vendors is recorded in case files.	Closed-Closed without implementation - reasons acceptable (CA)
2013-09-27	AA2013-220-01 Audit of the United Nations Environment Programme's Secretariat of the Convention on Biological Diversity	(5) The Executive Secretary of SCBD should formally establish a Procurement Review Group for procurements between \$70,000 and \$150,000 to ensure adequate oversight over procurement activities.	Closed-Closed without implementation - reasons acceptable (CA)