

UNITED NATIONS DEVELOPMENT PROGRAMME
Office of Audit and Investigations



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AUDIT

OF

UNITED NATIONS VOLUNTEERS PROGRAMME
INFORMATION AND COMMUNICATION TECHNOLOGY

Report No. 1173

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Report on the audit of the United Nations Volunteers Programme – Information and Communication Technology Executive Summary

From 21 to 31 May 2013, the Office of Audit and Investigations (OAI) of the United Nations Development Programme (UNDP) conducted an audit of the Information and Communication Technology (ICT) function at the United Nations Volunteers programme in Bonn, Germany (UNV). The audit covered the relevant activities of UNV during the period from 1 January 2012 to 30 April 2013. The last audit of UNV was a management audit that covered programme and operations areas and was conducted by OAI in 2010.

The audit was conducted in conformance with the *International Standards for the Professional Practice of Internal Auditing*. These Standards require that OAI plan and perform the audit to obtain reasonable assurance on the adequacy and effectiveness of the governance, risk management and control processes. The audit includes reviewing and analysing, on a test basis, information that provides the basis for the conclusions and audit results. The audit followed the Control Objectives for Information and Related Technology Framework (COBIT), which is a globally recognized framework for the governance and management of enterprise IT, developed by the Information Systems Audit and Control Association.

Audit rating

OAI assessed the UNV ICT function as **partially satisfactory**, which means “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.” Ratings per audit area and sub-areas are summarized below.

Audit Areas	Not Assessed/ Not Applicable	Unsatisfactory	Partially Satisfactory	Satisfactory
1. ICT governance				
1.1 Strategic alignment	Partially Satisfactory			
1.2 Value delivery	Partially Satisfactory			
1.3 Risk management	Satisfactory			
1.4 Resource management	Satisfactory			
1.5 Performance measurement	Satisfactory			
2. ICT general controls				
2.1 Change and patch management controls	Satisfactory			
2.2 Identity and access management	Satisfactory			
2.3 Business continuity management	Satisfactory			
2.4 ICT project management	Satisfactory			
2.5 Information security management	Satisfactory			

Key issues and recommendations

The audit raised 4 issues and resulted in 5 recommendations, of which 3 (60 percent) were ranked high (critical) priority, meaning “Prompt action is required to ensure that UNDP is not exposed to high risks. Failure to take action could result in major negative consequences for UNDP and may affect the organization at the global level.”

The high priority recommendations are as follows:

Strategic alignment (Issue 1)	<u>ICT strategy not approved or aligned with UNDP ICT roadmap.</u> UNV ICT strategy documents covering the period 2009-2013 were not approved by management and they were prepared without ensuring that they were aligned with the UNDP ICT strategy. OAI recommends that UNV strengthen ICT governance by: (a) establishing an ICT governance committee; (b) developing an ICT strategy that is aligned with UNV's corporate strategy for 2014-2017, management's expectations and UNDP ICT policies and procedures; and (c) coordinating with the UNDP ICT Technical Committee to ensure that the strategy is reviewed and endorsed by the ICT Governance Group and is in alignment with the UNDP corporate strategy.
Value delivery (Issue 2)	<u>Corporate recommendation:</u> OAI also recommends that the Office of Information Systems and Technology of the Bureau of Management, in collaboration with UNV, establish mechanisms for tighter coordination to avoid misalignment of ICT efforts between the two entities. <u>Inefficiencies resulting from limited system integrations.</u> UNV uses various IT systems for talent management and human resources management. The lack of integration between these systems resulted in duplication of efforts and data entries. OAI recommends that UNV review its business processes and systems to identify opportunities for systems integration, ensure optimal use of technology resources and support technology investment decisions.

The implementation status of previous OAI audit recommendations (Report No. 762, 28 February 2011) was also validated. All seven recommendations were noted to be fully implemented.

Management comments and action plan

The Executive Coordinator of UNV and the Director of the Office of Information Systems and Technology, Bureau of Management, accepted all five recommendations and are in the process of implementing them.



Helge S. Osttveiten
Director
Office of Audit and Investigations