



United Nations Population Fund
Delivering a world where every pregnancy is wanted,
every childbirth is safe and every young person's potential is fulfilled.

OFFICE OF AUDIT AND INVESTIGATION SERVICES
AUDIT OF
THE UNFPA WEBSITE GOVERNANCE

FINAL REPORT
IA/2017-10

20 November 2017

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EXECUTIVE SUMMARY

1. The Office of Audit and Investigation Services (OAIS) of the United Nations Population Fund (UNFPA) engaged KPMG LLP (“Contractor”) to perform, under OAIS’ general supervision, fieldwork for the audit of website governance at UNFPA.

Background

2. In April 2012, UNFPA endorsed the International Aid Transparency Initiative (IATI), a voluntary, multi-stakeholder initiative that seeks to improve the transparency of aid, development and humanitarian resources¹. UNFPA website is one of the key communication tools enabling and ensuring compliance with IATI.

3. Until 2014, the UNFPA website management process was largely decentralized and involved the Media and Communications Branch, the Management Information Services Branch, the six Regional Offices, as well as the UNFPA network of over 120 Country Offices around the world with a dedicated web presence. At the time, the Online Communications team, located in the Media and Communications Branch at the UNFPA headquarters in New York, was responsible for managing the UNFPA global website, and provided guidance, training, tools and management oversight and managed the inter-linkages between the global, regional and country office websites. Country Offices were responsible for their own website development and content management, as well as website hosting and administration. In general, website management was not consistent across business units with major content and security gaps occurring repeatedly and major differences noted between the different websites.

4. The overall objectives of the audit were defined by OAIS, following its preliminary review of the design and operating effectiveness of the UNFPA website management process at the headquarters, regional, and country office level.

Methodology and Scope

5. The audit covered the period from 25 November 2014, date on which the ‘Website Governance’ effort was initiated, to 31 August 2016. The objective of the audit was to provide an independent assessment of (i) the design and operational effectiveness of processing procedures and internal controls established around Website Governance to ensure the integrity, security accuracy, ease of use, and completeness of websites at UNFPA; (ii) the sufficiency of the deployment and quality assurance testing process undertaken previous to releasing the application into production; (iii) the overall adequacy and sufficiency of training and support provided to website users, content authors and administrators throughout the period covered by the audit; and (iv) the general controls related to administrative and privileged access to the website.

6. Phase I and Phase II of the audit was performed by the Contractor, under Contract UNFPA/PSB/PC/14/007, under the general supervision of OAIS. The audit included reviewing and analysing, on a test basis, information that provided the basis for the audit conclusions. The audit fieldwork undertaken by the Contractor covered the period from 25 November 2014 to 31 August 2016, in two phases: the first one reviewed the situation as at 25 November 2014; the second phase reviewed the situation up to 31 August 2016, and assessed the actions taken since November 2014.

7. The Contractor’s work was limited to specific procedures and analysis as described in this report, and was based only on the information available as at 31 August 2016, date of completion of contracted audit fieldwork. Accordingly, changes in circumstances after this date could affect the findings reported by the Contractor. This information has been prepared solely for the use and benefit of, and pursuant to a client relationship exclusively with the UNFPA under Contract No. UNFPA/PSB/PC/14/007 dated 22 July 2015. The Contractor is not responsible for UNFPA judgments, decisions, or actions taken as a result of the analyses, findings, or recommendations contained in this report. The Contractor disclaims any contractual or other responsibility to third parties, based on its use, and, accordingly, this information may not be relied upon by any party other than UNFPA.

¹ The International Aid Transparency Initiative (IATI), launched in 2008 at the Third High Level Forum on Aid Effectiveness held in Accra, Ghana, is a global campaign to create transparency in the records of how aid money is spent and attempts to ensure that aid money reaches its intended recipients















8. In June 2017, OAIS undertook some limited additional work on the actions undertaken by Management after completion of audit fieldwork by the Contractor and the feedback provided at the time, through a desk review of available documentation and interviews with Management, as well as a limited walk-through of the new development process. It should be noted that no additional testing was performed on the new web application platform, hosting environment and 2017 funding situation. Furthermore, no additional security tests have been re-performed.

Audit rating

9. The audit rating based on the situation as at 31 August 2016 was “**Some Improvement Needed**” – which meant that the assessed governance arrangements, risk management practices and controls were, in general, adequately established and operating effectively but needed some improvement to provide reasonable assurance that the objectives of the audited area should be achieved. Issues and improvement opportunities identified did not significantly affect the achievement of the audited entity/area objectives. Management action was recommended to ensure that identified risks were adequately mitigated.

10. A number of initiatives and changes implemented by Management since November 2014 were assessed during Phase II of the audit, and the remaining during additional OAIS work. The audit rating assigned after additional OAIS work is “**Effective**” – which means that the assessed governance arrangements, risk management practices and controls are adequately designed and operating effectively to provide reasonable assurance that the objectives of the audited entity/area should be achieved. The assigned rating reflects the assessment of the governance arrangements, risk management practices and controls as defined by the initial audit scope and does not take into consideration new potential risks that may have arisen after Phase I.

11. Ratings by key audit area are summarized in the following table.

Audit ratings by key audit area			
		Phase II rating (August 2016)	Rating after additional work (June 2017)
Website governance		<i>Some improvement needed</i>	 <i>Effective</i>
Content management process		<i>Effective</i>	 <i>Effective</i>
Design and performance		<i>Some improvement needed</i>	 <i>Effective</i>
Website hosting and administration		<i>Some improvement needed</i>	 <i>Effective</i>
Resource allocation and cost-effectiveness		<i>Not effective</i>	 <i>Effective</i>
Website change management process		<i>Some improvement needed</i>	 <i>Effective</i>
Website management strategies and initiatives		<i>Effective</i>	 <i>Effective</i>

Key findings and recommendations

12. Phase I of the audit identified a number of good practices as well as areas that required Management attention, some of a strategic nature, and others related to operational and compliance matters. Overall, Phase I of the audit identified eight high priority and four medium priority recommendations designed to help Management improve Website Governance. Of the 12 initial recommendations, 5 were of strategic nature; and 7 were operational. Additionally, two separate technical reports on ‘User Experience Evaluation’ and ‘Website Security’ were provided to Management, and included detailed technical findings and recommendation related to these two areas.

13. Overall, key Phase I findings in the area of website governance were related to the absence of a comprehensive and up-to-date set of website-related policies, unclear roles and responsibilities of actors related to the website management process, and inadequate stakeholder engagement. Further, website development and maintenance was directly performed in ‘live’ environment, instead of in stages, allowing for preview and checks prior to going ‘live’. Multiple observations were also raised related to website design and performance through the ‘User Experience Evaluation’ review, primarily focusing on matters such as congested content structure, ineffective menus, outdated scripts, tools or content constructs and graphical and design inconsistencies across UNFPA websites. The testing of website hosting and administration raised several concerns in the area of vulnerability and patch management, primarily related to clear-text protocols, unsupported operating systems, SQL injections and jQuery

cross-site scripting. The website management process was also underfunded and facing additional cuts in the future. Further, the review of the website change management process revealed inadequately logged and traced communications, both internal and external, leading to a potentially ineffective follow-up of change requests.

14. Phase II, together with the (limited) additional work performed in June 2017, revealed that the initiatives and actions taken by Management since Phase I have adequately addressed the issues identified therein and all key risks identified at the time have been mitigated or have become irrelevant due to changes, either in processes and workflows, or with the implementation of a new web application framework and content management system.

15. All initial recommendations have been assessed as fully implemented and no additional recommendations have been raised in the present report.

Management response

16. The Division of Communications and Strategic Partnerships (DCS) wants to thank OAI for their thorough analysis and continued support throughout the website management audit.

17. DCS welcomes the final report as it confirms that the assessed governance arrangements, risk management practices and controls were adequately designed and operating effectively and no further reportable issues were noted.

18. The audit team would like to thank the Management and staff of the Division of Communications and Strategic Partnerships, the Management Information Services and of Regional and Country Offices contacted as part of this audit for their cooperation and assistance throughout the entire exercise.

I. OBJECTIVES, SCOPE, AND METHODOLOGY

19. The Office of Audit and Investigation Services (OAIS) of the United Nations Population Fund (UNFPA) engaged KPMG LLP (“Contractor”) to perform, under OAIS’ general supervision, an audit of the UNFPA website governance (Website Governance). The audit assessed Website Governance in the period 25 November 2014 to 31 August 2016.

20. The objective of the audit was to provide an independent assessment of (i) the design and operational effectiveness of processing procedures and internal controls established around Website Governance to ensure the integrity, security accuracy, ease of use, and completeness of websites; (ii) the sufficiency of the deployment and quality assurance testing process undertaken previous to releasing the application into production; (iii) the overall adequacy and sufficiency of training and support provided to website users, content authors and administrators throughout the period covered by the audit; and (iv) the general controls related to administrative and privileged access to the website.

21. The Contractor’s work was limited to specific procedures and analysis as described in this report, and was based on the information available as at 31 August 2016, date of completion of Phase II fieldwork. This information was prepared solely for the use and benefit of, and pursuant to a client relationship exclusively with UNFPA under Contract No. UNFPA/PSB/PC/14/007 dated 22 July 2015. The Contractor is not responsible for UNFPA’s judgments, decisions, or actions taken as a result of the analyses, findings, or recommendations contained in this report. The Contractor disclaims any contractual or other responsibility to third parties.

22. Audit procedures performed as part of the audit were designed to answer whether:

- a) UNFPA has appropriate website governance arrangements in place;
- b) The content management processes and system ensure that the right content (right, accurate, and authorized) is available to audiences at the right time and convey an accurate image of the UNFPA mission, objectives, and activities;
- c) The UNFPA websites have an adequate design and performance to provide a satisfactory user experience;
- d) The website hosting and administration processes and systems provide an adequate level of security;
- e) Resources allocated to website management activities are sufficient to allow an effective process; Is the website management process cost-effective;
- f) UNFPA has effective website change management processes and systems; and
- g) The initiatives then under consideration by Management are to enhance the website management process appropriate to address the issues identified by the audit and support the achievement of the strategic communication objectives of UNFPA; If not, what additional strategies and initiatives should be considered by Management.

23. The audit team comprised Contractor professionals with subject matter expertise, and OAIS auditors. The engagement started on 10 November 2014, with Phase I work completed on-site at UNFPA Headquarters in the period from 10 November 2014 through 21 January 2015. Follow-up work was undertaken throughout 2015 and Phase II fieldwork was concluded in September 2016. Preliminary findings and recommendations were discussed with the Media and Communications Branch in the Division of Communications and Strategic Partnerships (DCS) and the Management Information Services Branch (MIS) on 17 February 2015 (Phase I), and between 19 September and 30 November 2016 (Phase II). OAIS conducted additional work in June 2017, which was limited to the review of issues identified in the audit Phase I and Phase II. The draft report was finalized and submitted to Management in 25 July 2017. A final management response was received on 17 November 2017.

II. BACKGROUND

24. In April 2012, UNFPA endorsed the International Aid Transparency Initiative (IATI), a voluntary, multi-stakeholder initiative that seeks to improve the transparency of aid, development and humanitarian resources². UNFPA website is one of the key communication tools enabling and ensuring compliance with IATI.

25. Until 2014, the UNFPA website management process was largely decentralized and involved the Media and Communications Branch (MCB) – then in the Information and External Relations Division and since 2015, in the DCS; the Management Information Services (MIS) Branch, the six Regional Offices, as well as the UNFPA network of over 120 Country Offices with dedicated websites around the world.

26. At the time, the Online Communications Team of MCB, located at the UNFPA headquarters in New York, was responsible for managing the UNFPA global website, and provided guidance, training, tools and management oversight and managed the inter-linkages between the global, regional and country office websites. The Country Offices were responsible for their own website development and content management, as well as website hosting and administration. In general, website management was not consistent across business units, with approximately 50 country office websites relying on content management systems provided by MCB and hosting at headquarters and the rest using local solutions for content management, hosting and system administration. The creation and hosting of the global website and regional portals was undertaken jointly by MCB and MIS, primarily through third-party service providers.

27. On 21 July 2014, the UNFPA Information and Communication Technology (ICT) Board endorsed the proposal for an 'Integrated Online Communications Platform'. The proposal provided for a user-friendly, secure and reliable content management system (CMS) for staff working on all public UNFPA websites and for a uniform online presence with a common appearance, branding, function and navigation for all public sites, in accordance with the 'One Voice' communications strategy. Following the endorsement of the proposal, between 2014 and 2016, Management has taken a number of initiatives and projects which aimed to centralize and standardize the website management across business units and thematic areas.

² The International Aid Transparency Initiative (IATI), launched in 2008 at the Third High Level Forum on Aid Effectiveness held in Accra, Ghana, is a global campaign to create transparency in the records of how aid money is spent and attempts to ensure that aid money reaches its intended recipients

III. DETAILED FINDINGS

A. WEBSITE GOVERNANCE	PHASE II RATING	SOME IMPROVEMENT NEEDED
	ADD. WORK RATING	EFFECTIVE

28. Audit work performed in this area during Phase I consisted of reviewing then available website governance documents, officially released and proposed governance materials, as well as undocumented governance policies and procedures as determined through inquiry with applicable staff and Management personnel. The audit team also reviewed then “as-implemented” technology solutions including software, development environments, and hardware.

Good practices identified

29. The audit identified the following good practices:
- a) The establishment of the Web Group as a key governance body responsible for ensuring that UNFPA websites are secure, relevant, sustainable and in line with organizational priorities and ‘One Voice’ Communications Strategy; and
 - b) Establishment of a website management workflow clarifying responsibilities within the website management process.

30. The following matters in need of Management attention were identified based on the work performed during Phase I. They were reviewed in Phase II and in the follow-up phase and their status is presented below.

Website governance process and documentation have been strengthened

31. During Phase I of the audit, based on interviews with MCB, MIS and technical staff and after extensive review of available documentation, the audit identified significant gaps in the website governance setup, as well in the related policies and processes in order to efficiently and securely manage the broad spectrum of organization and thematic websites under UNFPA’s control. More specifically,

- The *UNFPA Online Guidelines for Creating and Managing Websites* then in force and the *Online Communication Policy Framework* (based on the draft available at the time) were either outdated or did not adequately reflect the roles and responsibilities of the actors involved in the website management process; and
- No service level agreement (SLA) was in place between MIS and MCB, specifying the maintenance and administrative responsibilities of each for CMS and website-related processes and software.

32. A revised website policy was prepared, starting in 2014, with the aim to replace the previous two guidance documents: *UNFPA Online Guidelines for Creating and Managing Websites* and the *Online Communication Policy Framework*. The revised policy reflects the central role of MCB in creating any new website and includes clear guidelines with the criteria to consider for such creation and a website management workflow. The website policy refers to and is further expanded through several supporting documents which lay out clearly and in detail the website management process. At the same time, two policies related to the website one³ were also updated. Review and approval of these policies by the Executive Committee is under way as the time of drafting this report.

33. Further, based on information from MCB and review of updated documentation, many functions previously performed by MIS have now been outsourced to external vendors. The audit therefore concurs with Management that a SLA between MCB and MIS is no longer relevant and required.

34. Shortly before Phase I of the audit, MCB prepared a website migration project plan which has been used to guide all website migrations. At the time of preparing the draft audit report,⁴ MCB had completed the migration of 76 country office websites and all six regional portals.

³ Policy and Procedures for UNFPA Public Information and Communications (2017) and the Policy and Procedures for UNFPA Social Media (2017).
⁴ Data as at 27 June 2017.

35. While the audit did not perform comprehensive tests of design and of effectiveness on the new / updated policies and procedures, should the policies be approved, it considers that the risks initially identified in Phase I have been mitigated or have become irrelevant due to changes in the established processes and workflows.

36. Therefore, no further recommendation is raised.

The establishment of the 'Web Group' enhanced stakeholder engagement

37. Based on interviews with MCB and MIS staff, as well as an extensive review of documentation and productivity tools, Phase I revealed that that technology, deployment and infrastructure decisions were made without or with limited input from all required stakeholders. Phase I interviewees reported a low level of engagement, the limited possibility to influence decisions made, a low awareness of new developments and frequent post-facto communications by Headquarters.

38. Following Phase I, Management established a 'Web Group' as the key website governance body. The formalized Terms of Reference established a wide stakeholder membership, through inclusion of regional communications advisers and representatives from all key Headquarters divisions. Based on the minutes available to the audit, the Web Group discusses a wide array of topics ranging from governance, policies to new website applications; further, regular updates on the website migration project are provided.

39. At the time of drafting this report, the Web Group was established and functioning, and held regular meetings. While the audit did not perform comprehensive tests of design and of effectiveness of the Web Group functioning, it considers that the risks initially identified in Phase I have been mitigated or have become irrelevant due to changes in the established processes and workflows.

40. No further recommendation is therefore raised.

A multi-stage development environment was established and is in use, in line with industry standards

41. Based on interviews with MCB and MIS staff during Phase I, it was noted that developers and maintenance staff were making changes directly to the production or 'live' web environment. This approach was against standard development practices and risked disrupting essential functionality for both internal and external users.

42. Further, the audit noted that the website development process did not utilize an industry standard multi-environment deployment process. At the time, new features and incremental edits were developed without a proper staging environment and released to end-users without appropriate testing, increasing the odds of inefficient, inconsistent, or possibly damaging code being released to a 'live' environment.

43. Following Phase I, Management ceased any development in the 'live' environment and implemented a full multi-stage development process, with many stages outsourced to external vendors. According to Management, the development process uses a standardized workflow with several stages of development and quality assurance, and implements logical access controls to prevent developers having direct access to the 'live' environment. Approvals and sign-offs by authorized personnel are required to move from one stage in the process to the next.

44. At the time of drafting this report, the multi-stage environment was in use and Management demonstrated a walk-through of all development stages. While the audit did not perform comprehensive tests of design and of effectiveness of the entire multi-stage development process, it considers that the risks initially identified in Phase I have been mitigated or have become irrelevant due to changes in the established processes and workflows.

45. No recommendation is therefore raised or maintained.

B. CONTENT MANAGEMENT PROCESS	PHASE II RATING	EFFECTIVE
	ADD. WORK RATING	EFFECTIVE

46. Audit work performed in this area consisted of review of the processes and system used to produce and deliver content to end-users. The review also covered training and supporting guidance materials used to educate and aid UNFPA staff in the creation and dissemination of web materials.

Good practices identified

47. The audit identified the following good practices:
- a) The overall communication process and governance has been standardized and united for all content creators through the “One Voice” policy and through subsequent revisions of the relevant policies (such as Policy and Procedures for UNFPA Public Information and Communications and the Policy and Procedures for UNFPA Social Media);
 - b) UNFPA personnel from Regional and Country Offices interviewed expressed a high level of satisfaction with the overall level of assistance and technical support provided by MCB as well the support for creating and sharing web content; and
 - c) Extensive awareness of the communications related policies and guidelines by personnel was noted throughout UNFPA.
48. No reportable matters were otherwise identified based on the audit work performed.

C. WEBSITE DESIGN AND PERFORMANCE	PHASE II RATING	SOME IMPROVEMENT NEEDED
	ADD. WORK RATING	EFFECTIVE

49. The audit team leveraged the knowledge and expertise of consultant industry experts to assess the user experience of various UNFPA-branded and thematic websites. As part of Phase I, a specific usability evaluation of a sample of UNFPA websites was undertaken to identify potential design and user experience issues. The result of the evaluation was shared with MCB after Phase I and limited follow-up work was performed prior to finalizing this report.

Good practices identified

50. The audit identified the following good practices:
- a) The performance of some of the UNFPA websites met or exceeded industry expectations; and
 - b) A number of practices enhancing user experiences were built in the main UNFPA website design.
51. The following matter in need of Management attention was identified based on the audit work performed.

The implementation of a new platform and a comprehensive functionality re-design enhanced website design

52. During Phase I, the audit team conducted a user experience assessment of a sample of UNFPA websites, which included both Headquarters- and non-Headquarters-managed websites, including both business unit and thematic websites. Following the assessment, a detailed usability evaluation report was shared with MCB. A number of observations were made, such as congested content, inefficient menu structure for some websites, outdated or inefficient tools, scripts or content constructs, and inconsistencies and standards issues. Detailed recommendations to improve overall functionality and user experience were provided to Management.

53. Following Phase I, Management implemented several changes to the overall website management process, in particular the move to a new content management and web application framework which provides a comprehensive back-end solution for all migrated UNFPA websites. The move was supported by an overall review of website functionality and user experience, implementation of a consistent look and feel across all UNFPA sites, regular consistency review by a graphic designer and a comprehensive quality assessment process of all changes performed.

54. At the time of drafting this report, the new platform was fully utilized for all migrated UNFPA websites with a unified website design. While the audit did not perform comprehensive tests of design and of effectiveness of the new platform functioning and of user experience, it considers that the risks initially identified in Phase I have been mitigated or have become irrelevant due to the changes implemented through the new platform and the overall re-design of the website functionality.

55. Therefore, no further recommendation is raised.

D. WEBSITE HOSTING AND ADMINISTRATION	PHASE II RATING	SOME IMPROVEMENT NEEDED
	ADD. WORK RATING	EFFECTIVE

56. Work performed in this area focused on a sample of UNFPA websites and included an assessment of the design and operating effectiveness of the security of these sites to identify vulnerabilities in UNFPA’s public web applications.

57. The audit performed a number of audit tests, primarily focusing on (i) identification and determination of the scope of the UNFPA web applications; (ii) performing port scan scans using a standard industry scanning tool; and (iii) performing web vulnerability scans and web application scans using multiple vulnerability scanners.

Good practices identified

58. The audit identified the following good practice:

- a) The consolidation of all UNFPA websites (Headquarters, regional and country levels and thematic ones) to a single, robust CMS platform reduced the likelihood of outdated or vulnerable systems remaining in operation, as well as the likelihood of a significant hacking incident.

59. The following matter in need of Management attention was identified based on the audit work performed.

The move to the new platform enhanced overall website security

60. During Phase I, the audit team conducted a series of security and penetration-related tests of the UNFPA domain and sub-domains. Several high-risk configuration management and patch management vulnerabilities were observed on some of the sampled websites, which were reported to Management in a separate report.

61. Following Phase I, apart from short-term configuration changes, Management implemented many changes to the overall website management process, including the gradual migration, as from 2016, of all UNFPA websites to the centralized content management system and web publishing platform. The implementation of the new platform enhanced the overall website security and assisted in the alleviation of multiple security issues. According to Management, the move to the new platform also included an initial comprehensive security code review and includes a regular security code scan.

62. At the time of drafting the audit report, the new platform was fully utilized for all migrated UNFPA websites with up-to-date content management. While the audit did not perform comprehensive tests of design and of effectiveness of the new platform and related user experience, it considers that the risks initially identified in Phase I have been mitigated or have become irrelevant due to changes implemented through the move to the new platform and the overall re-design of website functionality.

63. No new recommendation is therefore raised.

E. RESOURCE ALLOCATION AND COST-EFFECTIVENESS	PHASE II RATING	NOT EFFECTIVE
	ADD. WORK RATING	EFFECTIVE

64. Phase I work in this area consisted of a review of readily available financial information for 2013 and 2014 and included a country office survey of IT spending, further corroborated by interviews with MCB, MIS, the Resource Mobilization Branch, one Regional Office and one Country Office.

65. The following matter in need of Management attention was identified based on the audit work performed.

The charge-back model for website management improved the website management resource situation

66. During Phase I, MCB faced significant challenges to keep the website management process functional within allocated resources. Nearly all of the yearly budget was exhausted by the end of the second quarter of both 2014 and 2015. In addition, should UNFPA not keep an effective web presence, Management estimated that funding of USD 30 to 50 million was at risk.

67. Following Phase I, Management implemented a charge-back process by which Regional and Country Offices contribute to the upkeep, functionality improvements, quality assurance processes and administration of the centralized website and all the migrated sub-domains. According to Management, the process provides adequate resources for an effective Country Office website administration process and enables both to meet human resources requirements and to satisfy technology requirements.

68. At the time of drafting this report, the charge-back model was functional and, according to Management, provided adequate resources for all related Country Office website management activities. While the audit did not perform comprehensive tests of design and of effectiveness of the new charge-back model, nor a review of the 2017 website funding situation, it considers that the risks initially identified in Phase I have been mitigated.

69. No new recommendation is therefore raised.

F. WEBSITE CHANGE MANAGEMENT PROCESS	PHASE II RATING	SOME IMPROVEMENT NEEDED
	ADD. WORK RATING	EFFECTIVE

70. Audit work performed in this area consisted of reviewing website governance change management documents then available, proposed changes thereto, and the change management procedures as determined through inquiry with applicable staff and Management. The audit team also reviewed then “as-implemented” technology solutions including architecture, software, development environments and hardware. Additionally, staff members from MCB and MIS were interviewed.

Good practices identified

71. Overall, the audit noted a well-defined communication and task fulfilment process.

72. The following matter in need of Management attention was identified based on the audit work performed.

Routing of all communication through the ‘task management’ system enabled full tracing and follow-up of requests up to their completion

73. During Phase I, it was noted that most communication regarding network configuration and application feature requests, including issues related to Domain Names System (DNS) and Content Delivery Network (CDN), were made via phone calls and emails to specific individuals – which precluded having an overall perspective of all requests and also hampered tracing and following up on their completion.

74. According to Management, following Phase I, the internal communication process was standardized through a ‘task management’ system. Further, the new integrated online platform implementation also enabled the full logging, tracing and follow-up of all communication within the multi-stage development environment.

75. At the time of drafting this report, the communication system was functional and key information was logged and traced. While the audit did not perform comprehensive tests of design and of effectiveness of the new communication process, it considers that the risks initially identified in Phase I have been mitigated.

76. No new recommendation is therefore raised.

G. WEBSITE MANAGEMENT STRATEGY AND INITIATIVES	PHASE II RATING	EFFECTIVE
	ADD. WORK RATING	EFFECTIVE

77. Work performed in this area focused on the broader strategic governance plan as documented by UNFPA, and included an assessment of the design and operating effectiveness of the UNFPA website governance programme at a macro level.

Good practices identified

78. The audit noted that a thorough, effective, and technologically up-to-date plan has been designed and put in place to solve many of the issues facing the UNFPA websites.

79. From a governance perspective, a new package of guidance documents has been prepared and submitted for approval by the Executive Committee in 2017. The package clarified, inter alia, the roles and responsibilities of the actors in website management process, with MCB taking the key leading role in all aspects of website management process, and the establishment of the Web Group as the main governance body.





80. A new integrated online platform was implemented through 2015 and a comprehensive move to a new content management system was undertaken in January 2016, in conjunction with the implementation of an industry standard multi-stage development environment. The Country Office migration project is running alongside and about two-thirds of UNFPA websites have been moved to the single platform by the end of June 2017. The majority of the technical aspects was outsourced to external vendors, leaving MIS with an advisory role. As from 2017, a country office charge-back fees model for website hosting, administration and management has been introduced to enable MCB to finance the full range of website and content management projects and administration.

81. No further reportable issues were noted based on the work performed.

ANNEX - DEFINITION OF AUDIT TERMS

A. AUDIT RATINGS

Audit rating definitions adopted for use in reports for audit engagements initiated as from 1 January 2016,⁵ are explained below:

<ul style="list-style-type: none"> ▪ Effective 		<p>The assessed governance arrangements, risk management practices and controls were adequately designed and operating effectively to provide reasonable assurance that the objectives of the audited entity/area should be achieved.</p> <p>The issue(s) and improvement opportunities identified, if any, did not affect the achievement of the audited entity or area’s objectives.</p>
<ul style="list-style-type: none"> ▪ Some improvement needed 		<p>The assessed governance arrangements, risk management practices and controls were adequately designed and operating effectively but needed some improvement to provide reasonable assurance that the objectives of the audited entity/area should be achieved.</p> <p>The issue(s) and improvement opportunities identified did not significantly affect the achievement of the audited entity/area objectives. Management action is recommended to ensure that identified risks are adequately mitigated.</p>
<ul style="list-style-type: none"> ▪ Major improvement needed 		<p>The assessed governance arrangements, risk management practices and controls were generally established and functioning but need major improvement to provide reasonable assurance that the objectives of the audited entity/area should be achieved.</p> <p>The issues identified could significantly affect the achievement of the objectives of the audited entity/area. Prompt management action is required to ensure that identified risks are adequately mitigated.</p>
<ul style="list-style-type: none"> ▪ Not effective 		<p>The assessed governance arrangements, risk management practices and controls were not adequately established or functioning to provide reasonable assurance that the objectives of the audited entity/area should be achieved.</p> <p>The issues identified could seriously compromise the achievement of the audited entity or area’s objectives. Urgent management action is required to ensure that the identified risks are adequately mitigated.</p>

B. CATEGORIES OF ROOT CAUSES AND AUDIT ISSUES

Guidelines: absence of written procedures to guide staff in performing their functions

- Lack of or inadequate corporate policies or procedures
- Lack of or inadequate Regional and/or Country Office policies or procedures
- Inadequate planning
- Inadequate risk management processes
- Inadequate management structure

Guidance: inadequate or lack of supervision by supervisors

- Lack of or inadequate guidance or supervision at the Headquarters and/or Regional and Country Office level
- Inadequate oversight by Headquarters

Resources: insufficient resources (funds, skills, staff) to carry out an activity or function:

- Lack of or insufficient resources: financial, human, or technical resources
- Inadequate training

Human error : un-intentional mistakes committed by staff entrusted to perform assigned functions

Intentional: intentional overriding of internal controls.

Other: factors beyond the control of UNFPA.

⁵ Based on the proposal of the Working Group on harmonization of engagement-level audit ratings approved by the United Nations Representatives of Internal Audit Services (UN-RIAS) in September 2016

C. PRIORITIES OF RECOMMENDATIONS

Recommendations are categorized according to their priority, as a further guide to Management in addressing the related issues in a timely manner. The following priority categories are used:

- **High** Prompt action is considered imperative to ensure that UNFPA is not exposed to high risks (that is, where failure to take action could result in critical or major consequences for the organization).
- **Medium** Action is considered necessary to avoid exposure to significant risks (that is, where failure to take action could result in significant consequences).
- **Low** Action is desirable and should result in enhanced control or better value for money. Low priority management actions, if any, are discussed by the audit team directly with the Management of the audited entity during the course of the audit or through a separate memorandum upon issued upon completion of fieldwork, and not included in the audit report.

D. CATEGORIES OF ACHIEVEMENT OF OBJECTIVES

These categories are based on the COSO framework and derived from the INTOSAI GOV-9100 Guide for Internal Control Framework in the Public Sector and INTOSAI GOV-9130 ERM in the Public Sector.

- **Strategic** High level goals, aligned with and supporting the entity's mission
- **Operational** Executing orderly, ethical, economical, efficient and effective operations and safeguarding resources against loss, misuse and damage
- **Reporting** Reliability of reporting, including fulfilling accountability obligations
- **Compliance** Compliance with prescribed UNFPA regulations, rules and procedures, including acting in accordance with Government Body decisions, as well as agreement specific provisions

GLOSSARY

Acronym	Description
CDN	Content Delivery (Distribution) Network
CMS	Content Management System
DCS	Division Communications and Strategic Partnerships
DNS	Domain Name System
IATI	International Aid Transparency Initiative
ICT	Information and Communication Technology
MCB	Media and Communications Branch
MIS	Management Information Services
OAIS	Office of Audit and Investigation Services
SLA	Service Level Agreement
UNFPA	United Nations Population Fund
USD	United States Dollar