Item 2. Internal audit and investigation

2020/x

Reports of UNDP, UNFPA and UNOPS on internal audit and investigations and management responses

The Executive Board

1. Welcomes the progress of UNDP, UNFPA and UNOPS in addressing audit-related management issues in 2019;

2. Notes with appreciation efforts to implement outstanding audit recommendations from previous reports;

3. Encourages UNDP, UNFPA and UNOPS to work with UNICEF, UN Women, and WFP, and agree on harmonized definitions and reporting for audit and investigation matters, where applicable, to provide the Executive Boards with a more coherent overview of findings and results;

With regard to UNDP:

4. Takes note of the annual report of the Office of Audit and Investigations on internal audit and investigation activities in 2019 (DP/2020/16) and its annexes, and the management response thereto;

5. Expresses continuing support for the internal audit and investigation functions of UNDP;

6. Notes the UNDP-GEF projects under some phase of the OAI/Social and Environmental Compliance Unit (SECU)-managed grievance process and the audits and investigations performed by OAI on the UNDP-GEF portfolio, and requests an update from OAI on the status of audit and investigation work and of the grievances reviewed by SECU, and further requests OAI and UNDP management present comprehensive reporting on UNDP-GEF funded projects to the Executive Board during OAI annual reporting, starting in 2021, and at targeted informal briefings, as needed;

7. Urges UNDP to enhance audit and investigation capabilities to oversee GEF-funded projects while preserving audit and investigation capabilities in other areas;

8. Takes note of the annual report of the Audit and Evaluation Advisory Committee;

With regard to UNFPA:

9. Takes note of the present report (DP/FPA/2020/6), the opinion, based on the scope of work undertaken, on the adequacy and effectiveness of the UNFPA framework of governance, risk management and control (DP/FPA/2020/6/Add.1), the annual report of the Oversight Advisory Committee (DP/FPA/2020/6/Add.2), and the management response thereto and to the present report;

10. Notes with concern the rising number of investigation cases carried over from past years, welcomes that human resources have been strengthened and encourages UNFPA to effectively deploy these resources to reduce the existing caseload;

11. Expresses its continuing support for the strengthening of the audit and investigation functions at UNFPA, and for the provision of sufficient resources to discharge their mandate;

12. Acknowledges and supports the engagement of the Office of Audit and Investigation Services in joint audit and investigation activities;

With regard to UNOPS:

13. Takes note of the annual report of the Internal Audit and Investigations Group for 2019 and the management response thereto;

14. Takes note of the significant progress made in implementation of audit recommendations;
15. Takes note of the opinion, based on the scope of work undertaken, on the adequacy and effectiveness of the organization’s framework of governance, risk management and control;


September 2020

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Lorato Motsumi, Facilitator    JoAnna Pollonais, Editor
Item 3. Ethics

2020/x
Reports of the ethics offices of UNDP, UNFPA and UNOPS

The Executive Board

1. Takes note of the reports of the ethics offices of UNDP, UNFPA and UNOPS (DP/2020/17, DP/FPA/2020/7 and DP/OPS/2020/3);

2. Notes the progress made by the UNDP Ethics Office in strengthening the ethical culture of UNDP;

3. Welcomes the continued progress in the work of the UNFPA Ethics Office;

4. Notes the progress made by the UNOPS Ethics and Compliance Office in strengthening the ethical culture of UNOPS.

5. Takes note with appreciation updates provided for UNDP, UNFPA and UNOPS in the Background Paper on Response to Sexual Exploitation and Abuse (SEA) and Sexual Harassment, and notes with appreciation increasing inter-agency cooperation;

6. Notes progress made and the need for continued effort and focus on preventing and taking immediate action on tackling sexual exploitation, abuse and sexual harassment, including ensuring policies and procedures deliver impact and are resourced sufficiently, and that proposed actions are implemented at country, regional, and global levels;

7. Requests UNDP, UNFPA and UNOPS to continue to take action to ensure a victim-centred, system-wide and coherent approach at all levels to prevent and tackle sexual exploitation and abuse, and sexual harassment, while leveraging their respective mandates, and to address the increased risk of SEA and sexual harassment during the COVID-19 response and recovery;

8. Requests UNDP, UNFPA and UNOPS to continue providing updates to the Executive Board on how UNDP, UNFPA and UNOPS are preventing and responding to SEA and sexual harassment in its policies, procedures and operations at all levels, taking into account recommendations from the independent review.

September 2020

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Stephan Ulrich, Facilitator

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Timo Mahn Jones, Facilitator

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JoAnna Pollonais, Editor
Item 5. Financial, budgetary and administrative matters

Joint comprehensive proposal on the cost-recovery policy

The Executive Board

1. Approves the joint comprehensive cost-recovery policy (DP/FPA-ICEF-UNW/2020/1), including cost-classification categories, methodology and rates, effective 1 January 2022;

2. Requests UNDP and UNFPA, in collaboration with UNICEF and UN-Women, to adapt the presentation of the national committees’ rates in table 4 of the policy, clarifying that in the case of UNICEF, the 5 per cent rate is applicable only to thematic contributions raised by National Committees;

3. Resolves that the comprehensive cost-recovery policy as outlined in document DP/FPA-ICEF-UNW/2020/1 supersedes the previous cost-recovery policy, including cost-classification categories, methodology and rates;

4. Decides that agreements signed prior to 1 January 2022 will be honoured using the existing cost-recovery rates (per Executive Board decision 2013/9) and that new agreements as well as revisions of existing agreements that result in additional/new contributions signed after 1 January 2022, will comply with the rates in the cost-recovery policy as approved in this decision;

5. Requests UNDP and UNFPA, in collaboration with UNICEF and UN-Women, to provide harmonized annual reporting on the progress of implementation of the cost-recovery policy as an annex to their respective existing reporting, including the presentation of the financial impact of the harmonized differentiated rates and waivers granted, and to continue including, in line with the policy, inter alia an itemization of each waiver/discount listing the donor name, total contribution, programme name, cost-recovery rate and United States dollar value of the waiver/discount, as well as the resulting effective cost-recovery rates and cost-recovery amounts realized;

6. Further requests UNDP and UNFPA, in collaboration with UNICEF and UN-Women, to present in a harmonized way in their existing reporting the calculations of the notional cost-recovery rates in their respective integrated budget documents;

7. Requests UNDP and UNFPA, in collaboration with UNICEF and UN-Women, to present a comprehensive review of the cost-recovery policy and its implementation for decision at the second regular session 2024, and further requests UNDP and UNFPA, in collaboration with UNICEF and UN-Women, to organize a joint briefing in 2023 to present a joint timeline for the review and preliminary observations and findings from the implementation of the cost-recovery policy.

September 2020

Robert Kayinamura, Facilitator
Deirdre O’Shea, Editor
Item 6. Working methods of the Executive Board

2020/xx
Working methods of the Executive Board

The Executive Board

1. Takes note with appreciation of the joint paper with concrete proposals for rearranged annual workplans of the Executive Boards for 2021, prepared by the secretariats of the Executive Boards of UNDP/UNFPA/UNOPS, the United Nations Children’s Fund (UNICEF) and the United Nations Entity for Gender Equality and the Empowerment of Women (UN-Women);

2. Approves the proposed shift in items among formal sessions which seeks to reduce the workload of the second regular session;

3. Requests the secretariat to ensure that sufficient time is allotted to each session of the Executive Board and each of their items, as well as to the respective informal consultations to enable the Executive Board to exercise its oversight function.

September 2020

Tumasie Blair, Facilitator

Svetlana Iazykova, Editor
Item 7. UNDP structured funding dialogue

2020/x
UNDP structured funding dialogue

The Executive Board

1. Takes note of the report on the structured dialogue on financing the results of the UNDP Strategic Plan, 2018-2021 (DP/2020/20) and its annexes;

2. Welcomes the efforts made by UNDP jointly with UNFPA, UNICEF and UN-Women to improve the structured funding dialogues;

3. Notes the importance of sufficient and predictable regular (core) resources linked to intended and demonstrated results, which is critical for UNDP to deliver on the Strategic Plan, 2018-2021, respond to the coronavirus disease (COVID-19) pandemic and help realize the 2030 Agenda; recalls the importance of broadening the contributor base and encourages UNDP, in line with the funding compact of the Secretary-General, to engage with Member States to consider to prioritize contributing to UNDP regular resources in a timely and predictable manner; and further encourages UNDP to continue to make efforts in terms of visibility and recognition of contributions to regular resources;

4. Requests UNDP to update the Board ahead of the annual session 2021 and report at the second regular session 2021, as part of the structured funding dialogue, on how UNDP will mitigate the effects of potential decreases in global official development assistance, including its impact on implementation of the Strategic Plan;

5. Invites UNDP as appropriate, to continue its dialogue with Member States with the aim of reaching the funding targets of the integrated resource plan and integrated budget and on shifting from highly-earmarked to regular and flexible resources and on prioritizing multi-year pledges, to enable UNDP to respond to the evolving needs of programme countries in line with the Strategic Plan, 2018-2021;

6. Urges UNDP to continue to improve the quality of its independent and decentralized evaluation function and to leverage it in support of organizational learning, accountability and transparency to improve programme design and delivery;

7. Recognizes the progress made by UNDP on entity-specific commitments of the funding compact and requests UNDP to engage with United Nations development system entities and the United Nations Development Coordination Office in the Office’s coordination of a further harmonization of these indicators across the United Nations development system while maintaining their entity-specific relevance;

8. Notes the lack of a commonly agreed definition for “joint activities” and requests UNDP to engage with United Nations development system entities and the United Nations Development Coordination Office in the Office’s coordination of the formulation of a system-wide definition of joint activity expenditures undertaken by the United Nations development system entities that accurately reflects the cooperation taking place among United Nations development system entities on joint development activities;

9. Requests UNDP to continue to support full implementation of the Business Operations Strategy across all United Nations country teams by 2021;

10. Requests UNDP to include in future structured funding dialogue reports information on contributions to thematic funding windows and on how the utilization of such funds contributes to the achievement of the results of the strategic plan;
11. Recognizes the importance of contributions made by programme country Governments to UNDP for local office costs, both cash and in kind, and encourages UNDP to work with respective Governments with a view to agreeing, where possible, on annual or multi-year contributions to fulfil such commitments, taking into account national budgetary planning processes.

September 2020

Ali Abdullatif Al Yahya, Facilitator

Deirdre O’Shea, Editor
Item 8. Evaluation (UNDP)

2020/x
UNDP evaluation

The Executive Board

With regard to the annual report on evaluation, 2019 (DP/2020/13) and the management commentaries thereto:

1. Takes note of the annual report on evaluation and stresses the importance of gender-responsive evaluations to track impactful and transformative outcomes in gender equality and the empowerment of women;

2. Welcomes the efforts made by the Independent Evaluation Office and the progress achieved in strengthening the evaluation function in actively contributing to United Nations system-wide evaluation efforts and in fostering national evaluation capacity development;

3. Looks forward to future annual evaluation reports with more analysis of accomplishments and challenges in the work of the Independent Evaluation Office, including a synthesis of the results of evaluations;

4. Requests UNDP to continue to improve the independence, quality and use of decentralized evaluations throughout the organization, particularly at country level, and to allocate sufficient resources to the Independent Evaluation Office and the decentralized evaluation function for this purpose, consistent with the expectations set out in the evaluation policy;

5. Welcomes the efforts of the Independent Evaluation Office to conduct evaluations in crisis and post-crisis settings during 2018 and 2019, as well as the office’s commitment to lesson-learning on how to successfully conduct evaluations in crisis-affected countries;

6. Requests UNDP to address the issues raised;

7. Acknowledges the conclusions reached by the evaluation offices of the United Nations Development Programme, the United Nations Population Fund, the United Nations Children’s Fund and the United Nations Entity for Gender Equality and the Empowerment of Women (UN-Women) in their evaluability assessment of the common chapter and requests management, in consultation with the independent evaluation offices, to develop the necessary tracking framework within the respective integrated results and resources frameworks of their current strategic plans, following the recommendations of the joint report on the evaluability assessment of the common chapter, dated 30 March 2020, in the context of the repositioning of the United Nations development system, as laid out in General Assembly resolution 72/279;

With regard to the evaluation of UNDP development cooperation in middle-income countries (DP/2020/21) and the management response thereto (DP/2020/22):

8. Takes note of the evaluation of UNDP development cooperation in middle-income countries and the management response thereto;

9. Welcomes the evaluation’s findings and conclusions regarding the significant contribution by UNDP to development results in middle-income countries, while noting the programmatic areas identified for consolidation and strengthening;

10. Requests UNDP, in line with the evaluation’s findings, conclusions and recommendations, to consider differentiated approaches in its programmatic engagement in middle-income countries, recognizing their diversity and different development priorities, including ensuring adequate consideration of these findings, conclusions and recommendations in the preparation and formulation of the next strategic plan 2022-2025 and the allocation of resources in its subsequent implementation;
11. *Notes* the findings, conclusions and recommendations related to the income-based approach to allocation of regular resources among middle-income countries, and requests UNDP management to consider and review options for strengthening the consideration of human development perspectives and financing capacities in the approach to allocation of regular resources to middle-income countries, including the smooth transition of countries graduating from the least developed country category, and to present options for consideration in the context of the development of the integrated resource plan and integrated budget for 2022-2025.

*September 2020*

_Davit Grigorian, Facilitator_  
_Deirdre O’Shea, Editor_
Item 10 United Nations Volunteers

2020/x

United Nations Volunteers: Report of the Administrator

The Executive Board

1. Takes note of the results achieved by the United Nations the United Nations Volunteers Programme (UNV) in 2019 as reflected in the report of the Administrator (DP/2020/14);

2. Expresses appreciation to all United Nations Volunteers for their outstanding contributions to the 2030 Agenda for Sustainable Development during 2019;

2bis. Takes note with appreciation the focused efforts of UNV on gender equality and the empowerment of women and on proactively engaging persons with disabilities in the United Nations system;

3. Approves the proposed adjustments to the results framework for the Strategic Framework, as outlined in annex 6;

4. Reaffirms the crucial role of the Special Voluntary Fund in delivering the UNV Strategic Framework, 2018-2021, and encourages UNV to continue engaging development partners to contribute to the Fund;

5. Commends UNV for the results achieved through the organizational transformation and during the first two years of the Strategic Framework, 2018-2021, as highlighted in the midterm review;

6. Requests that UNV continue to build on the progress made in pursuing innovative volunteer solutions that enable the United Nations system to accelerate its contributions to the 2030 Agenda.

September 2020

Enian Lamce, Facilitator

Svetlana Iazykova, Editor
Item 11. United Nations Capital Development Fund

2020/x
Midterm review of the UNCDF strategic framework, 2018-2021, including the annual report on results achieved by UNCDF in 2019

The Executive Board

1. Takes note of the midterm review of the UNCDF Strategic Framework, 2018-2021, including the annual report on results achieved by UNCDF in 2019 (DP/2020/15);

2. Commends the progress made by UNCDF in implementing its Strategic Framework, 2018-2021;

3. Welcomes its commitment to innovative financing solutions and approaches to make finance work for the poor;

4. Notes that the work of UNCDF is critical to supporting the least developed countries through the COVID-19 pandemic;

5. Recommits to supporting UNCDF, including through fully funding its resource requirements of $25 million per year in regular resources, $75 million per year in other resources, and capitalizing its Investment Fund with $50 million.

September 2020

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Bronwyn Wex, Facilitator     John Apruzzese, Editor
Item 12. Structured funding dialogue (UNFPA)

2020/x
UNFPA structured funding dialogue

The Executive Board

1. Takes note of the report on the UNFPA structured funding dialogue 2019-2020 (DP/FPA/2020/9);

2. Welcomes the efforts made by UNFPA jointly with UNDP, UNICEF and UN-Women to improve the structured funding dialogues;

3. Notes the importance of sufficient and predictable regular (core) resources linked to intended and demonstrated results, which is critical for UNFPA to deliver on the Strategic Plan, 2018-2021, respond to the coronavirus disease (COVID-19) pandemic and help realize the 2030 Agenda, recalls the importance of broadening the contributor base and encourages UNFPA, in line with the funding compact of the Secretary-General, to engage with Member States to consider to prioritize contributing to UNFPA regular resources in a timely and predictable manner; and further encourages UNFPA to continue to make efforts in terms of visibility and recognition of contributions to regular resources;

4. Requests UNFPA to update the Board ahead of the annual session 2021 and report at the second regular session 2021, as part of the structured funding dialogue, on how UNFPA will mitigate the effects of potential decreases in global official development assistance, including its impact on implementation of the strategic plan;

5. Invites UNFPA, as appropriate, to continue its dialogue with Member States with the aim of reaching the funding targets of the strategic plan and the integrated budget and on shifting from highly-earmarked to regular and flexible resources and on prioritizing multi-year pledges, to enable UNFPA to respond to the evolving needs of programme countries in line with the Strategic Plan, 2018-2021;

6. Recognizes the progress made by UNFPA on entity-specific commitments of the funding compact and requests UNFPA to engage with United Nations development system entities and the United Nations Development Coordination Office in the Office’s coordination of a further harmonization of these indicators across the United Nations development system while maintaining their entity-specific relevance;

7. Notes the lack of a commonly agreed definition for ‘joint activities’ and requests UNFPA to engage with United Nations development system entities and the United Nations Development Coordination Office in the Office’s coordination of the formulation of a system-wide definition of joint activity expenditures undertaken by the United Nations development system entities that accurately reflects the cooperation taking place among UNDS entities on joint development activities;

8. Requests UNFPA to continue to support full implementation of the Business Operations Strategy across all United Nations country teams by 2021;
9. Requests UNFPA to present in future structured funding dialogue reports how the planned and actual allocation of resources to thematic funds contributes to the achievement of the results of the strategic plan.

September 2020

Tumasie Blair, Facilitator

Horst Rutsch, Editor
Item 13. Evaluation (UNFPA)

2020/x
UNFPA evaluation

The Executive Board

1. Takes note of the annual report on the evaluation function, of the evaluation of the UNFPA capacity in humanitarian action, and of the programme of work and budget of the Evaluation Office in 2020;

2. Welcomes the efforts made by UNFPA and the progress achieved in strengthening the evaluation function, in actively contributing to United Nations system-wide evaluation efforts, and in fostering national evaluation capacity development;

3. Encourages UNFPA to strive to progressing towards an allocation of at least 1.4 per cent and up to 3 per cent of its total programme expenditure to the evaluation function, as embedded in the UNFPA Evaluation Policy of 2019;

4. Reaffirms the role played by the evaluation function and underscore the importance of high-quality, independent evaluative evidence in the context of the UNFPA strategic plan, 2018-2021, and its contribution to the implementation of the 2030 Agenda for Sustainable Development, and to a principled, efficient and timely response to the existing humanitarian needs;

5. Acknowledges the conclusions reached by the evaluation offices of UNDP, UNFPA, UNICEF and UN-Women in their evaluability assessment of the common chapter, and requests management, in consultation with the independent evaluation offices, to develop the necessary tracking framework within the respective integrated results and resources frameworks of their current strategic plans, following the recommendations of the joint report on the evaluability assessment of the common chapter, dated 30 March 2020;

6. Welcomes the management response to the evaluation of the UNFPA capacity in humanitarian action and requests UNFPA to track and monitor progress of work outlined in the management response against the evaluation’s recommendations, and to share this progress with the Executive Board at the annual session 2021, including an update on the impacts of COVID-19 on the implementation of recommendations.

September 2020

David Mulet (Guatemala)

David Mulet, Facilitator

Horst Rutsch, Editor
Item 15. United Nations Office for Project Services

2020/x
United Nations Office for Project Services

The Executive Board

With regard to the midterm review of the UNOPS Strategic Plan, 2018-2021 (DP/OPS/2020/5):

1. Takes note of the midterm review of the UNOPS Strategic Plan, 2018-2021, and its annexes;

2. Welcomes UNOPS support to the operational results of the United Nations, Governments and other partners and the intent to sustain its focus and direction;

3. Underlines the continued relevance of the UNOPS strategic framework as the basis for driving the ambition to become a better known and recognized resource for the United Nations and Member States;

4. Recognizes that the management results achieved reconfirm the relevance of the non-programmatic business-to-business value proposition expressed in its contribution goals, and the ability to safeguard the viability of the unique demand-driven and self-financed business model for the medium and longer term;

5. Encourages the continued attention of UNOPS on focusing its efforts based on the evolving operational context and policy guidance and on management oversight needs to ensure accountability, building on its technical expertise and the comparative advantages of its implementation mandate;

6. Takes note of the increasing demand for UNOPS to expand implementation capacity for sustainable development, including in direct support of countries and in the most fragile situations, while demand has remained relatively stable from United Nations entities;

7. Notes the progress achieved in promoting and enabling countries’ sustainable infrastructure impact investment and the potential for additional added value in the areas of quality infrastructure and sustainable public procurement;

8. Reiterates its encouragement to UNOPS, inter alia, through the UNOPS client board, to improve its value proposition to United Nations entities in order for them to take advantage of UNOPS efficiency and effectiveness, emphasizing technical expertise in quality infrastructure, sustainable public procurement, and sustainable infrastructure impact investment;

With regard to the annual statistical report on United Nations procurement, 2019 (DP/OPS/2020/6):


10. Welcomes the data and analysis contained therein;

11. Reiterates its encouragement to UNOPS and other United Nations entities to continue to achieve greater value for money and to take further measures for the purpose of increasing procurement from countries with economies in transition, developing countries and least developed countries.

September 2020

Kimberly K. Louis, Facilitator

Mr. John Apruzzese, Editor