

UNFPA EXECUTIVE BOARD DECISION-TRACKING MECHANISM 2014-2017

Status as at: **18 September 2018**




UNFPA, in consultation with UNDP and UNOPS, has elaborated a decision-tracking mechanism covering UNFPA-specific and joint decisions taken since 2014.









The decision-tracking mechanism will be updated three times a year, ahead of each Board session.








The status of a decision is indicated as follows:










- (1) GREEN ● signifies (a) 'ongoing' (action in progress, with a due date, if relevant) or (b) 'completed' (action has been completed or decision is no longer relevant); (2) YELLOW ● signifies action due by a given date, as relevant.








| Decision | Category | Request | UNFPA action and progress | Status |
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| Follow-up actions from the first regular session 2014 (27-31 January 2014) | | | | |
| 2014/5 Transitional biennial budgeted evaluation plan, 2014-2015 | Evaluation | Para. 4: <i>Invites</i> UNFPA to hold discussions with the Executive Board on areas to be evaluated in 2016-2017, taking into account the topics as set out in annex 3 of document DP/FPA/2014/2 | UNFPA held the discussions, as requested. | Completed ● |
| 2014/7 Modifications to the procedures for considering and approving UNDP and UNFPA country programme documentation | Country Programmes | Para. 5: <i>Requests</i> UNDP and UNFPA to ensure a transparent and timely consultation process with the Executive Board, to provide sufficient time for discussion, and to ensure that all comments and recommendations made by Member States with regard to the draft country programme documents be made available to Executive Board members prior to formal consideration of the country programme documents | UNFPA began implementing the elements, as outlined in the new procedures, starting with the 2014 second regular session. | Ongoing ● |
| | | Para. 6: <i>Requests</i> that country programme documents continue to be developed on the basis of national plans and priorities, in consultation with national governments, the resident coordinator and other members of the United Nations country team, as well as with other relevant stakeholders at country level, in full alignment with the United Nations Development Assistance Framework (UNDAF), where applicable, and with the respective strategic plans of UNDP and UNFPA | | |
| | | Para. 7: <i>Requests</i> UNDP and UNFPA to reduce the number of agency-specific instruments and processes, wherever possible, in particular in 'delivering as one' countries and countries deciding to apply the standard operating procedures, including by replacing country | | |




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| | | programme action plans and annual workplans with the UNDAF and the joint workplans of the UNDAF results groups | | |
| | | Para. 9: <i>Requests</i> UNDP and UNFPA to include the following elements in the country programme document and its annexes: (a) an indicative budget showing the expected use of regular and other resources; (b) a results and resources framework; (c) information on how the results, as reflected in the results and resources framework, relate to the strategic plan and the organization-wide results framework, to national priorities, and, as applicable, to the UNDAF; (d) a costed evaluation plan; (e) a statement of accountability for programme results | | |
| | | Para. 10: <i>Requests</i> UNDP and UNFPA to ensure that the results and resources frameworks are an integral part of country programme documents and to translate them accordingly | | |
| 2014/8 Reports of UNDP, UNFPA and UNOPS on the status of implementation of recommendations of the Board of Auditors for 2012 | Audit | Para. 5: <i>Requests</i> UNDP and UNFPA to continue to strengthen internal controls and improve oversight and monitoring of country offices, including the timely implementation of outstanding recommendations of the United Nations Board of Auditors, and to continue to ensure compliance with policies and procedures for procurement, inventory tracking and bank reconciliation | UNFPA continues to review and strengthen its internal controls, in line with recommendations of the Board of Auditors. | Ongoing  |
| Follow-up actions from the annual session 2014 (23-27 June 2014) | | | | |
| 2014/15 Annual report of the Executive Director of UNFPA | Strategic Plan | Para. 8: <i>Requests</i> UNFPA to present to the Executive Board in an informal briefing at its second regular session 2014 an outline of the format and information that will be provided in the annual report 2015, based on the integrated results and resources framework of the strategic plan, including those from the global and regional interventions, which will allow for appropriate tracking of results achieved against expenditures | UNFPA held the informal briefing, as requested, during the second regular session 2014. | Completed  |
| 2014/16 Strategic framework for UNFPA global and regional interventions, 2014-2017 | Strategic Plan GRIs | Para. 3: <i>Endorses</i> the proposal of UNFPA to conduct in 2016 an independent evaluation of the global and regional interventions, to be commissioned by the independent Evaluation Office of UNFPA; <i>encourages</i> UNFPA to coordinate the evaluation, for complementarity, with the follow-up on the implementation of the recommendations of the audit of the Global and Regional Programme by the Division for Oversight Services; and <i>requests</i> that UNFPA ensures an appropriate and timely follow-up to relevant findings, as and when appropriate | UNFPA conducted the evaluation, as requested, coordinated with the follow-up to the audit recommendations on the Global and Regional Programme (audit (concluded in 2015), reporting them in subsequent annual reports of the Executive Director. | Completed  |





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| | | Para. 4: <i>Requests</i> that UNFPA report annually on the global and regional interventions as part of the annual report of the Executive Director, summarizing the contributions of the results and resources of the global and regional interventions to the achievements under the strategic plan, 2014-2017 | UNFPA has been reporting on the global and regional interventions, as requested, as part of the annual report of the Executive Director. | Ongoing  |
| | | Para. 5: <i>Invites</i> UNFPA to include in the annual report of the Executive Director an annex providing information about the implementation of the global and regional interventions, at an aggregated level, summarizing results achieved, monitoring activities, including programme performance reviews, as well as oversight activities | UNFPA the information in an annex to the annual report of the Executive Director. | Ongoing  |
| 2014/17 Annual report on evaluation, 2013 | Evaluation | Para. 3: <i>Requests</i> the UNFPA Evaluation Office to include in the annual report on evaluation information on the implementation of the evaluation policy and the biennial budgeted evaluation plan, 2014-2015; | UNFPA reported on this in the following annual report. | Completed  |
| | | Para. 4: <i>Requests</i> UNFPA to report on progress in addressing key issues and challenges in evaluation in the annual report on evaluation, and to ensure that the management response proposes concrete actions to address them | UNFPA continues to report on progress in addressing key challenges. | Ongoing  |
| | | Para. 5: <i>Requests</i> UNFPA to report to the Executive Board, within the annual report of the Executive Director, on follow-up to management responses to corporate and programme-level evaluations | UNFPA has been reporting on this in subsequent annual reports of the Executive Director | Ongoing  |
| 2014/18 Updating the UNFPA oversight policy | Oversight | Para. 2: <i>Requests</i> UNFPA to review and update its oversight policy, (i) incorporating all decisions related to oversight made by the Executive Board since the approval of the policy in 2008, and (ii) reflecting changes in the structure, roles and responsibilities of organizational units involved in oversight functions, as well as improvement in language, knowledge and practices in oversight | UNFPA undertook the review and updated its policy, which was approved by the Board at its first regular session 2015. | Completed  |
| | | Para. 3: <i>Further requests</i> the Executive Director of UNFPA to keep the Board informed on progress made; and welcomes the intention of UNFPA to hold informal consultations with the Executive Board on the update of the policy | UNFPA held informal consultations ahead of the approval of the final oversight policy. | Completed  |
| 2014/19 Revised UNFPA financial regulations and rules | Financial | Para. 3: <i>Approves</i> the revisions of the financial regulations | The revised UNFPA financial regulations and rules took effect on 1 July 2014. | Completed  |








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| 2014/21 Reports of UNDP, UNFPA and UNOPS on internal audit and investigations for 2013 | Internal Audit and Investigations | Para. 3: <i>Requests</i> UNDP, UNFPA and UNOPS to step up their efforts to achieve the timely, full, complete, and sustained implementation of all outstanding and new audit recommendations, including by strengthening capacity at regional and country office levels | UNFPA continues to strive to implement all audit recommendations in a timely manner. | Ongoing  |
| | | Para. 4: <i>Urges</i> UNDP, UNFPA and UNOPS to continue to strengthen the audit and investigative functions, and ensure these offices are sufficiently resourced to carry out their mandates effectively, including through analysis of audit coverage and resources in future annual reports | UNFPA continues to strengthen the audit and investigative functions, including through adequate resourcing. | Ongoing  |
| | | Para. 18: <i>Encourages</i> UNFPA to develop and implement effective risk management policies to ensure effective delivery of the strategic plan | UNFPA has developed and is implementing risk management policies for the strategic plan. | Completed and Ongoing  |
| 2014/22 Reports of the ethics offices of UNDP, UNFPA and UNOPS | Ethics | Para 3: <i>Requests</i> the ethics offices, if they have not already done so, to improve protections for whistle-blowers by developing and implementing an effective policy on protection against retaliation that specifies a statute of limitations of a minimum of six months for reporting retaliation | UNFPA continues to strengthen protections for whistle-blowers. | Ongoing  |
| Follow-up actions from the second regular session 2014 (2-5 September 2014) | | | | |
| 2014/25 Funding commitments to UNFPA and implementation of the quadrennial comprehensive policy review of operational activities for development | Funding | Para. 2: <i>Requests</i> UNFPA to continue to improve its effectiveness and efficiency, including through the reduction of management costs, and to further strengthen its transparency and accountability, in an effort to strengthen development results and increase contributions from Member States | UNFPA to continue to improve effectiveness and efficiencies as well as strengthening transparency and accountability. | Ongoing  |
| | | Para. 12: <i>Requests</i> UNFPA, in consultation with the Executive Board, to continue to explore incentives, mechanisms and funding windows to broaden the donor base and to support donors to increase their core contributions as well as to shift to less restricted/earmarked non-core funding; and, in this regard, <i>requests</i> UNFPA to present a resource mobilization strategy toward this end at the second regular session of the Executive Board in 2015 | UNFPA developed a resource mobilization strategy and presented it to the Board at the second regular session 2015. | Completed  |
| | | Para. 14: <i>Decides</i> to organize, with the support of the UNFPA secretariat, on an annual basis during the second regular session of the Executive Board, a structured dialogue with Member States to monitor and follow up on the predictability, flexibility and alignment of resources provided for implementation of the Strategic Plan, 2014-2017, including information on funding gaps | UNFPA helps to schedule a structured dialogue on funding each year at the second regular session of the Executive Board. | Ongoing  |




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| 2014/27 Report of UNDP, UNFPA and UNOPS on joint procurement activities | Procurement | Para. 8: <i>Requests</i> UNDP, UNFPA and UNOPS to further improve the monitoring of joint procurement activities | UNFPA continues to seek improving the monitoring of joint procurement activities | Ongoing  |
| | | Para. 9: <i>Also requests</i> UNDP, UNFPA and UNOPS to report on the implementation of the United Nations model framework for vendor sanctions, as part of their regular reporting | UNFPA reports on this in subsequent reports. | Ongoing  |
| | | Para. 11: <i>Requests</i> UNDP, UNFPA and UNOPS to further enhance the analysis in future reports, including quantified information on efficiency gains, lessons learned, challenges in pursuing a collaborative approach and how they are being addressed | UNFPA continues to further enhance such analysis in subsequent joint reports. | Ongoing  |
| Follow-up actions from the first regular session 2015 (26-30 January 2015) | | | | |
| 2015/2 Revised UNFPA oversight policy | Oversight | Para. 3: <i>Approves</i> the revised UNFPA oversight policy as contained in document DP/FPA/2015/1 | The revised UNFPA oversight policy was adopted on 30 January 2015. | Completed  |
| | | Para. 4: <i>Requests</i> UNFPA to continue to monitor the implementation of the policy and to conduct periodic reviews of the relevance and applicability of the policy with respect to the safeguarding and strengthening of UNFPA management oversight functions, including that of programme, and to report to the Executive Board at its annual session in 2017 with proposals to make further improvements to the policy, as necessary | UNFPA continue to monitor the implementation of the policy, and will report to the Board at the annual session 2017. | Completed  |
| 2015/3 Scaling up UNFPA humanitarian response funding | Humanitarian Funding | Para. 3: <i>Approves</i> an annual allocation of \$10 million of regular resources for the emergency fund, reflecting an increase of \$5 million from the previously approved level | The annual allocation of regular resources for the emergency fund is now \$10 million. | Ongoing  |
| | | Para. 4: <i>Authorizes</i> the UNFPA Executive Director to increase the emergency fund by up to \$2 million in a given year, if the number and extent of the emergencies so warrant | The UNFPA Executive Director has the authority to increase the emergency fund by up to \$2 million beyond the approved annual allocation of \$10 million. | Ongoing  |
| | | Para. 5: <i>Approves</i> a one-time allocation of \$10 million of regular resources for the establishment of the humanitarian response reserve | \$10 million of regular resources can be allocated to establish the humanitarian response reserve. | Completed  |
| | | Para. 6: <i>Requests</i> UNFPA to report on the status of the reserve and on the use of the emergency fund in its annual financial statements | UNFPA reports on the status of the reserve and on the use of the emergency fund in its annual financial statements. | Ongoing  |








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| | | Para. 7: <i>Further requests</i> UNFPA to report at the first regular session 2017 on its humanitarian response funding, so as to allow the Executive Board to review this arrangement, including the criteria for disbursement of resources | UNFPA reported on its humanitarian response funding at the first regular session 2017. | Completed  |
| 2015/5 Recommendations of the Board of Auditors | Audit | Para. 10: <i>Requests</i> UNFPA to inform the Executive Board of the organization's plans to improve its internal audit coverage, with a view to decide on possible financial implications at its second regular session in 2016 | UNFPA informed the Board of its plans to improve internal audit coverage. | Completed  |
| Follow-up actions from the annual session 2015 (1-9 June 2015) | | | | |
| 2015/10 Annual report of the Executive Director of UNFPA | Strategic Plan | Para. 4: <i>Requests</i> the Executive Director to make further improvements in the next annual report by referring to the theories of change document accompanying the strategic plan, making use of evaluation findings and including more details on the implementation of the quadrennial comprehensive policy review of United Nations operational activities for development, lessons learned and actions taken in response | This was done in the following annual report, including in the annexes to the report. | Completed  |
| | | Para. 5: <i>Recognizes</i> the need for increased support for effective positioning of UNFPA to augment further efforts to complete the unfinished Millennium Development Goal 5 targets A and B, and to accelerate investments in young people, including in adolescent girls and boys, in order DP/2016/2 12 to enable countries to realize the demographic dividend, in line with their national priorities, and <i>requests</i> the Executive Director to make a presentation on UNFPA work on the demographic dividend in the context of the midterm review of the Strategic Plan, 2014-2017. | UNFPA made a presentation on its work on the demographic dividend at the annual session 2016. | Completed  |
| 2015/11 Annual report on evaluation | Evaluation | Para. 7: <i>Requests</i> the Director of the Evaluation Office to report in 2016 on progress in addressing key issues and challenges in evaluation in the Director's annual report to the Executive Board. | This was done in the Director's 2016 annual report. | Completed  |
| 2015/13 Internal audit and oversight | Internal Audit and Investigations | Para. 4: <i>Requests</i> the internal audit and investigation offices of the three organizations to provide timely information to the Executive Board when they face challenges in discharging their oversight responsibilities or fulfilling their workplans | UNFPA continues to provide timely information on challenges it faces in oversight. | Ongoing  |
| | | Para. 5: <i>Further requests</i> the internal audit and investigation offices to include in future annual reports: (a) an opinion, based on the scope of work undertaken, on the adequacy and effectiveness of the organizations' framework of governance, risk management and control; (b) a concise summary of | The opinion is now part of the annual report of the Director, OAIS. | Ongoing  |






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| | | work and the criteria that support the opinion; (c) a statement of conformance with the internal audit standards being adhered to; (d) a view on whether the resourcing of their function is appropriate, sufficient and effectively deployed to achieve the desired internal audit coverage | | |
| | | Para. 16: <i>Recalls</i> decision 2015/5 of the Executive Board, where UNFPA was requested to inform the Executive Board of the organization's plans to improve internal audit coverage, and <i>requests</i> UNFPA to consider these plans, including with regard to strengthening investigation capacity, in the revised integrated budget to be presented to the Executive Board in 2016 | UNFPA included consideration of plans to improve internal audit coverage in the revised integrated budget presented to the Executive Board at the annual session 2016. | Completed  |
| 2015/14 Reports of the ethics offices of UNDP, UNFPA and UNOPS | Ethics | Para. 4: <i>Recalls</i> decision 2011/24, and commends the ethics offices for their recommendations to management to strengthen the organizational culture of integrity; <i>encourages</i> the offices to continue to provide management with advice and recommendations in this regard, which may include recommendations for improving internal legal and accountability frameworks to address misconduct and protection of whistle-blowers; and <i>urges</i> the respective managements of UNDP, UNFPA and UNOPS to continue to work together with the ethics offices in this regard and to implement their recommendations, as appropriate | UNFPA continues to work together with the organization's ethics office to implement its recommendations, as appropriate. | Ongoing  |
| Follow-up actions from the second regular session 2015 (31 August - 4 September 2015) | | | | |
| 2015/18 Funding commitments to UNFPA | Financial | Para. 9 (a): <i>Requests</i> UNFPA, in the context of the structured dialogue on financing, to: Engage in informal dialogues with Member States throughout the year, including in specially arranged interactive sessions prior to the Executive Board sessions, to ensure an ongoing discussion, exchange of information and analysis of funding issues and options, taking into consideration the midterm review of the UNFPA Strategic Plan, DP/2016/2 21 2014-2017; the ECOSOC Dialogue on the longer-term positioning of the United Nations Development System; and the reports of the Secretary-General on the implementation of General Assembly resolution 67/226 on the quadrennial comprehensive policy review of operational activities for development of the United Nations system, including the funding analysis. This includes exploring incentives, mechanisms and funding windows, along with their impact to broaden the donor base and to encourage donors to increase and prioritize regular resources contributions, as well as to shift to less restricted other resources funding, aligned to the Strategic Plan | UNFPA has been engaging in informal dialogues with Member States throughout the year in the lead-up to the structured dialogue each year at the second regular session. | Ongoing  |






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| | | Para. 9 (b): <i>Requests</i> UNFPA, in the context of the structured dialogue on financing, to: Submit, within the context of the annual reporting on funding commitments to UNFPA, an analysis of the predictability, flexibility and alignment of resources provided for the implementation of the Strategic Plan, including funding gaps and their implications for the Integrated Results Framework. The report will be the culmination of the informal dialogues referred to in paragraph 9 (a) | UNFPA has been providing such analysis in its reporting on funding commitments. | Ongoing  |
| 2015/19 Quadrennial evaluation workplan and budget | Evaluation | Para. 10: <i>Approves</i> the quadrennial budgeted evaluation plan for 2016-2019 | The quadrennial budgeted evaluation plan is approved for 2016-2019. | Completed  |
| Follow-up actions from the first regular session 2016 (25-28 January 2016) | | | | |
| 2016/2 Recommendati ons of the Board of Auditors | Audit | Para. 2: <i>Recognizes</i> the high-risk environments in which UNDP, UNFPA and UNOPS as well as their implementing partners operate, and <i>requests</i> the entities to continue to take appropriate measures to strengthen the mechanisms for fraud prevention, control and risk assessment, including through the effective application of operating procedures for fraud prevention | In 2017, UNFPA issued an updated Policy against Fraud and other Proscribed Practices. With this policy, UNFPA reinforces its zero tolerance for any form of wrongdoing, including fraudulent and other proscribed practices. These practices are contrary to UNFPA core values, compromise the organization's ability to implement programmes effectively and ultimately deliver on its mandate. Online training on Fraud was developed earlier this year and its completion is mandatory for all UNFPA personnel. The course was developed in conjunction with UNDP, UNCDF and UN Women. UNFPA is supplementing this online course with an extensive training package for staff, released in mid-2018. The online course on fraud will be made available also to Implementing Partners along with a training package designed for partners. The right of audit and investigation by UNFPA is now included in all UNFPA standard contract forms. As part of its annual Enterprise Risk Management cycle Management is mandated to assess the strategic and fraud risks they are exposed to and implement sufficient mitigation measures. | Completed and Ongoing  |
| | | Para. 11: <i>Encourages</i> UNFPA to continue monitoring the implementation by all units of the new internal electronic systems for managing workplans and analysing information, including by tracking the effectiveness of such systems in improving delivery, performance management and approaches to risk | UNFPA continues to monitor implementation of its electronic systems for managing workplans and information analysis (GPS II). | Ongoing  |









| Follow-up actions from the annual session 2016 (6-10 June 2016) | | | | |
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| 2016/9 Midterm review of the UNFPA Strategic Plan, 2014-2017 and annual report of the Executive Director | Strategic Plan | Para. 7: <i>Requests</i> UNFPA to start early preparations for the next strategic plan, in full consultation with the Executive Board, taking fully into account the outcome of the 2016 quadrennial comprehensive policy review of United Nations operational activities for development and lessons learned from the midterm review, and to present a road map at the 2016 second regular session of the Executive Board for the consultations planned in the preparation of the next strategic plan | The UNFPA roadmap on the next strategic plan was presented at SRS 2016. Updates to the roadmap are regularly shared with the Executive Board. | Completed  |
| | | Para. 8: <i>Notes with appreciation</i> the collaboration with other United Nations funds and programmes during the preparation of the midterm review, and <i>encourages</i> further dialogue and engagement during the preparation of the next strategic plan, to enhance complementarity, coherence and effectiveness in support of the 2030 Agenda for Sustainable Development and the Sustainable Development Goals | Consultations (workshop and briefing) with the Executive Board held on 20 December 2016, in coordination with the other funds and programmes. Other briefings are planned throughout 2017. | Completed Ongoing  |
| | | Para. 9: <i>Welcomes</i> the format of the annual report that combines annual progress as well as cumulative review of the implementation of the strategic plan, and <i>requests</i> the Executive Director to continue to use this format for the annual report, to be presented at the annual session of 2017 | UNFPA will be using the same format, combining annual progress and cumulative review, to report the results of 2016. The report structure with the results will be presented at the EB informal session on ED's annual report. | Ongoing  |
| | | Para. 9 (continued): <i>Further requests</i> the Executive Director to submit the UNFPA strategic plan, 2018-2021, at the 2017 second regular session of the Executive Board | UNFPA has presented the strategic plan timeline to the Executive Board, and continues to update the Executive Board on progress of the key milestones through informal sessions, workshops or bilateral discussions. | Completed  |
| 2016/10 Midterm review of the UNFPA integrated budget, 2014-2017 | Financial, Strategic Plan | Para. 8: <i>Requests</i> UNFPA, in consultation with UNDP, UNICEF and UN-Women, as appropriate, to incorporate relevant lessons learned from the integrated budget, 2014-2017, in the preparation of the integrated budget for 2018-2021 | UNFPA integrated budget 2018-2021 proposal will include relevant lessons learned. They will be developed in consultation with UNDP, UNICEF and UN-Women, as well as with Executive Board. | Completed  |
| | | Para. 11 <i>Recalls</i> its decision 2015/3 on scaling up UNFPA humanitarian response funding, <i>stresses</i> the importance of the funding arrangements contained therein, and <i>looks forward</i> to the UNFPA report on its humanitarian response funding at the first regular session 2017 | UNFPA report on its humanitarian response funding has been posted on the UNFPA website. An Informal briefing is scheduled during the 2017 FRS on 3 February 2017. | Completed  |
| 2016/11 Annual report of the UNFPA Evaluation Office | Evaluation | Para. 5: <i>Requests</i> the Evaluation Office to report in 2017 on the state of the evaluation function at UNFPA | This will be provided in the annual report of the UNFPA Evaluation Office. | Ongoing  |









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| | | <p>Para 10: <i>Requests</i> UNFPA to fully take into account the recommendations of the thematic evaluation in its strategic and operational response, and to include an update on progress at the annual session 2017</p> | <p>This will be provided in the annual report of the Executive Director.</p> | |
| 2016/13 Internal audit and oversight | Internal Audit and Investigations | <p>Para. 4: <i>Notes</i> the partially satisfactory ratings for UNDP, UNFPA and UNOPS, <i>requests</i> the respective internal audit functions to include a rationale supporting their opinion in future reporting, and <i>urges</i> management of each agency to continue and intensify efforts to strengthen the functioning of their governance, risk management and control frameworks</p> | <p>Since 2016, the GRC opinion has been presented in a separate document from the activity report itself, and includes the rationale document.</p> <p>UNFPA continues to strengthen the area of governance, risk management and control frameworks. In 2016 it issued a revised Internal Control Framework policy based on recognized best practices (COSO 2013). New programme and operational policies now incorporate a risk control matrix, where key controls are identified. UNFPA has implemented an Enterprise Risk Management module as part of its reporting platform whereby annually Management are mandated to assess the strategic and fraud risks they are exposed to and implement sufficient mitigation measures. In 2016 Management has implemented a control self- assessment for its business units which will be evaluated to inform the risk management process.</p> | <p>Ongoing</p>  |
| | | <p>Para. 5: <i>Notes with concern</i> that the audits of UNDP and UNFPA flag a number of areas of recurring weaknesses, including on programme management, procurement, governance and financial management, <i>appreciates</i> information provided by management on efforts to address these weaknesses, and <i>urges</i> management to continue and intensify efforts to address these issues and provide further information on the impact of the measures they have taken</p> | <p>Management has established a plan of action to address identified areas of recurring weaknesses and monitor progress through regular Audit Monitoring Committee meetings</p> | <p>Ongoing</p>  |
| | | <p>Para. 15: <i>Notes with concern</i> the complaints of pharmaceutical product diversion, and <i>urges</i> UNFPA to continue its efforts to strengthen accountability, including through oversight of inventory management and implementing partners, and to report to the Board on these efforts in future sessions</p> | <p>Complaints of pharmaceutical product diversions have been limited in numbers (the data is included in the report of the Director, OAIS to the Executive Board).</p> <p>UNFPA has a fully implemented inventory management system as an integral part of its ERP system. Furthermore, whenever inventory is procured with cash transferred to Implementing Partners, regular financial and operations spot-checks conducted annually of all cash transfers to Implementing Partners will ascertain that the products delivered were used for the intended purposes. A thorough review of supply chain management at UNFPA is currently in progress.</p> | <p>Ongoing</p>  |






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| | | Para. 16: <i>Notes</i> the progress made to establish an enterprise risk management system, and <i>urges</i> UNFPA to further strengthen risk management processes by ensuring that risk mitigation actions are defined and implemented in a timely manner | UNFPA annual ERM cycle incorporates a risk response stage during which high risk activities are reviewed by a subject-specific team, mitigation measures identified and their implementation monitored. | Ongoing  |
| 2016/14 Reports of the ethics offices of UNDP, UNFPA and UNOPS | Ethics | Para. 5: <i>Requests</i> the annual ethics office reports of all organizations to include, when substantiated cases of whistle-blower retaliation are found, information regarding steps taken to protect complainants from further retaliation during the investigation and remedies provided to victims of proven retaliation | The annual report of the UNFPA Ethics Office to the Executive Board currently does, and will continue to, include note of any substantiated cases of retaliation. It also will include steps taken to protect complainants from further retaliation during the investigation, and remedies provided to victims of proven retaliation. This will require cooperation and information sharing among the Ethics Office, OAIS, OED, and potentially other offices. | Ongoing  |
| | | Para. 6: <i>Encourages</i> management to hold all found responsible for misconduct accountable and <i>encourages</i> management to include data in the annual report on disciplinary and/or administrative action taken, including for those who engaged in retaliation | OAIS will continue to provide data in its annual report on action taken by management on substantiated allegations of wrongdoing (staff member misconduct or breach of contractual agreement for any other contracted party). | Ongoing  |
| | | Para. 7: <i>Urges</i> senior management to ensure that all managers, both current and future, have the necessary training and conflict resolution skills to promote a culture of ethics and integrity and the management skills to proactively respond to workplace disputes | The online Ethics course which is mandatory for all UNFPA staff was updated in 2016 in collaboration between the Ethics Office and DHR. Also an online learning curriculum "Leadership Journey" (based on Skillsoft courses and learning activities) comprising these skills for UNFPA managers was sent personally to each UNFPA manager by the Director of Human Resources. | Ongoing  |
| | | Para. 9: <i>Recognizes</i> the reduction in core resources, and <i>urges</i> management to continue exercising flexibility over the ethics office budgets to ensure they can continue to provide independent and effective in-person services | Management has provided the Ethics Office flexibility in budgeting for the remainder of the 2014-2017 SP cycle. The Ethics Office will work with management to ensure budget allocations are matched to the current needs and best practices of the Ethics Office, and are flexible when necessary. | Ongoing  |
| | | Para. 10: <i>Encourages</i> the ethics offices of UNDP, UNFPA and UNOPS to continue to provide management with advice and recommendations; and | The Ethics Office agrees to this both as a matter of annual reporting, and as part of its regular work plan. | Ongoing  |
| | | Para. 10 (<i>continued</i>): <i>Urges</i> management to continue to work together with the ethics offices to implement the recommendations and to report to the Board on implementation of these recommendations and outstanding recommendations from previous years | Management works closely with the Ethics Office, taking its advice into careful consideration on a range of issues. This collaboration includes implementing the recommendations that were deemed beneficial and feasible. Management regularly reports on the | Ongoing  |






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| | | | implementation of these recommendations in its management response to the annual report of the UNFPA Ethics Office. | |
| Follow-up actions from the second regular session 2016 (6-9 September 2016) | | | | |
| 2016/18 UNFPA funding issues | Financial | Para. 4: <i>Recalls</i> decision 2016/10 on the importance of scaling up UNFPA humanitarian response funding, and <i>looks forward</i> to the UNFPA report on this issue at the first regular session 2017 | The UNFPA report on its humanitarian response funding has been posted on the UNFPA website. An Informal briefing is scheduled during the 2017 FRS on 3 February 2017. | Completed  |
| | | Para. 5: <i>Calls on</i> UNFPA to strengthen the structured dialogues on financing, in accordance with the Executive Board decisions 2014/25 and 2015/18 and in line with General Assembly resolution 67/226, paragraph 46, and to include an analysis of funding gaps and their implications for the Integrated Results Framework | Structured dialogue on financing incorporated to EB session cycle (in the form of informals in the sidelines of each session – either stand-alone or integrated with related themes). Strengthening of mechanisms for resource tracking and availability, including ‘transparency portal’ accessible online to EB members. | Ongoing  |
| | | Para. 7: <i>Requests</i> UNFPA to further explore incentives and mechanisms to encourage donor countries and Member States in a position to do so to increase and prioritize regular resources contributions, to facilitate a shift to less restricted other resources, aligned to the Strategic Plan, and to broaden the donor base and attract new sources of funding, including through new approaches to resource mobilization and new forms of support from diversified sources | UNFPA Resource Mobilization Strategy presented to the EB in August 2015 lays out specific approaches to secure/increase regular contributions, less restricted other resources and broadening of donor base. Progress on implementation and actions taken are discussed with EB as part of structured dialogue on funding. | Ongoing  |
| | | Para. 9: <i>Requests</i> UNFPA, in collaboration with other relevant funds and programmes, to present to the Executive Board, in accordance with decision 2013/9, all requested information on cost recovery in time to be included in the consultations on the strategic plan 2018-2021 and the integrated budget 2018-2021 at its annual session 2017 | Joint consultations with the Executive Boards took place during 2017 and 2018. A draft joint paper was presented in May 2018, and a final joint paper (DP/FPA-ICEF-UNW/2018/1) presented for the Executive Board consideration at the second regular session 2018. | Completed  |
| Follow-up actions from the first regular session 2017 (30 January-3 February 2017) | | | | |
| 2017/4 Thematic evaluation on UNFPA support to adolescents and youth (2008-2015) | Evaluation | Para. 2: <i>Requests</i> UNFPA to take into account the recommendations of the evaluation in its strategic and operational response, and to include an update on progress at the annual session of 2018 | This will be provided in the management response to the annual report of the Evaluation Office to be presented at the annual session 2018. | Completed  |

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| 2017/5 Reports of UNDP, UNFPA and UNOPS on implementation of recommendations of the Board of Auditors for 2015 | Audit | Para 11: <i>Encourages</i> UNFPA to continue improving its internal control systems, especially with regard to risk management, including the need to develop risk mitigation strategies globally and at country level | The UNFPA annual ERM cycle incorporates a risk response stage. UNFPA launched risk response phase in May 2017. All Business units prepared action plans for all high and critical risks and also responded to the plan by December 2017. The 2016-17 cycle is already completed and closed. | Completed  |
| 2017/7 Elaboration of the UNFPA strategic plan, 2018-2021 | Strategic Plan | Para. 2: <i>Requests</i> UNFPA to engage constructively with UNDP, the United Nations Children's Fund (UNICEF) and United Nations Entity for Gender Equality and the Empowerment of Women (UN-Women) to ensure a coherent approach of the four strategic plans (UNDP, UNFPA, UNICEF, UN-Women) | Consultations are ongoing with the said funds and programmes. UNFPA is actively engaged in the work of the various inter-agency working groups regarding the preparation of their respective strategic plans. The Executive Board has been regularly consulted on the process through informal briefings. | Ongoing  |
| | | Para. 3: <i>Also requests</i> UNFPA, in line with General Assembly resolution 71/243 of 21 December 2016 on the quadrennial comprehensive policy review of operational activities for development of the United Nations system, to elaborate in its strategic plan on how it plans to engage in coherent and integrated support, as called for in the 2030 Agenda for Sustainable Development, and in this regard, <i>further requests</i> UNFPA to work collaboratively with UNDP, UNICEF and UN-Women on the development of a specific chapter in its strategic plan, outlining a common approach in supporting Member States towards the implementation of the 2030 Agenda, in accordance with each entity's mandate | Consultations are ongoing with the said funds and programmes. UNFPA is actively engaged in the work of inter-agency working groups regarding the preparation of their respective strategic plans. The Executive Board has been regularly consulted on the process through informal briefings. | Ongoing  |
| | | Para. 4: <i>Encourages</i> UNFPA to collaborate with UNDP, UNICEF and UN-Women to continue to harmonize their approaches to results reporting on their strategic plans, which, inter alia, will help to capture their contributions to collective outcomes; | Consultations are ongoing with the said funds and programmes through thematic inter-agency working groups. The Executive Board has been regularly consulted on the process through informal briefings. | Ongoing  |
| | | Para. 5: <i>Requests</i> UNFPA to provide all relevant documents at least 10 days prior to any consultation | UNFPA has taken note of this request. | Ongoing  |

| Follow-up actions from the annual session 2017 (30 May-8 June 2017) | | | | |
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| 2017/14 Annual Report of the UNFPA Executive Director: progress made in achieving the strategic plan, 2018-2021 | Strategic Plan | Para 3: <i>Requests</i> that UNFPA take into account the findings and conclusions of and build on and integrate lessons learned from the current strategic plan and integrated results and resources framework for 2014-2017, and the findings, conclusions and recommendations of relevant evaluations, including the evaluation of the architecture supporting the operationalization of the UNFPA strategic plan, 2014-2017, when developing the strategic plan and integrated results and resources framework for 2018-2021 | Development of the UNFPA strategic plan 2018-2021 took into account the lessons learned and evaluation findings about implementation of the strategic plan 2014-2017. | Completed  |
| | | Para 4: <i>Requests</i> UNFPA management to provide an oral update to the Executive Board, at its second regular session 2017, and also to report, at its annual session 2018, on the implementation of the seven recommendations of the evaluation of the architecture supporting the operationalization of the UNFPA strategic plan, 2014-2017 | UNFPA is preparing the presentation for the oral update for 2017 second regular session. | Completed  |
| | | Para 5: <i>Requests</i> UNFPA to continue consultations with United Nations funds and programmes for further alignment of reporting | UNFPA will continue engaging with funds and programmes to further align reporting approaches | Ongoing  |
| | | Para 7: <i>Requests</i> UNFPA to include in its future annual reports a more detailed analysis and reflection on the challenges and lessons learned per outcome area and on the collaboration and coordination within the United Nations system | UNFPA is in the process of defining the structure for analysing the challenges by outcome. UNFPA has started documenting the lessons learned by outcome area. | Ongoing  |
| | | Para 8: <i>Encourages</i> UNFPA in its future annual reports to include a more detailed analysis of the results achieved with regular (core) resources | UNFPA is in the process of defining the systematic changes required to capture the results by fund type | Ongoing  |
| 2017/15 UNFPA Evaluation | Evaluation | Para 4: <i>Encourages</i> UNFPA management to work with the Evaluation Office to continue its efforts to strengthen the implementation rate and coverage of decentralized evaluations and to use the evaluations as learning and knowledge management tools to enhance future programmes | UNFPA management is fully committed to work with the Evaluation Office to continue its efforts to strengthen the implementation rate and coverage of decentralized evaluations and to use the evaluations as learning and knowledge management tools to enhance future programmes. | Ongoing  |
| | | Para 5: <i>Requests</i> UNFPA to further advance collaboration and joint evaluation work with other United Nations entities, especially United Nations funds and programmes | UNFPA will manage several joint evaluations in the next years, including the joint evaluation work on the H4+ partnership; child marriage; and female genital mutilation. | Ongoing  |
| | | Para 6: <i>Also requests</i> the Evaluation Office to present a revision of the current quadrennial evaluation plan, focusing on the remaining period (2018-2019), and propose the inclusion of 2020-2021 in the plan, aligning it with the forthcoming UNFPA strategic plan, 2018-2021 | This will be done at the 2018 Annual Session after consultations with the Board and Senior Management. | Completed  |

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| | | Para 7: <i>Further requests</i> a report on the state of the evaluation function at UNFPA in 2018 | This will be provided in the annual report of the UNFPA Evaluation Office. | Completed  |
| 2017/17 Reports of UNDP, UNFPA and UNOPS on internal audit and investigations | Internal Audit and Investigations | Para. 3: <i>Recalls</i> decision 2016/13, in which the Board expressed concern about recurring weaknesses for both UNDP and UNFPA related to programme management, procurement, governance and financial management, <i>notes</i> that similar challenges have been identified in the 2016 reports, and <i>underscores</i> the urgent need to intensify efforts to address these issues | Action plans have been developed. The progress of actions undertaken is being monitored by the Audit Monitoring Committee on all recurrent issues. | Ongoing  |
| | | Para. 4: <i>Takes note with concern</i> of the 'partially satisfactory' rating for 2016 in the opinions on the governance, risk management and control frameworks of UNDP and UNFPA, and <i>urges</i> UNDP and UNFPA to prioritize action to address the findings and recommendations on their respective governance, risk management and control frameworks; | UNFPA has prepared an action plan to enhance the integrated control framework, inter alia, to address these issues, and has directed additional resources to this effort in 2017. | Ongoing  |
| | | Para. 13: <i>Notes</i> the Audit Advisory Committee's concern regarding delays in the audit process, and <i>urges</i> UNFPA management to facilitate the audit process in a timely manner | UNFPA management has taken necessary action to ensure timely management responses overseen by the Audit Monitoring Committee Secretariat of the Executive Office. | Completed  |
| Follow-up actions from the second regular session 2017 (5-11 September 2017) | | | | |
| 2017/23 UNFPA Strategic Plan, 2018-2021 | Strategic Plan | Para. 4: <i>Requests</i> UNFPA, if changes are made to the common chapter, to align it with UNDP, UNICEF and UN-Women after endorsement by their respective Executive Boards and resubmit it for endorsement by the UNFPA Executive Board | UNFPA to discuss this matter with other organizations | Ongoing  |
| | | and <i>encourages</i> UNFPA to provide details on its implementation in its annual reporting and, when applicable and as appropriate, at the joint meeting of the Executive Boards of UNDP/UNFPA/UNOPS, UNICEF, UN-Women and WFP | UNFPA to discuss this matter with other organizations | Ongoing  |
| | | Para. 5: <i>Also requests</i> UNFPA to provide baselines and targets for the integrated results and resources framework (annex 1) at the first regular session 2018 of the Executive Board | UNFPA is in the process of collecting the baselines and targets | Completed  |
| | | Para. 6: <i>Further requests</i> UNFPA to implement its strategic plan, its annexes and the common chapter, in accordance with the Programme of Action of the International Conference on Population and Development, the Beijing Declaration and Platform for Action and the outcome documents of their reviews, while taking note of the outcome documents of the regional review conferences on population and development, and stressing that those outcomes provide region-specific guidance on population and development beyond 2014 for | Noted. This would be communicated with the strategic plan roll-out strategies | Ongoing  |

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| | | each region that adopted the particular outcome document, as well as in accordance with the 2030 Agenda for Sustainable Development, with the agreement and consent of the host country, taking into account the different national legislation and cultural backgrounds, capacities and levels of development, and respecting national policy space, while remaining consistent with relevant international rules and commitments, and in conformity with universally recognized international human rights | | |
| | | Para. 7: <i>Requests</i> UNFPA to present in the annual report of the Executive Director the progress on the implementation of the UNFPA strategic plan, 2018-2021, and <i>also requests</i> UNFPA to present a midterm review of its strategic plan, 2018-2021, its annexes and the common chapter to the Executive Board at its annual session 2020, taking into account decisions by Member States on the Secretary-General's proposals responding to General Assembly resolution 71/243 | The midterm review of the strategic plan, 2018-2021, is included to the UNFPA evaluation plan. The common chapter will be reviewed with the other United Nations partner organizations after the approval of the UNDP strategic plan in November of 2017. | 2020 AS Ongoing  |
| 2017/24 UNFPA Integrated Budget, 2018- 2021 | Integrated Budget | Para. 2: <i>Requests</i> UNFPA to revise the integrated budget, 2018-2021, based on the results of the Comprehensive Resources Review, in order to increase efficiency and improve the balance between the institutional budget and programmes, in light of the overall decrease in expected resources, with the revised budget to be presented at the second regular session of 2018 | A number of consultations on the comprehensive resources review and the integrated budget took place during 2017 and 2018. The integrated budget, 2018-2021, revision (DP/FPA/2018/8 & Corr.1) was presented for the Executive Board approval at the second regular session 2018. | Completed  |
| | | Para. 3: <i>Also requests</i> UNFPA to take a strategic approach in continuing to identify further savings and efficiency measures, ensuring that functions that contribute to organizational effectiveness and efficiency outputs under the strategic plan, 2018-2021, are maintained | UNFPA continued to align the expected resources with the strategic plan, and undertook a comprehensive resources review to ensure effective and efficient programme and operations delivery. | Completed  |
| | | Para. 10: <i>Endorses</i> the proposal of the Executive Director, similar to decisions 2008/6, 2012/13 and 2013/32, and <i>decides</i> to grant exceptional authority during 2018-2021 to access up to an additional \$5.4 million in regular resources for security measures, provided these are used for new and emerging security mandates, as defined by the directives of the United Nations Department of Safety and Security, and <i>requests</i> UNFPA to report to the Executive Board on the use of those funds in its annual statistical and financial review | UNFPA will utilize this authority only if needed, and in accordance with the agreed conditions. | Ongoing  |
| 2017/25 UNFPA structured funding dialogue | Funding | Para. 3: <i>Requests</i> that UNFPA improve future structured funding dialogues and, in that regard, also requests UNFPA to present a proposal to the Board no later than the second regular session of 2018 on how it plans to use structured funding dialogues as a tool to improve the quality and transparency of funding and better match resources to the outcomes of the strategic plan, 2018 2021 | UNFPA in the process of elaborating a proposal for future funding dialogues in consultation with the other funds and programmes. | Completed  |

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| | <p><i>Para. 4:</i> <i>Encourages</i> UNFPA to present to the Board, for the structured funding dialogues, an overview of funding gaps and an analysis of their impact on the implementation of the strategic plan, taking into account both regular and other resources</p> | UNFPA in the process of elaborating an overview of funding gaps and an analysis of their impact on the implementation of the strategic plan. | Completed  |
| | <p><i>Para. 7:</i> <i>Requests</i> UNFPA to continue to further explore incentives and mechanisms to encourage donor countries and Member States in a position to do so to increase and prioritize regular resources contributions, including through continued improvement in transparency in the use of resources and linking of funding to results, to facilitate a shift to less restricted other resources, aligned to the strategic plan, and to broaden the donor base and attract new sources of funding, including through new approaches to resource mobilization and new forms of support from diversified sources</p> | Incentives and mechanisms are being considered in the context of the implementation of UNFPA resource mobilization strategy. | Ongoing  |
| | <p><i>Para. 8:</i> <i>Further requests</i> UNFPA to continue to elaborate proposals for predictable and sustainable funding of the strategic plan and to regularly engage with the Executive Board on funding issues throughout the year</p> | See actions related to para 3, 4 and 7. | Ongoing  |
| | <p><i>Para. 10:</i> <i>Notes</i> the negative impact of currency fluctuations on both regular and other resources, welcomes the efforts taken to manage exchange rate fluctuations through hedging, and <i>urges</i> UNFPA to further develop its response to currency fluctuations</p> | UNFPA in the process of planning sessions with the Executive Board on structured funding dialogues throughout the year. | Ongoing  |
| | <p><i>Para. 11:</i> <i>Encourages</i> UNFPA, in collaboration with UNDP, UNICEF and UN-Women, to find effective and practicable ways to harmonize administrative and financial systems to facilitate joint programming and implementation, and to present information on progress made in this regard to the Executive Board</p> | Noted. | Ongoing  |