

Full list of recommendations reported as open in April 2021

Directorate/organ	Year of issuance	Topic	Recom. N° (GR-MIS ref)	Recommendation	Other comments from the auditor	Report	Issuer	Deliverables and implementation details (defined in April 2021)	Deadline (defined in April 2021)	Final status (after follow-up by auditors) in April 2021	Counting
CA	2007	Knowledge Management in the UN system	427	RECOMMENDATION 3 : The General Assembly and the respective governing bodies of the United Nations system organizations should make the necessary provisions for the establishment of dedicated knowledge management units within each organization. The knowledge management units should be provided with the necessary financial and human resources, according to the dimension and specific needs of each organization.	(blank)	JIU/REPORT/2007/6 KNOWLEDGE MANAGEMENT IN THE UNITED NATIONS SYSTEM	JIU	The budget assigned to training was set to 1% of the regular budget since 2009-2010.	12/31/2019	In progress	1
CA	2009	Selection and conditions of service of Executive Heads in the UN	452	RECOMMENDATION 1 : The legislative bodies of the United Nations, specialized agencies and IAEA, which have not yet done so, should conduct hearings/meetings with candidates running for the post of executive head, in order to enhance transparency and credibility of the selection process and to make the process more inclusive of all Member States.	(blank)	JIU/REPORT/2009/8 SELECTION AND CONDITIONS OF SERVICE OF EXECUTIVE HEADS IN THE UNITED NATIONS SYSTEM ORGANIZATIONS	JIU	To be discussed with the CA (Council of Administration).	12/31/2019	In progress	1
DIRCAB	2014	Role and Relevance	238	Implementation of a CRM tool to obtain a single list of contacts without duplicates.	Enhance the maintenance of the list of contacts of the International Bureau	Role and Relevance	Internal audit	The implementation of this recommendation is postponed due to tests that have been extended to some member countries and also the ongoing crisis (coronavirus)	9/30/2020	In progress	1
CA	2011	Business continuity	499	RECOMMENDATION 7 : Legislative bodies of the United Nations organizations should, on the basis of the executive heads' budget proposals, provide the necessary financial and human resources for the implementation, continuous monitoring, maintenance and updating of the approved business continuity plans developed on the basis of the organization's BC policy/strategy.	(blank)	JIU/REPORT/2011/6 BUSINESS CONTINUITY IN THE UNITED NATIONS SYSTEM	JIU	The decision has to be made through the budget exercise. UPU will update the BCP by the end of next year (2019).	12/31/2019	In progress	1
DG/DDG	2011	Business continuity	503	RECOMMENDATION 3 : The Executive Heads of the United Nations system organizations who have not done so yet should develop and approve a documented business continuity plan based on a risk assessment, identified critical functions and recovery time objectives.	(blank)	JIU/REPORT/2011/6 BUSINESS CONTINUITY IN THE UNITED NATIONS SYSTEM	JIU	The risk assessment is done. The document for business continuity plan is to be completed by the end of 2019.	12/31/2019	In progress	1
DG/DDG	2011	Business continuity	504	RECOMMENDATION 8 : Executive Heads should ensure that business continuity training be incorporated in the career and staff development courses, including induction training, and that periodic training be provided to critical staff in the organizations as an integral component of business continuity management.	(blank)	JIU/REPORT/2011/6 BUSINESS CONTINUITY IN THE UNITED NATIONS SYSTEM	JIU	The training programme will come along with the document to be prepared.	12/31/2019	In progress	1
DRH	2012	Process for managing working hours and absences	42	I recommend that the UPU update its processes for the management and monitoring of working hours and, in so doing, formalize its related internal control system. Further, an employee departure checklist could be created in addition to the recruitment checklist. The latter could be expanded to include basic training related to the DRH's administrative instructions.	(blank)	Financial audit report on the process for managing working hours and absences	External audit	Monitoring of external audit is ongoing. Employee departure checklist will be implemented this year. Recruitment checklist in use.	By the end of 2021	In progress	1
CA	2010	Administration of Trust funds	473	RECOMMENDATION 7 : The legislative bodies of the United Nations system organizations should review the harmonized cost recovery policies and principles for trust funds and activities financed by other extrabudgetary resources, once they have been agreed within the CEB, with a view to updating the cost recovery policies of their organizations accordingly.	(blank)	JIU/REPORT/2010/7 POLICIES AND PROCEDURES FOR THE ADMINISTRATION OF TRUST FUNDS IN THE UNITED NATIONS SYSTEM ORGANIZATIONS	JIU	UPU has already a policy on cost recovery.	12/31/2019	In progress	1
DCTP	2013	IT audit	22	I invite the UPU to take the necessary steps for all the organization's requests – i.e. from all directorates, and internal and external clients – to be submitted through the EasyVista system. This tool should be used without exception. I note that DL.PIM and the Navision application manager intend to formalize the annual or six-monthly review of users' access rights. I feel that a similar procedure should be introduced for all the organization's applications.	(blank)	IT audit	External audit	[DCTP comments - 02/21]: Q1.2021: in production for PTC. Target to extend the usage to all UPU is: Q1.2022 (taking into account the fact that the congress will happen this year and IB support and DL are strongly involved).	New deadline proposed: Q1.2022	In progress	1
DCTP	2016	IT audit	405	Provide an overall Enterprise Architecture document regarding the entire IT infrastructure (internal and external)	Enterprise architecture needs to be established.	IT Strategy	Internal audit	In progress	6/30/2021	In progress	1

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DG/DDG	2017	Donor-led assessments of UN system organizations	580	RECOMMENDATION 6 : The executive heads of the United Nations system organizations and the Secretary-General, in the context of the United Nations System Chief Executives Board for Coordination, should develop a common position for initiating a high-level dialogue with donors to determine shared priorities and define a multi-stakeholder assessment platform with a robust framework and methodology to capture a collective reflection of an agency's performance and reduce the need for additional bilateral assessments.	(blank)	JIU/REPORT/2017/2 DONOR-LED ASSESSMENTS OF THE UNITED NATIONS SYSTEM ORGANIZATIONS	JIU	This recommendation appears to be more at the CEB level around political messaging and interactions with donors at UN system level.	12/31/2019	In progress	1
DG/DDG	2017	(blank)	609	Recommendation 4: Executive heads of the United Nations system organizations, who have not yet done so, in consultation with the Legal Network of the United Nations system organizations, should take the necessary steps to introduce, by December 2019, adequate legal clauses in contractual agreements with their staff and non-staff, as appropriate, binding them to the period of restriction set for their function that prohibits them from engaging in clearly defined post-employment activities for the duration of that period of time.	(blank)	JIU/REPORT/2017/9 REVIEW OF MECHANISMS AND POLICIES ADDRESSING CONFLICT OF INTEREST IN THE UNITED NATIONS SYSTEM	JIU	(blank)	12/31/2019	In progress	1
CA	2017	Donor-led assessments of UN system organizations	575	RECOMMENDATION 1 : The legislative/governing bodies of the United Nations system organizations should encourage better access to, dissemination of and exchange of information concerning donor assessments among the Member States and should, in this context, call upon the executive heads to make such assessments publicly available by uploading them in an online global repository to be established by the Secretary-General of the United Nations for that purpose not later than 2018.	(blank)	JIU/REPORT/2017/2 DONOR-LED ASSESSMENTS OF THE UNITED NATIONS SYSTEM ORGANIZATIONS	JIU	Assessments are done at a project level and not at an institutional level. There could also exist confidentiality concerns (particularly if the donors are from the private sector) in sharing such project level assessments with third parties. May not be appropriate to implement such a recommendation. This recommendation is to be submitted to the Council of Administration.	12/31/2019	Under consideration	1
DG/DDG	2017	(blank)	598	Recommendation 4: The executive heads of the United Nations system organizations that have not yet done so should regularly update guidance on donor reporting and put in place measures for the professional skills development and training needed to improve reporting to donors, for personnel at headquarters and in the field.	(blank)	JIU/REPORT/2017/7 REVIEW OF DONOR REPORTING REQUIREMENTS ACROSS THE UNITED NATIONS SYSTEM	JIU	This is included in the RM draft strategy	12/31/2019	In progress	1
DG/DDG	2017	(blank)	603	Recommendation 5: enhanced role for the Private Sector Focal Points Network The heads of United Nations organizations should enhance the role and responsibilities of the Private Sector Focal Points Network with regard to sharing knowledge, promoting good practices and finding innovative solutions to problems related to partnerships with the private sector, including by entrusting them with specific tasks and agenda items on which to report.	(blank)	JIU/REPORT/2017/8 THE UNITED NATIONS SYSTEM - PRIVATE SECTOR PARTNERSHIPS ARRANGEMENTS IN THE CONTEXT OF THE 2030 AGENDA FOR SUSTAINABLE DEVELOPMENT	JIU	Partnerships with private sector is becoming instrumental for the Organization. For small organization like UPU it would be very useful to benefit from a system-wide approach in exchanging information and best practices.	43830	In progress	1
CA	2017	Review of air travel policies in the UN system	581	RECOMMENDATION 1 : The legislative bodies of the United Nations system organizations should request their executive heads, who have yet to do so, to establish by 2019 a consistent percentage cost threshold below which the most direct route may be selected in lieu of the most economic route, taking into account the time thresholds established in each organization's travel policy for the selection of the most economic routes.	(blank)	JIU/REPORT/2017/3 REVIEW OF AIR TRAVEL POLICIES IN THE UNITED NATIONS SYSTEM: ACHIEVING EFFICIENCY GAINS AND COST SAVINGS ENHANCING HARMONIZATION.	JIU	DRH was to study in order to make a proposal/reply to CA SS. However, the study did not take place due to unavailability of funds.	12/31/2019	Under consideration	1
DG/DDG	2017	(blank)	607	Recommendation 2: Executive heads of the United Nations system organizations, who have not yet done so, should direct their human resources services to introduce a mandatory conflict of interest disclosure form that should be signed by staff members, along with their declaration of office, by all staff members and other types of personnel joining an organization, whether in a short- or long-term capacity. The form should be developed with the assistance of the ethics function of the respective organization and with other functions, as appropriate, and in consultation with any future inter-agency forum.	(blank)	JIU/REPORT/2017/9 REVIEW OF MECHANISMS AND POLICIES ADDRESSING CONFLICT OF INTEREST IN THE UNITED NATIONS SYSTEM	JIU	In progress	12/31/2019	In progress	1

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DG/DDG	2017	(blank)	610	Recommendation 5: Executive heads of the United Nations system organizations, who have not yet done so, should take the necessary steps, no later than the end of December 2019, to: (a) ensure that all staff members, irrespective of their level and grade, successfully complete the initial and periodic mandatory ethics training course and obtain the respective certification; (b) link certification of the required ethics training course to the annual staff performance appraisal cycle; (c) include ethics training in the induction training of non-staff, including refresher courses after service intervals, as appropriate.	(blank)	JIU/REPORT/2017/9 REVIEW OF MECHANISMS AND POLICIES ADDRESSING CONFLICT OF INTEREST IN THE UNITED NATIONS SYSTEM	JIU	In progress, DRH is working closely with UPU's Governance Programme and organizes yearly with UPU's Ethics officer a training on selected topics. Next training scheduled end of 2020	12/31/2019	In progress	1
DG/DDG	2017	UPU MAR	587	RECOMMENDATION 3 : The Director General should formalize the delegation of authority in the International Bureau by establishing, as soon as possible, the necessary administrative instructions and internal memorandums.	(blank)	JIU/REPORT/2017/4 REVIEW OF MANAGEMENT AND ADMINISTRATION IN THE UNIVERSAL POSTAL UNION (UPU)	JIU	Under Article 127.1 of the General Regulations, the Director General has the sole authority to organize, administer and direct the IB. These powers enable the Director General to delegate his statutory authority as appropriate. Efforts are underway to establish a formal framework for delegation of authority.	12/31/2019	In progress	1
DG/DDG	2018	Whistle-blowing	641	Recommendation 3 Executive heads of United Nations system organizations should update their relevant whistle-blower policies by 2020 to address shortcomings and gaps identified in the JIU best practices ratings.	(blank)	JIU/REPORT/2018/4 REVIEW OF WHISTLE-BLOWER POLICIES AND PRACTICES IN UNITED NATIONS SYSTEM ORGANIZATIONS	JIU	In progress. Review will be done with UPU's Governance Programme.	12/31/2020	In progress	1
DG/DDG	2018	Whistle-blowing	648	Recommendation 10 By the end of 2019, executive heads of United Nations system organizations should ensure that all supervisors and managers are required to complete specific training on whistleblowing policies and on how to appropriately respond to and handle misconduct/wrongdoing and retaliation reports.	(blank)	JIU/REPORT/2018/4 REVIEW OF WHISTLE-BLOWER POLICIES AND PRACTICES IN UNITED NATIONS SYSTEM ORGANIZATIONS	JIU	Is part of the close collaboration between DRH and Governance Programme and organization of trainings with UPU's Ethics Officer on selected topics.	12/31/2019	In progress	1
DG/DDG	2018	Whistle-blowing	649	Recommendation 11 By 2020, executive heads of United Nations system organizations should conduct global staff surveys on a biennial basis, in order to gauge staff views on "tone at the top" issues, accountability and ethics-related topics and to develop a comprehensive action plan to address the issues identified.	(blank)	JIU/REPORT/2018/4 REVIEW OF WHISTLE-BLOWER POLICIES AND PRACTICES IN UNITED NATIONS SYSTEM ORGANIZATIONS	JIU	As part of the annual Ethics training, a questionnaire is sent out to participants for them to express their opinion. The questionnaire is going to be updated accordingly to address this recommendation.	12/31/2020	In progress	1
DRH	2018	Human resources	626	Recommendation 9: We recommend to define BCM strategy/procedure for the payroll process. This would ensure that critical business processes can be maintained in the event of a major internal or external incidents. Such would encloses, for example, the following aspects: - Definition of and determination of scope of the BCM; - Anchoring of the BCM in the corporate organisation; - Definition of roles and responsibilities in connection with the BCM; - Definition of threats and their impact on the company's resources; - Definition of the frequency with which reviews and tests of plans and measures will be carried out; - Definition of reporting, communication and training.	UPU is not able o function (in the payroll process) when the staff and/or infrastructure (buildings or workstations, management infrastructure, telecommunications) are no longer available, or available on a limited basis.	Human Resources management and Business Continuity Management (BCM) in the payroll process	Internal audit	BCM and back for payroll in place. All staff have been working remotely without any major issues since March 2020. Payslip has been distributed electronically since May 2020.	12/31/2019	In progress	1
DFI	2018	Financial statements	629	Recommendation 2 The SFAO recommends that the UPU prepare concrete proposals for the 2018 Extraordinary Congress, so that the organization's supreme body can take the necessary decisions to resolve the problem of recapitalizing the UPU Provident Scheme and ensure the organization's sustainability.	Although operational continuity may not be threatened in the short term, the SFAO still considers the financial situation of the UPU to be worrisome.	Audit of 2017 financial statements	External audit	resolution C7 of Congress 2018 + 24 mio CHF voluntary contribution from USA	12/31/2020	In progress	1

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DFI	2018	Budget	638	Recommendation 3: We recommend to actualize the existing internal procedure to reflect the annual budgeting process and its related controls. We recommend to include the controls performed during the year enabling the accurate execution of the budgeting process and of the following of the actual figures during the year.	Currently, there is no actual internal procedure describing the annual budgeting process performed by the finance Directorate. Moreover, there is no internal procedure describing the work performed, including the controls, during the year by the Finance Directorate to ensure a timely review of actual figures. Such a procedure would allow a third party to take over the work in the absence of the responsible employee.	Product and services	Internal audit	Processes to be updated by 31.12.19	12/31/2019	In progress	1
DCTP / DFI / DRH	2018	Financial statements	628	Recommendation 1 The SFAO recommends that the UPU apply recognized best practices in change management and access rights for the Navision application across all units of the organization.	The SFAO has verified the existence of general IT controls and has found them to be only partially adequate. Some best practices are already being followed adequately by the PTC, but this is not the case across all units of the organization. IT processes relating to finance or human resources should therefore be aligned with the processes of the PTC.	Audit of 2017 financial statements	External audit	PTC is working on IT controls on DRH access to Navision.	End of 2019	In progress	1
CA	2019	(blank)	666	Recommendation 1 The governing bodies of the organizations of the United Nations system should request the secretariats of their organizations to present a map of interlinkages between the core mandate of their organizations and disaster risk reduction and report on the progress made on disaster risk reduction accordingly, using the specific guidance provided by the "Results Framework of the United Nations Plan of Action on Disaster Risk Reduction for Resilience – guidance for monitoring and reporting on the progress of the implementation of the United Nations Plan for Action on disaster risk reduction".	(blank)	JIU/REPORT/2019/3 REVIEW OF THE INTEGRATION OF DISASTER RISK REDUCTION IN THE WORK OF THE UNITED NATIONS SYSTEM IN THE CONTEXT OF THE 2030 AGENDA FOR SUSTAINABLE DEVELOPMENT	JIU	UPU's activities on Disaster Risk Management and Sustainable Development are based on the Memorandum of Cooperation (MOC) with the Government of Japan and other official documents approved by the Congress of the UPU. Activities and progress in these areas are reported to the Council of Administration twice a year, and the reports are uploaded on the UPU website.	N/A	In progress	1
DG/DDG	2019	(blank)	650	Recommendation 1 The executive heads of United Nations system organizations should task the relevant offices with developing, by the end of 2020, a draft policy on the accessibility of conferences and meetings for persons with disabilities, as well as guidelines for policy implementation, and present them to their respective legislative bodies, should the endorsement of those bodies be required for the policy to take effect.	(blank)	JIU/REPORT/2018/6 ENHANCING ACCESSIBILITY FOR PERSONS WITH DISABILITIES TO CONFERENCES AND MEETINGS OF THE UNITED NATIONS SYSTEM	JIU	In progress. A policy was reviewed by the JCC (Joint Consultative Committee) and is pending the DG's approval.	End of 2020	In progress	1
DG/DDG	2019	(blank)	654	Recommendation 5 The executive heads of United Nations system organizations should make it mandatory for organizers of meetings and conferences to ensure, by December 2021, that: (a) The participation of persons with disabilities is fully supported by registration processes that are accessible for persons with diverse disabilities; (b) Clauses are included in accessible registration forms to ask specifically about accessibility requirements; (c) Information on accessible facilities and services is disseminated to all potential participants through accessible websites and information notes; (d) Accessible post-conference and post-meeting satisfaction surveys consistently include questions to assess satisfaction with the accessibility of facilities and services.	(blank)	JIU/REPORT/2018/6 ENHANCING ACCESSIBILITY FOR PERSONS WITH DISABILITIES TO CONFERENCES AND MEETINGS OF THE UNITED NATIONS SYSTEM	JIU	In progress. All above actions are taken when organizing events. The information will be added on the software which will be used in the future. At this time, the solution is not defined yet.	12/1/2021	In progress	1
CA	2019	(blank)	664	Recommendation 4 The legislative and governing bodies of the United Nations system organizations should review the UN-Women annual letter addressed to the executive management, accompanied by indications of strategies and measures envisioned by the executive heads to be undertaken to improve compliance with the indicators included in the System-wide Action Plan and their expected contribution to gender equality and the empowerment of women.	(blank)	JIU/REPORT/2019/2 REVIEW OF THE UNITED NATIONS SYSTEM-WIDE ACTION PLAN ON GENDER EQUALITY AND THE EMPOWERMENT OF WOMEN	JIU	As outlined in the document of CA 2020.1–Doc 22.Rev 1, this topic will be submitted to the Abidjan Congress for its initial approval to develop/implement the UPU's policy of gender equality and for identification of a UPU's official gender focal point. Following the Abidjan Congress' decision, the Director General will be mandated to establish an organizational strategy as well as action plan for gender equality and empowerment of women. In light of the above, DRH is not in a position to implement the aforementioned recommendation.	N/A	In progress	1

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DG/DDG	2019	(blank)	662	Recommendation 1 The executive heads of the United Nations system organizations should critically assess on a regular basis the quality assurance mechanisms in place in their organization to ensure that ratings by indicator under the United Nations System-wide Action Plan on Gender Equality and the Empowerment of Women are accurate according to the technical notes issued by the United Nations Entity for Gender Equality and the Empowerment of Women and that such ratings are appropriately supported by evidence.	(blank)	JIU/REPORT/2019/2 REVIEW OF THE UNITED NATIONS SYSTEM-WIDE ACTION PLAN ON GENDER EQUALITY AND THE EMPOWERMENT OF WOMEN	JIU	As outlined in the document of CA 2020.1–Doc 22.Rev 1, this topic will be submitted to the Abidjan Congress for its initial approval to develop/implement the UPU's policy of gender equality and for identification of a UPU's official gender focal point. Following the Abidjan Congress' decision, the Director General will be mandated to establish an organizational strategy as well as action plan for gender equality and empowerment of women. In light of the above, DRH is not in a position to implement the aforementioned recommendation.	N/A	In progress	1
DG/DDG	2019	(blank)	663	Recommendation 2 Before the end of 2020, the members of the United Nations System Chief Executives Board for Coordination should coordinate within the Board's existing mechanisms to undertake a comprehensive review of the results achieved following the implementation of the first phase of the United Nations System-wide Action Plan on Gender Equality and the Empowerment of Women and provide a forum for endorsing the framework as revised in 2018.	(blank)	JIU/REPORT/2019/2 REVIEW OF THE UNITED NATIONS SYSTEM-WIDE ACTION PLAN ON GENDER EQUALITY AND THE EMPOWERMENT OF WOMEN	JIU	As outlined in the document of CA 2020.1–Doc 22.Rev 1, this topic will be submitted to the Abidjan Congress for its initial approval to develop/implement the UPU's policy of gender equality and for identification of a UPU's official gender focal point. Following the Abidjan Congress' decision, the Director General will be mandated to establish an organizational strategy as well as action plan for gender equality and empowerment of women. In light of the above, DRH is not in a position to implement the aforementioned recommendation.	End of 2020	In progress	1
DG/DDG	2019	(blank)	665	Recommendation 5 Before the completion of the System-wide Action Plan 2.0, the executive heads of the United Nations system organizations should ensure an independent assessment of effective progress towards gender mainstreaming to promote gender equality and the empowerment of women within their organization, using the Action Plan as a benchmark, as applicable.	(blank)	JIU/REPORT/2019/2 REVIEW OF THE UNITED NATIONS SYSTEM-WIDE ACTION PLAN ON GENDER EQUALITY AND THE EMPOWERMENT OF WOMEN	JIU	As outlined in the document of CA 2020.1–Doc 22.Rev 1, this topic will be submitted to the Abidjan Congress for its initial approval to develop/implement the UPU's policy of gender equality and for identification of a UPU's official gender focal point. Following the Abidjan Congress' decision, the Director General will be mandated to establish an organizational strategy as well as action plan for gender equality and empowerment of women. In light of the above, DRH is not in a position to implement the aforementioned recommendation.	N/A	In progress	1
DG/DDG	2019	(blank)	679	Recommendation 2 Executive heads should, by the end of 2021, review all administrative issuances to clarify how inter-agency mobility is treated in each of those contexts.	(blank)	JIU/REPORT/2019/8 REVIEW OF STAFF EXCHANGE AND SIMILAR INTER-AGENCY MOBILITY MEASURES IN UNITED NATIONS SYSTEM ORGANIZATIONS	JIU	For implementation by end 2021 the inter-agency mobility within the UN System, the aforementioned recommendations requires Director General's authorization in order for Director, DRH to take necessary actions To facilitate the inter-agency mobility, the UPU is required to (a) enter into an Agreement of Mutual Recognition for the purpose of promoting staff mobility within the UN system Agencies, (b) establish roster selection process, (c) establish generic post descriptions (of common interests) based on the UN CCOG codes such as: communication, HR, Finance, statisticians, IT, social development, legal/political affairs, e-commerce etc.	12.31.2021	In progress	1
DG/DDG	2019	(blank)	680	Recommendation 3 Executive heads of organizations party to the 2012 Agreement should not apply the practice of asking incoming staff to resign instead of agreeing to transfers in view of its corrosive effect on the integrity of the inter-agency mobility regime and the immaterial impact of these transfers on the management of long-term employment-related liabilities, and decide by the end of 2021 to accept benefits and entitlements on the basis stipulated in the Agreement.	(blank)	JIU/REPORT/2019/8 REVIEW OF STAFF EXCHANGE AND SIMILAR INTER-AGENCY MOBILITY MEASURES IN UNITED NATIONS SYSTEM ORGANIZATIONS	JIU	For implementation by end 2021 the inter-agency mobility within the UN System, the aforementioned recommendations requires Director General's authorization in order for Director, DRH to take necessary actions To facilitate the inter-agency mobility, the UPU is required to (a) enter into an Agreement of Mutual Recognition for the purpose of promoting staff mobility within the UN system Agencies, (b) establish roster selection process, (c) establish generic post descriptions (of common interests) based on the UN CCOG codes such as: communication, HR, Finance, statisticians, IT, social development, legal/political affairs, e-commerce etc.	12.31.2021	In progress	1

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DG/DDG	2019	(blank)	681	Recommendation 4 Executive heads should, by the end of 2021, revise the 2012 Agreement to specify procedures for the handling of allegations of misconduct by staff who have moved to another organization under the terms of the Agreement.	(blank)	JIU/REPORT/2019/8 REVIEW OF STAFF EXCHANGE AND SIMILAR INTER-AGENCY MOBILITY MEASURES IN UNITED NATIONS SYSTEM ORGANIZATIONS	JIU	For implementation by end 2021 the inter-agency mobility within the UN System, the afore-mentioned recommendations requires Director General's authorization in order for Director, DRH to take necessary actions To facilitate the inter-agency mobility, the UPU is required to (a) enter into an Agreement of Mutual Recognition for the purpose of promoting staff mobility within the UN system Agencies, (b) establish roster selection process, (c) establish generic post descriptions (of common interests) based on the UN CCOG codes such as: communication, HR, Finance, statisticians, IT, social development, legal/political affairs, e-commerce etc.	12.31.2021	In progress	1
DG/DDG	2019	(blank)	684	Recommendation 8 Executive heads should enable all United Nations system staff members to compete for vacant posts on a basis equal to that established for their own staff, while considering downsizing contexts, the abolition of posts and positions, and the administration of rotational placements.	(blank)	JIU/REPORT/2019/8 REVIEW OF STAFF EXCHANGE AND SIMILAR INTER-AGENCY MOBILITY MEASURES IN UNITED NATIONS SYSTEM ORGANIZATIONS	JIU	For implementation by end 2021 the inter-agency mobility within the UN System, the afore-mentioned recommendations requires Director General's authorization in order for Director, DRH to take necessary actions To facilitate the inter-agency mobility, the UPU is required to (a) enter into an Agreement of Mutual Recognition for the purpose of promoting staff mobility within the UN system Agencies, (b) establish roster selection process, (c) establish generic post descriptions (of common interests) based on the UN CCOG codes such as: communication, HR, Finance, statisticians, IT, social development, legal/political affairs, e-commerce etc.	(blank)	In progress	1
DRH	2019	Communications	696	Recommendation 2 We recommend to systematically communicate all modifications.	Finding: Changes made in administrative instructions are not systematically communicated to staff members. Risks: Staff members are not aware of the changes and do not follow the administrative instructions.	Communication at the IB	Internal audit	Internal memorandum are now communicated on a regular basis though internal memos to all staff.	(blank)	In progress	1
DFI	2019	Financial statements	674	Recommendation 1 The SFAO recommends that the DFI take steps to improve the ICS for account closure and financial statement preparation by the end of the 2019 financial year.	(blank)	Audit of 2018 financial statements	External audit	Closing processes under review to improve ICS for account closure	End of 2020	In progress	1
DFI	2019	Provident Scheme	691	Recommendation 1 Expert opinion on the effects of the immunity assessment of the persons responsible for the Pension Fund, in particular with regard to: - Liability risks for members of the Board of Trustees, taking into account the special situation of the UPU Pension Fund (other bodies and supervisory authorities have been making recommendations for several years regarding the restructuring of the Pension Fund, which are not implemented by the Pension Fund) - Duty of subordination (direct supervision, BVG Guarantee Fund) and its consequences (Gap analysis on additional regulatory requirements to be respected).	Finding: The fact that the Pension Fund has been de facto unrecoverable in the past must be seen in the context of the assessment that the applicable supervisory structures and recommendations of the Pension Fund bodies were applied partially only in the past due to its special status as a supranational organization and on the decisions of the congress not supporting financial measures in the extent necessary to restructure the fund. To the best of our current knowledge, a detailed analysis on which regulations are to be respected in addition was not carried out in the necessary deth required. Risks: - Significant financial liability risks for the persons responsible - Significant publicity risk for the UPU as an employer with a worst-case impact on the UN should it not be possible to stabilise the UPU Pension Fund.	Pension Fund	Internal audit	An amortization plan will be proposed to Congress to solve the situation in the long term	12/31/2020	In progress	1

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DFI	2019	Provident Scheme	692	Recommendation 2 Clarify the possibilities of participation to the LOB Guarantee Fund.	<p>Finding: Due to the assessment of the legal situation as lined out earlier in this document, the effectiveness of the ordinary supervisory authorities and other supervisory bodies and institutions for pension funds in Switzerland, are weakened. Furthermore, the UPU Pension Fund does not contribute to the LOB Guarantee Fund.</p> <p>Risks: Still de facto inability to rehabilitate. The supervisory authorities have no effective means of intervening to restructure the pension fund. The fact that the LOB Guarantee Fund is not subject to the LOB Guarantee Fund means that it cannot be assumed that at least the minimum LOB benefits paid by the LOB Guarantee Fund will be considered worst-case. This is despite the fact that the contributions would appear to be minimal in view of the existing risks.</p>	Pension Fund	Internal audit	Not possible	(blank)	In progress	1
DFI	2019	Provident Scheme	693	Recommendation 3 Review by the task force of the composition, tasks, know-how and competencies for the preparation of a restructuring plan. High actuarial competence and specific legal BVG know-how on the one hand, and the allocation of the necessary decision-making powers on the other, are of central importance here. It is recommended that the task force be supplemented by an external expert, such as the pension insurance expert in charge, or at least that the refinancing concept be drawn up in close consultation with the latter.	<p>Finding: The installation of a task force is judged to be positive. In order to achieve its urgently needed de facto effectiveness in improving the financial situation, an exceptionally high degree of legal and actuarial competence on the one hand, and the provision of the necessary competences on the other, appears to be a basic prerequisite.</p> <p>Risks: - Risk of further delaying the financial improvement, the task force should not have the necessary prerequisites.</p>	Pension Fund	Internal audit	An amortization plan will be proposed to Congress to solve the situation in the long term	12/31/2020	In progress	1
DFI	2019	Provident Scheme	694	Recommendation 4 Respect of the recommendations of external auditors, oversight authority and pension fund expert and financial support in the course of the budgeting process, including support for such measures by the congress.	<p>Finding: Irrespective of the assessment as to the immunity of the Pension Fund UPU, the continuous non-respect of the specific recommendations of the supervisory authority, external auditors and external pension insurance experts appears to be suitable for further increasing the risk exposure of the other persons responsible for the UPU, in particular the members of the Board of Trustees on the one hand, and the publicity risk for the UPU itself on the other. With regard to recommendations for the refinancing of the UPU Pension Fund by external bodies, we note that the content of these recommendations must be regarded as well-founded and that they largely correspond to our assessment of the situation. In view of the financing situation, it should also be borne in mind that, in addition to the obvious imbalance in current financing (benefit obligations vs. contribution payments), the so-called 'third contributor', the performance of the investments, is in danger of continuously losing its effect and contribution due to a further delay in effective refinancing measures. As at 31 December 2018, for example, only around 72% of the minimum necessary asset amount is still available, on which a performance can be achieved in positive years on the stock markets, so that a restructuring on one's own merits without further financial support can no longer be regarded as realistically feasible. It is understood that the non-support of additional means by the congress heavily endangers the necessary refinancing of the UPU Pension Fund.</p> <p>Risks: - Significant financial liability risks for the persons responsible - Significant publicity risk for the UPU as an employer with a worst-case impact on the UN should it not be possible to stabilise</p>	Pension Fund	Internal audit	An amortization plan will be proposed to Congress to solve the situation in the long term	12/31/2020	In progress	1
DFI	2019	Finance	690	Recommendation 5 We would recommend to revise and tighten the regulations with the intention to improve the payment behaviour of the countries.	<p>Finding: During our tests we determined the following points - One yearly contribution can remain unpaid and will never appear on the reminder list. - The payment of CHF 1 extends the sanctions up to one year. - It is possible to refrain the yearly contribution for four consecutive years without being sanctioned.</p> <p>Risks: In case that one yearly contribution of every country remains open for an undefined time, the budget of an entire year can be lost. Furthermore the fact, that a country can omit the payment for a total of 4 consecutive years without having any sanctions would result in a lack of cash for the UPU.</p>	Financing	Internal audit	The task force on financing is currently looking in this matter and should make recommendations to the next Congress.	12/31/2020	In progress	1
CA	2020	(blank)	731	Recommendation 4 By the end of 2022, legislative/governing bodies of participating organizations should request executive heads to report on the outcomes of a comprehensive review of the organization's implementation of ERM against JIU benchmarks 1 to 9, as outlined in the present report.	(blank)	JIU/REPORT/2020/5 ENTERPRISE RISK MANAGEMENT: APPROACHES AND USES IN UNITED NATIONS SYSTEM ORGANIZATIONS	JIU	This is going to be implemented after the implementation of recommendation 2.	(blank)	In progress	1
DG/DDG	2020	(blank)	729	Recommendation 2 By the end of 2021, executive heads should undertake a comprehensive review of their ERM implementation against JIU benchmarks 1 to 9, as outlined in the present report.	(blank)	JIU/REPORT/2020/5 ENTERPRISE RISK MANAGEMENT: APPROACHES AND USES IN UNITED NATIONS SYSTEM ORGANIZATIONS	JIU	To be implemented in 2021.	(blank)	In progress	1

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CA	2020	(blank)	742	Recommendation 1 The legislative or governing bodies of the United Nations system organizations should request the executive heads of their respective organizations that have not yet done so, to prepare a strategic policy framework for multilingualism, accompanied by administrative and operational guidelines for its implementation, and submit this for adoption by the end of 2022.	(blank)	JIU/REPORT/2020/6 MULTILINGUALISM IN THE UNITED NATIONS SYSTEM	JIU	Existing Administration Instructions to be reviewed on knowledges required when recruiting, on language training for fixed term contracts during the trial period and the 3 first years on no attendance during trainings. The conditions: the training budget is available.	End of 2022	In progress	1
CA	2020	(blank)	749	Recommendation 2 The legislative organs and governing bodies of the United Nations system organizations that have not yet done so should, by the end of 2022, direct the executive heads to embed environmental sustainability considerations into the management of their organizations and request them to include in the annual report on the work of the organization the results of efforts to mainstream environmental sustainability in the internal management functions of the organization.	(blank)	JIU/REPORT/2020/8 REVIEW OF MAINSTREAMING ENVIRONMENTAL SUSTAINABILITY ACROSS ORGANIZATIONS OF THE UNITED NATIONS SYSTEM	JIU	For the same reasons stated in recommendation 1, the IB would also be able to embed Environmental Sustainability considerations into the management of the organization. However, the drafting of an annual report to include environmental sustainability related work will be decided upon during the next Congress cycle.	End of 2022	In progress	1
CA	2020	(blank)	758	Recommendation 1 The governing bodies of the United Nations system organizations should ensure that, when applicable, the use of blockchain applications will be integrated, together with other digital technologies, into the innovation strategies and policies adopted by their respective organizations.	(blank)	JIU/REP/2020/7 BLOCKCHAIN APPLICATIONS IN THE UNITED NATIONS SYSTEM: TOWARDS A STATE OF READINESS	JIU	This will be implemented. However, UPU is already well advanced in digital technologies with a large IT team at its disposal.	(blank)	In progress	1
CA	2020	(blank)	762	Recommendation 6 The governing bodies of the United Nations system organizations should encourage Member States to engage with the United Nations Commission on International Trade Law in its exploratory and preparatory work on legal issues that relate to blockchain in the broader context of the digital economy and digital trade, including on dispute resolution, which is aimed at reducing legal insecurity in that field.	(blank)	JIU/REP/2020/7 BLOCKCHAIN APPLICATIONS IN THE UNITED NATIONS SYSTEM: TOWARDS A STATE OF READINESS	JIU	DAJ will be solicited in the implementation of this recommendation.	(blank)	In progress	1
DFI	2020	Financial statements	725	Recommendation 2 The SFAO recommends that the UPU reduce its risk by investing funds only in banks or other institutions offering a high level of security.	Evaluation of the SFAO The UPU is exposed to a significant credit risk in so far as it has invested funds of 1,180,446 CHF in a bank rated only BBB by recognized rating agencies. As a reminder, article 18 of the Financial Regulations states that "The Director General shall choose the banks or other institutions in which the funds shall be deposited. In this respect, optimum security shall be sought [...]". Comments by the Director General The General Management agrees with this recommendation and will take measures to reduce its credit risk by investing its liquid assets with banks or other institutions offering a high level of security. (Scheduled date for implementation: December 2020)	Audit of 2019 financial statements	External audit	(blank)	44196	In progress	1
DFI	2020	Financial statements	726	Recommendation 3 The SFAO recommends that the UPU examine its receivables management procedure with a view to eliminating the existing weaknesses. It should also explore the possibility of fully utilizing the Navision accounting system to avoid the need for any manual restatements when preparing financial statements.	Evaluation of the SFAO The SFAO identified a number of issues in relation to accounts receivable and revenue. Receivables management in accounting could therefore be improved. In addition, all receivables, whether for exchange or non-exchange transactions, are recorded in the same subledger. Restatements and reclassifications sometimes have to be done manually in Excel when preparing financial statements, particularly when calculating provisions. Such practices should be avoided as far as possible. Comments by the Director General The General Management agrees with this recommendation. The optimization of debt management will be analyzed and closing procedures will be adapted accordingly. (Scheduled date for implementation: December 2020)	Audit of 2019 financial statements	External audit	(blank)	44196	In progress	1
DG/DDG	2020	(blank)	706	Recommendation 2 The executive heads of United Nations system organizations who have not yet done so should ensure that the heads of internal oversight offices periodically review and, where necessary, update their investigation policies and guidance on the basis of new developments, the jurisdiction of the administrative tribunals, lessons learned and good practices. In doing so, due attention should be paid to ensure coherence with applicable provisions of other existing relevant rules, regulations and policies.	(blank)	JIU/REPORT/2020/1 REVIEW OF THE STATE OF THE INVESTIGATION FUNCTION: PROGRESS MADE IN THE UNITED NATIONS SYSTEM ORGANIZATIONS IN STRENGTHENING THE INVESTIGATION FUNCTION	JIU	The reform of justice is under review.	(blank)	In progress	1

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DG/DDG	2020	(blank)	748	Recommendation 1 The executive heads of United Nations system organizations that have not yet done so should, by the end of 2022, develop an organization-wide policy for environmental sustainability in the areas of internal management functions.	(blank)	JIU/REPORT/2020/8 REVIEW OF MAINSTREAMING ENVIRONMENTAL SUSTAINABILITY ACROSS ORGANIZATIONS OF THE UNITED NATIONS SYSTEM	JIU	The IB has included a work proposal (1.1.22) in the Abidjan Strategy for the adoption by the IB of an agency-specific sustainability strategy. If approved by Congress, the measures in this recommendation can be adopted by end 2022.	End of 2022	In progress	1
DG/DDG	2020	(blank)	750	Recommendation 3 The executive heads of the United Nations system organizations should, by the end of 2022, devote adequate resources in specific budget plans, including by better utilizing existing available resources, to mainstreaming environmental sustainability in their respective organizations, and report on the implementation to their legislative organs and governing bodies from 2023.	(blank)	JIU/REPORT/2020/8 REVIEW OF MAINSTREAMING ENVIRONMENTAL SUSTAINABILITY ACROSS ORGANIZATIONS OF THE UNITED NATIONS SYSTEM	JIU	The UPU's ability to implement this recommendation is dependent upon the agreement of member countries to approve the necessary funding.	End of 2022	In progress	1
DG/DDG	2020	(blank)	759	Recommendation 2 The executive heads of the United Nations system organizations should make sure that the examination of possible blockchain use cases will be based on assessments of project risks, including with respect to relevant organizational policies and regulations on privileges and immunities, data protection, confidentiality, cybersecurity, system integrity, and reputation.	(blank)	JIU/REP/2020/7 BLOCKCHAIN APPLICATIONS IN THE UNITED NATIONS SYSTEM: TOWARDS A STATE OF READINESS	JIU	This will be implemented.	(blank)	In progress	1
DG/DDG	2020	(blank)	760	Recommendation 3 The executive heads of the United Nations system organizations, if they have not already done so, should endorse the Principles for Digital Development by the end of 2022, as a first step to ensuring a general common understanding of digital transformation at the organizational level, including the possible use of blockchains.	(blank)	JIU/REP/2020/7 BLOCKCHAIN APPLICATIONS IN THE UNITED NATIONS SYSTEM: TOWARDS A STATE OF READINESS	JIU	This will be implemented. UPU takes good note of the 9 principles for Digital Development.	End of 2022	In progress	1
DG/DDG	2020	(blank)	761	Recommendation 4 The executive heads of the United Nations system organizations should ensure that any decision on using blockchain should be based on an appropriate determination of the business case and of the most suitable solution, using as guidance a decision-making matrix (as described in the present report, as well as any enhancements and/or adaptations).	(blank)	JIU/REP/2020/7 BLOCKCHAIN APPLICATIONS IN THE UNITED NATIONS SYSTEM: TOWARDS A STATE OF READINESS	JIU	This will be implemented.	(blank)	In progress	1
DG/DDG	2020	(blank)	763	Recommendation 8 The executive heads of the United Nations system organizations, through the relevant coordination mechanisms, including with support from the United Nations International Computing Centre, should consider the adoption of a non-binding inter-agency blockchain governance framework for use by interested organizations, with a view to ensuring coherent and consistent blockchain approaches across the system by the end of 2022, including for projects that may involve multiple United Nations organizations.	(blank)	JIU/REP/2020/7 BLOCKCHAIN APPLICATIONS IN THE UNITED NATIONS SYSTEM: TOWARDS A STATE OF READINESS	JIU	This will be implemented.	End of 2022	In progress	1
DIRCAB	2020	Business continuity	738	Recommendation 2 We recommend that you always keep an eye on the current discussions regarding labor law and evaluate, in which way UPU wants to implement the decisions that are valid under Swiss Law.	Finding The payment of expenses caused by teleworking is not regulated. Risks Unexpected costs due to employee requests for cost sharing of additional costs in the home office	Management of the Business Continuity in relation to COVID19	Internal audit	(blank)	44561	In progress	1

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DL	2020	Financial statements	724	<p>Recommendation 1 The SFAO recommends that the UPU define a concept and then put in place professional tools to enable it to act as building owner and protect the value of the main building in the long term.</p>	<p>Evaluation of the SFAO The UPU building is exposed to risks related to dilapidation and above all safety. Certain work is vital as the electrical installations and fire protection system are obsolete and need to be brought up to current standards. In the estimation of the architectural consultant, the cost of the most urgent work would be 19.5 million CHF. This would have a considerable impact on an already very critical financial situation.</p> <p>Comments by the Director General As part of the building renovation plans, the International Bureau is currently analyzing management models that incorporate the role of the building owner to ensure that the value of the main building is preserved. The development phases of the project will follow a schedule jointly drawn up by the host state, the FIPOI (the Building Foundation for International Organizations) and the UPU General Management. Furthermore, the Director General is proposing the inclusion of a reference to the future creation of a renovation reserve and a maintenance fund, in line with best practice. (Scheduled date for implementation: late 2024)</p>	Audit of 2019 financial statements	External audit	La DL a déjà demandé d'inclure dans le programme et budget 2021 - 2025 un certain montant pour un fonds de rénovation ainsi que pour la maintenance annuelle du bâtiment. La DL est en contact avec la FIPOI, le pays hôte ainsi qu'avec une entreprise privée pour trouver le budget nécessaire aux travaux de rénovation les plus urgents.	late 2024	In progress	1
DL	2020	Financial statements	727	<p>Recommendation 4 The SFAO recommends inventorizing the UPU stamp collection. In addition, to improve the physical protection of the collection, plans should be made to relocate collection B.</p>	<p>Evaluation of the SFAO The management of the UPU stamp collection is inadequate. Additional security measures should be taken.</p> <p>Comments by the Director General The Director General has evaluated the cost of inventorizing the UPU stamp collection and protecting its assets. The inventory and protection costs as proposed are considered disproportionate. The International Bureau will not be implementing this recommendation as it stands. However, the International Bureau proposes that these assets should be valued at 2.5 million CHF for insurance purposes. With respect to the physical protection of the UPU stamp collection, arrangements are being made with the Museum of Communication. (Scheduled date for implementation: December 2021)</p>	Audit of 2019 financial statements	External audit	<p>Implementation of a 3-phase plan :</p> <ul style="list-style-type: none"> - 1st phase: physical reorganisation of the UPU stamp collection and separation of collections A and B (2019-2021) - 2nd phase: electronic archiving and digitisation (2021-2024) - 3rd phase: inventory and valorisation of the universal stamp collection (2024-2027) <p>For the physical conservation of Collection B, the International Bureau has contacted companies and institutions specializing in archiving to determine the cost of storing this collection (space, procedure and period). An analysis will then be conducted which would cover access control, storage infrastructure and natural risks in order to guarantee the security and durability of the physical collection.</p>	12/31/2021	In progress	1
DRH	2020	Business continuity	737	<p>Recommendation 1 As home office is still practiced, we recommend to evaluate whether a defined attendance time is needed and evaluate whether it would make sense, with reference to the Swiss law, to have the working hours written down by the employees and controlled by superiors.</p>	<p>Finding Predefined working hours exist for working in the office. On the other hand no core period, when employees have to be online is defined for working remotely at home. Furthermore the working time is not traced, as badging at home is not possible.</p> <p>Risks Some employees may not work or work more than legally allowed. Supervision seems to be more difficult. No traceability of the hours worked and consequently problems with the control authorities. Problems in case of accident or departure of an employee.</p>	Management of the Business Continuity in relation to COVID19	Internal audit	DRH is gathering information on other agencies practices. For the time being, the organization is relying on managers to monitor staff members' remote working time.	44561	In progress	1
DCTP	2020	IT audit	719	<p>Recommendation 1 We recommend that the process described in document IS-DOC-A16-021-InfoSec Incident Management Procedure is trained internally and, if necessary, extended with a process specialized for phishing or hacking attacks. At the same time, IT staff as well as all other employees should be clearly trained which department, team or point of contact should be informing about such attacks and to which department, team or point of contact such attacks should be reported.</p> <p>If an alert message is sent to all the employees we recommend sending a screenshot of the phishing message attached to the warning instead of forwarding the message itself. It should tell you what to do if you have already clicked on the link and what the IT department will do to calm the situation down.</p> <p>In addition to these procedural recommendations, IT can also make technical interventions that can prevent the further spread of such an attack after it has been detected. We recommend to immediately block all systems involved in a phishing incident (e-mail sender, IP address, domains of embedded links, etc.) in case of an emergency in order to prevent sensitive data from being transmitted to attackers.</p>	<p>Finding: At 9:23 a.m. and 9:24 a.m. three participants (member of the IT staff) sent e-mail alerts to all IB employees. Those e-mails were sent independently from each other. The reaction seems uncoordinated, as two e-mails were sent one minute apart from each other and with different style and wording. Such reaction is generally as likely to further confuse employees as it is to help them.</p> <p>One alert included the forwarded phishing message with a fully functional phishing link.</p> <p>Risks: Create panic and overreactions among staff members because they have not received an official communication from the direction.</p>	Cyber Security	Internal audit	[DCTP comments - 02/21]: InfoSec Incident awareness is planned for DCTP Staff in Q1.2021.	44377	In progress	1

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DCTP	2020	IT audit	720	Recommendation 2 We recommend information on the intranet and training for all employees to increase awareness, this should be done at regular intervals.	Finding: 10% of all employees have submitted data. Risks: Even if this does not sound like a large number, one too many pieces of information sent to fraudsters is enough for another attack on your system.	Cyber Security	Internal audit	[DCTP comments - 02/21]: On DRH and DCTP. Tied to revision of ITAC ToR. Possibility to have a mandatory awareness training for IB staff (UNDSS) for 06.2021. Awareness platform in place for 12.2021.	New deadline proposed: end of 2021.	In progress	1
DCTP	2020	IT audit	721	Recommendation 3 We recommend after an awareness training of all employees and the training of the IT department in dealing with the right processes to start another phishing campaign to make the success visible.	Finding: 5% of all already trained employees have nevertheless transmitted data. This is worth more than 10% of all employees. So the positive effect of an awareness campaign can be recognized. Risks: Tests have already shown that after 3 months without awareness training, the majority of the participants have returned to their pre-training status.	Cyber Security	Internal audit	[DCTP comments - 02/21]: On DRH and DCTP. Tied to revision of ITAC ToR. Already 2 phishing campaigns planned for DCTP Staff: will be extended to IB Staff.	44561	In progress	1
DCTP	2020	IT audit	722	Recommendation 4 We recommend the training of the responsible teams with the documents ref. 1 and also the sharing of information with all employees in order to increase the knowledge and awareness of the largest possible factor.	Finding: We realized that not all the responsible teams concerned with the documents related to the policies for the ISO27001 certification are completely trained. Further the information are not yet shared with all employees. Risks: Misunderstandings and ambiguities can arise if not all employees know the processes and act according to the prescribed procedures.	Cyber Security	Internal audit	[DCTP comments - 02/21]: InfoSec Incident awareness is planned for DCTP Staff in Q1.2021. InfoSec Policy and related procedures are already shared on the DCTP DMS.	44377	In progress	1
DCTP	2020	IT audit	723	Recommendation 5 We recommend, updating and supplementing the document with the necessary contact points.	Finding: The document Administrative Instruction (PER) No. 23/Rev 4 from May 2009 does not completely reflect the current situation. Especially there are still no information regarding contact points. Risks: Employees do not know what, how and where to turn with problems or detected external attacks. This can be a problem in a situation where a company is attacked because there is no coordination.	Cyber Security	Internal audit	[DCTP comments - 02/21]: Tied to revision of ITAC ToR. Deadline is not realistic: propose to postpone to end 2021.	New deadline proposed: end of 2021.	In progress	1
DCTP	2020	Business continuity	739	Recommendation 3 We recommend you to give clear instructions and information concerning the mentioned points as: - data security - liability of the employees	Finding No information in the administrative instruction regarding further important subjects. Risks Unauthorized person can access restricted documents. Employees are not willing to pay for the damage caused. Absence of employees due to physical complaints due to a non-ergonomic workplace at home.	Management of the Business Continuity in relation to COVID19	Internal audit	[DCTP comments - 02/21]: To be implemented together with Recommendation 5 Deadline is not realistic: propose to postpone to end 2021.	New deadline proposed: end of 2021.	In progress	1
DCTP	2020	Business continuity	740	Recommendation 4 We recommend you to find a solution in regard of saving documents locally on the private desktops.	Finding Due to the cloud solution, employees have, in some cases, to save documents on their private laptop. Risks Firstly, documents can be lost. Moreover, the documents are stored on the private computer and therefore unauthorized people may access the data.	Management of the Business Continuity in relation to COVID19	Internal audit	[DCTP comments - 02/21]: To be implemented together with Recommendation 5 Deadline is not realistic: propose to postpone to end 2021.	New deadline proposed: end of 2021.	In progress	1
DCTP	2020	IT Governance Audit	732	Recommandation 1 Le CDF recommande à l'UPU de mettre en place un comité de pilotage de l'informatique, composé de membres des Directions et rattaché à la Direction générale. Ce comité décidera notamment des questions de gouvernance et des aspects transversaux de l'informatique (par ex. architecture, sécurité de l'information) s'appliquant à toute l'organisation.	Appréciation professionnelle du CDF Au niveau du pilotage des activités informatiques, la structure reflète l'origine double et séparée des demandes de service, interne et externe. Le CDF estime que la mise en place du comité consultatif pour la priorisation des demandes internes (ITAC) fait sens. Sur le plan de la conduite des travaux informatiques, l'organisation basée sur les trois unités couvrant les grandes étapes de la fourniture de services IT est globalement appropriée. Le regroupement des activités informatiques au sein de la même Direction pave la voie pour des processus mieux harmonisés. La mutualisation de l'infrastructure et des compétences va aussi favoriser un emploi économe des fonds. Le CDF s'interroge cependant sur le peu de visibilité dans l'organisation des aspects liés à la gouvernance informatique et transversaux (par ex. architecture ou sécurité de l'information). Vu la taille de la DCTP, son activité de développement et d'exploitation et ses objectifs, ces aspects revêtent une importance croissante. Une unité structurelle permanente en charge de ces questions (de type comité de pilotage IT, « IT steering committee », rapportant à la direction de l'UPU) manque à ce jour. Des questions se posent également sur certains éléments de l'organigramme. Le CDF estime que le cumul de fonctions du Directeur de la DCTP risque de causer des problèmes de surcharge de travail. Il juge aussi que la position actuelle de la responsable du système de gestion de la sécurité de l'information n'est pas adaptée au vu des enjeux de ce domaine (voir aussi vecteur 4 données). Le CDF considère aussi que l'intégration du PIM dans la DCTP n'est pas pleinement aboutie. Le potentiel d'harmonisation des pratiques entre activités pour les clients internes et externes est encore élevé (voir notamment les vecteurs ci-dessous). Pour le CDF, les travaux pour finaliser la fusion sont trop dispersés et doivent être coordonnés et suivis dans le cadre d'un projet. Celui-ci devrait être défini à partir d'un inventaire des questions ouvertes découlant de l'intégration du PIM, d'une analyse des priorités et des leçons à tirer (« lessons learned ») à ce jour. Sur un plan plus formel, le CDF estime que la qualité de la documentation des processus informatiques est insuffisante (manquante, obsolète ou non-validée). Les règlements de certains comités (par ex. ITAC) doivent être adaptés, les descriptions de postes des collaborateurs de la DCTP actualisées. Commentaires du Directeur général Le Bureau international est d'accord avec cette recommandation. Il évaluera les changements nécessaires au niveau des structures de gouvernance existantes en vue de la mise en place du comité de pilotage de l'informatique, lequel décidera, entre autres, des questions de gouvernance et des aspects transversaux de l'informatique (architecture, sécurité de l'information, p.ex.) s'appliquant à l'ensemble de l'organisation. Date prévue pour la mise en œuvre: fin 2020	UPU IT Governance	External audit	[DCTP comments - 02/21]: Revised ITAC ToR has been proposed to general management.	End of 2020	In progress	1

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Directorate/organ	Year of issuance	Topic	Recom. N° (GR-MIS ref)	Recommendation	Other comments from the auditor	Report	Issuer	Deliverables and implementation details (defined in April 2021)	Deadline (defined in April 2021)	Final status (after follow-up by auditors) in April 2021	Counting
DCTP	2020	IT Governance Audit	733	<p>Recommandation 2</p> <p>Le CDF recommande à l'UPU de démarrer un projet visant à inventorier et coordonner le traitement et la finalisation des points ouverts liés à l'intégration du PIM dans la DCTP. Dans ce cadre, l'UPU veillera notamment à régler les questions de détails de l'organigramme (cumul de fonctions du Directeur de la DCTP, position de la responsable du système de gestion de la sécurité de l'information). Elle s'assurera de terminer l'harmonisation et le redesign des processus et d'actualiser la documentation (notamment pour les vecteurs stratégie, prestataires et fournisseurs, services informatiques et gestion budgétaire), et de tirer les enseignements de l'intégration.</p>	<p>Appréciation professionnelle du CDF</p> <p>Au niveau du pilotage des activités informatiques, la structure reflète l'origine double et séparée des demandes de service, interne et externe. Le CDF estime que la mise en place du comité consultatif pour la priorisation des demandes internes (ITAC) fait sens. Sur le plan de la conduite des travaux informatiques, l'organisation basée sur les trois unités couvrant les grandes étapes de la fourniture de services IT est globalement appropriée. Le regroupement des activités informatiques au sein de la même Direction pave la voie pour des processus mieux harmonisés. La mutualisation de l'infrastructure et des compétences va aussi favoriser un emploi économe des fonds.</p> <p>Le CDF s'interroge cependant sur le peu de visibilité dans l'organisation des aspects liés à la gouvernance informatique et transversaux (par ex. architecture ou sécurité de l'information). Vu la taille de la DCTP, son activité de développement et d'exploitation et ses objectifs, ces aspects revêtent une importance croissante. Une unité structurelle permanente en charge de ces questions (de type comité de pilotage IT, « IT steering committee », rapportant à la direction de l'UPU) manque à ce jour.</p> <p>Des questions se posent également sur certains éléments de l'organigramme. Le CDF estime que le cumul de fonctions du Directeur de la DCTP risque de causer des problèmes de surcharge de travail. Il juge aussi que la position actuelle de la responsable du système de gestion de la sécurité de l'information n'est pas adaptée au vu des enjeux de ce domaine (voir aussi vecteur 4 données).</p> <p>Le CDF considère aussi que l'intégration du PIM dans la DCTP n'est pas pleinement aboutie. Le potentiel d'harmonisation des pratiques entre activités pour les clients internes et externes est encore élevé (voir notamment les vecteurs ci-dessous). Pour le CDF, les travaux pour finaliser la fusion sont trop dispersés et doivent être coordonnés et suivis dans le cadre d'un projet. Celui-ci devrait être défini à partir d'un inventaire des questions ouvertes découlant de l'intégration du PIM, d'une analyse des priorités et des leçons à tirer (« lessons learned ») à ce jour.</p> <p>Sur un plan plus formel, le CDF estime que la qualité de la documentation des processus informatiques est insuffisante (manquante, obsolète ou non-validée). Les règlements de certains comités (par ex. ITAC) doivent être adaptés, les descriptions de postes des collaborateurs de la DCTP actualisées.</p> <p>Commentaires du Directeur général</p> <p>Le Bureau international est d'accord avec cette recommandation. Le DPTC dispose d'un projet d'harmonisation des processus et de leur documentation pour toutes ses activités (IB IT et Télématique). Le projet sera complété par les</p>	UPU IT Governance	External audit	[DCTP comments - 02/21]: Harmonization of process documentation is ongoing.	End of 2021	In progress	1
DCTP	2020	IT Governance Audit	734	<p>Recommandation 3</p> <p>Le CDF recommande à l'UPU de dresser un état de situation des pratiques de la gestion des risques, de déterminer les priorités de travail et de lancer un projet d'amélioration. Le futur projet doit notamment tendre à une convergence de la démarche, des processus, des outils et de la compréhension des enjeux de la gestion des risques.</p>	<p>Appréciation professionnelle du CDF</p> <p>Le CDF est frappé par la multiplicité des activités dans le domaine de la gestion du risque à l'UPU. Ces activités ont chacune une couverture des risques partielle et une démarche propre. Le CDF estime que la qualité des résultats est très variable selon la démarche adoptée et les directions concernées. Les enjeux liés à une gestion des risques efficace ne sont pas compris de la même manière par tous les intervenants.</p> <p>Sur le plan de la gouvernance IT, le CDF relève surtout le manque d'intégration des réflexions entre métiers et informatique. Il s'agit ici d'identifier quelles solutions, infrastructures et ressources informatiques soutiennent les processus métier critiques et les risques qui en découlent. Un langage commun est nécessaire et l'absence d'une méthodologie unifiée de gestion des risques des métiers et de l'informatique ne facilite pas les choses.</p> <p>Le CDF voit un important potentiel d'amélioration sur les plans de la démarche, des processus, des outils et de la compréhension de la gestion des risques. Il note que diverses initiatives sont prévues pour améliorer la situation actuelle. Il craint cependant qu'à défaut d'un fil rouge et de priorités clairement établis, l'évolution du système de gestion des risques soit un exercice long et coûteux, donc peu efficient.</p> <p>Commentaires du Directeur général</p> <p>Le Bureau international est d'accord avec cette recommandation. Des initiatives d'amélioration sur le plan de gestion de risques seront lancées. Une importance particulière sera accordée à promouvoir une méthodologie unifiée de gestion des risques des métiers et de l'informatique.</p> <p>Date prévue pour la mise en œuvre : fin 2021</p>	UPU IT Governance	External audit	[DCTP comments - 02/21]: Revised ITAC ToR proposed to general management. On approval: risk management will be coordinated.	End of 2021	In progress	1
DCTP	2020	IT Governance Audit	735	<p>Recommandation 4</p> <p>Le CDF recommande à l'UPU de définir et de démarrer les activités en vue de l'optimisation et de l'extension du système de gestion de la sécurité de l'information à toute l'organisation avec une priorité élevée.</p>	<p>Appréciation professionnelle du CDF</p> <p>Le CDF a pu constater que l'UPU reconnaît l'importance de ses données et a les initiatives prévues pour les valoriser et les exploiter. Il relève que la gestion des données n'est pas effectuée de manière formalisée et intégrale : un référentiel de données couvrant l'ensemble des données de l'organisation manque. Les projets de type big data prévus impliqueront obligatoirement une montée de maturité en termes de gestion de données (définition d'une démarche, inventarisation, classification, etc). Le CDF renonce à émettre une recommandation sur ce point.</p> <p>Sur le plan de la protection des données, la mise en œuvre du système de gestion de la sécurité de l'information pour un périmètre restreint constitue un premier pas dans la bonne direction. Ainsi, une expertise interne peut être bâtie et les premières expériences d'optimisation d'une démarche structurée peuvent être faites. Le CDF trouve toutefois très préoccupant qu'une démarche intégrale, couvrant toute l'organisation et pilotée du sommet vers la base (top-down) fasse défaut en l'état.</p> <p>Commentaires du Directeur général</p> <p>Le Bureau international accepte de prendre des mesures pour optimiser et étendre le système de gestion de la sécurité de l'information à l'ensemble de l'organisation, en s'appuyant sur les compétences déjà acquises en interne.</p> <p>Date prévue pour la mise en œuvre : fin 2022</p>	UPU IT Governance	External audit	[DCTP comments - 02/21]: Revised ITAC ToR proposed to general management. On approval: Information Security will be coordinated.	End of 2022	In progress	1
DCTP	2020	IT Governance Audit	736	<p>Recommandation 5</p> <p>Le CDF recommande à l'UPU de définir et de mettre en place une gouvernance architecturale, avec une démarche et des principes, communs aux activités informatiques pour le Bureau International et la Coopérative télématique. L'UPU prendra le soin au préalable de définir de manière fondée le niveau de maturité visé par cette initiative.</p>	<p>Appréciation professionnelle du CDF</p> <p>Le CDF note l'absence d'une démarche et d'instances architecturales établies. L'UPU se prive ainsi d'un important instrument de gestion de la cohérence et de l'économicité de développement de son paysage informatique. La fonction de couplage entre stratégie, projets et gestion du cycle de vie de ses plateformes ne peut pas non plus être assurée de manière optimale.</p> <p>Commentaires du Directeur général</p> <p>Le Bureau international est d'accord avec cette recommandation et prendra des mesures adéquates pour définir et mettre en place une gouvernance architecturale dans le cadre du processus d'harmonisation de la DCTP prévu dans la recommandation 2. Le niveau de maturité visé par cette initiative sera défini au préalable.</p> <p>Date prévue pour la mise en œuvre : fin 2022</p>	UPU IT Governance	External audit	[DCTP comments - 02/21]: Revised ITAC ToR proposed to general management. On approval: IT architecture will be coordinated.	End of 2022	In progress	1

