

Full list of recommendations reported as open in November 2020 - update

| Directorate/Organ | Year of issuance | Topic | Recom. N° (GR-MIS ref) | Recommendation | Nom du rapport | Issuer | Deliverables and implementation details (defined in November 2020) | Deadline (defined in November 2020) | Preliminary status in November 2020 | Counting |
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| 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. | 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. | 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 |
| 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. | 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 |
| 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. | 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. | 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. | 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 |

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| DIRCAB | 2014 | Role and Relevance | 238 | Implementation of a CRM tool to obtain a single list of contacts without duplicates. | (blank) | 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 |
| 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. | Financial audit report on the process for managing working hours and absences | External audit | DIRCAB.GOUV met with DRH director and colleagues several times. HR submitted the updated administrative instruction for approval. The updated AI was not approved by JCC. Therefore this administrative instruction has not updated yet despite lots of efforts made. | End July 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. | IT audit | External audit | The project to consolidate PTC and former DL.PIM ticketing systems into a single tool (new version of Easy Vista) is underway but has seen some delays. Completion is now projected for the 2nd quarter 2020. | 6/30/2020 | In progress | 1 |
| DCTP | 2016 | IT audit | 405 | Provide an overall Enterprise Architecture document regarding the entire IT infrastructure (internal and external) | IT Strategy | Internal audit | In progress | 12/31/2020 | 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. | 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 S5. However, the study did not take place due to unavailability of funds. | 12/31/2019 | Under consideration | 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. | 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 |

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| 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. | 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. | 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. | 12/31/2019 | In progress | 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. | 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 |
| 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. | 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 |

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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. | 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. | 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 | 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. | 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 |
| 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. | 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 |
| 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. | Product and services | Internal audit | Processes to be updated by 31.12.19 | 12/31/2019 | In progress | 1 |

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| 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. | 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. | 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. | 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. | Human Resources management and Business Continuity Management (BCM) in the payroll process | Internal audit | Pending implementation | 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. | Audit of 2017 financial statements | External audit | Mr Dreier talked to the external audit in November 2019. Measures have been taken. | End of 2019 | In progress | 1 |

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| 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. | 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 afore-mentioned recommendation. | N/A | 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". | 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 |
| 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. | Audit of 2018 financial statements | External audit | Closing processes under review to improve ICS for account closure | End of 2019 | 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). | 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. | Pension Fund | Internal audit | The management acknowledges the recommendations and will inform the concerned parties for implementation. 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. | 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. | 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. | 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 |
| 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. | 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 |

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| DG/DDG | 2019 | (blank) | 654 | <p>Recommendation 5</p> <p>The executive heads of United Nations system organizations should make it mandatory for organizers of meetings and conferences to ensure, by December 2021, that:</p> <p>(a) The participation of persons with disabilities is fully supported by registration processes that are accessible for persons with diverse disabilities;</p> <p>(b) Clauses are included in accessible registration forms to ask specifically about accessibility requirements;</p> <p>(c) Information on accessible facilities and services is disseminated to all potential participants through accessible websites and information notes;</p> <p>(d) Accessible post-conference and post-meeting satisfaction surveys consistently include questions to assess satisfaction with the accessibility of facilities and services.</p> | 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 |
| DG/DDG | 2019 | (blank) | 662 | <p>Recommendation 1</p> <p>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.</p> | JIU/REPORT/2019/2 REVIEW OF THE UNITED NATIONS SYSTEM-WIDE ACTION PLAN ON GENDER EQUALITY AND THE EMPOWERMENT OF WOMEN | JIU | <p>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.</p> <p>In light of the above, DRH is not in a position to implement the afore-mentioned recommendation.</p> | N/A | In progress | 1 |
| DG/DDG | 2019 | (blank) | 663 | <p>Recommendation 2</p> <p>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.</p> | JIU/REPORT/2019/2 REVIEW OF THE UNITED NATIONS SYSTEM-WIDE ACTION PLAN ON GENDER EQUALITY AND THE EMPOWERMENT OF WOMEN | JIU | <p>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.</p> <p>In light of the above, DRH is not in a position to implement the afore-mentioned recommendation.</p> | End of 2020 | In progress | 1 |
| DG/DDG | 2019 | (blank) | 665 | <p>Recommendation 5</p> <p>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.</p> | JIU/REPORT/2019/2 REVIEW OF THE UNITED NATIONS SYSTEM-WIDE ACTION PLAN ON GENDER EQUALITY AND THE EMPOWERMENT OF WOMEN | JIU | <p>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.</p> <p>In light of the above, DRH is not in a position to implement the afore-mentioned recommendation.</p> | N/A | In progress | 1 |

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| 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. | 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) | 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. | 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) | 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. | 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. | 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. | Communication at the IB | Internal audit | (blank) | (blank) | In progress | 1 |

Full list of recommendations reported as open in November 2020 - update

| Directorate/Organ | Year of issuance | Topic | Recom. N° (GR-MIS ref) | Recommendation | Nom du rapport | Issuer | Deliverables and implementation details (defined in November 2020) | Deadline (defined in November 2020) | Preliminary status in November 2020 | Counting |
|-------------------|------------------|----------------------|------------------------|--|---|----------------|---|-------------------------------------|-------------------------------------|----------|
| 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. | 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 |
| DFI | 2020 | Financial statements | 724 | Recommandation 1 Le CDF recommande à l'UPU de définir un concept puis de mettre en place des outils professionnels lui permettant d'assurer son rôle de propriétaire immobilier et d'assurer à long terme le maintien de la valeur de son bâtiment principal. | Audit of 2019 financial statements | External audit | (blank) | (blank) | In progress | 1 |
| DFI | 2020 | Financial statements | 725 | Recommandation 2 Le CDF recommande à l'UPU de diminuer ses risques en plaçant ses liquidités uniquement dans des banques ou autres institutions offrant un niveau de sécurité élevé. | Audit of 2019 financial statements | External audit | (blank) | (blank) | In progress | 1 |
| DFI | 2020 | Financial statements | 726 | Recommandation 3 Le CDF recommande à l'UPU d'examiner son processus de gestion des créances afin de supprimer les faiblesses existantes. De plus, il conviendrait d'analyser les possibilités d'exploiter au maximum le système comptable Navision afin d'éviter tout retraitement manuel lors de la préparation des états financiers. | Audit of 2019 financial statements | External audit | (blank) | (blank) | In progress | 1 |
| DFI | 2020 | Financial statements | 727 | Recommandation 4 Le CDF recommande d'inventorier la collection de timbres de l'UPU. De plus, afin d'améliorer la protection physique de la collection, une délocalisation de la collection B devrait être envisagée. | Audit of 2019 financial statements | External audit | (blank) | (blank) | 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. | 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 |
| 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. | 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 |

Full list of recommendations reported as open in November 2020 - update

| Directorate/Organ | Year of issuance | Topic | Recom. N° (GR-MIS ref) | Recommendation | Nom du rapport | Issuer | Deliverables and implementation details (defined in November 2020) | Deadline (defined in November 2020) | Preliminary status in November 2020 | Counting |
|-------------------|------------------|----------|------------------------|--|----------------|----------------|--|-------------------------------------|-------------------------------------|----------|
| 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. | Cyber Security | Internal audit | Management Comment: IB will organize the training on Cyber Security awareness for all employees. This awareness can be conducted in conjunction with the action mentioned in the recommendation 03.2020/3. Implementation: DPTC, 31.12.2020 | 12/31/2020 | 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. | Cyber Security | Internal audit | Management Comment: IB will conduct phishing assessment after the awareness training. Implementation: DPTC, 31.12.2021 | 12/31/2021 | 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. | Cyber Security | Internal audit | Management Comment: The ISO27001 certification is currently limited in scope to the IT production services. As such, the responsible IT staff for the ISO27001 certification are trained. The information in the document ref.1 will be shared to all the employees. There are ISO27001 yearly surveillance audits as part of the certification process. | 6/30/2021 | In progress | 1 |
| DCTP | 2020 | IT audit | 723 | Recommendation 5 We recommend, updating and supplementing the document with the necessary contact points. | Cyber Security | Internal audit | Management Comment: IB will set up an ad hoc team to update the administrative Instruction No.23/Rev 4 from May 2009. Implementation: DPTC, DL, 30.06.2021 | (blank) | In progress | 1 |

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|-------------------|------------------|---------------------|------------------------|---|----------------|----------------|--|-------------------------------------|-------------------------------------|----------|
| DCTP | 2020 | Phishing Assessment | 719 | <p>Recommendation 1</p> <p>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> | Cyber Security | Internal audit | <p>Management Comment:</p> <p>IB consider the fast response by the staff members positive under the circumstances.</p> <p>IB will observe the recommendation on alert messages and technical interventions to prevent further spread of the attack.</p> <p>IB will organize training on the process described in document IS-DOC-A16-021-InfoSec Incident Management Procedure to all staff covering the topics listed above.</p> <p>Implementation: DPTC, DRH, 30.06.2021</p> | 6/30/2021 | In progress | 1 |

