



## INTERNAL AUDIT DIVISION

# REPORT 2015/169

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Audit of resilience management at the  
United Nations Office at Geneva

Overall results relating to implementation of the Organizational Resilience Management System were initially assessed as partially satisfactory. Implementation of seven important recommendations remains in progress.

FINAL OVERALL RATING: PARTIALLY  
SATISFACTORY

10 December 2015  
Assignment No. AE2015/310/01

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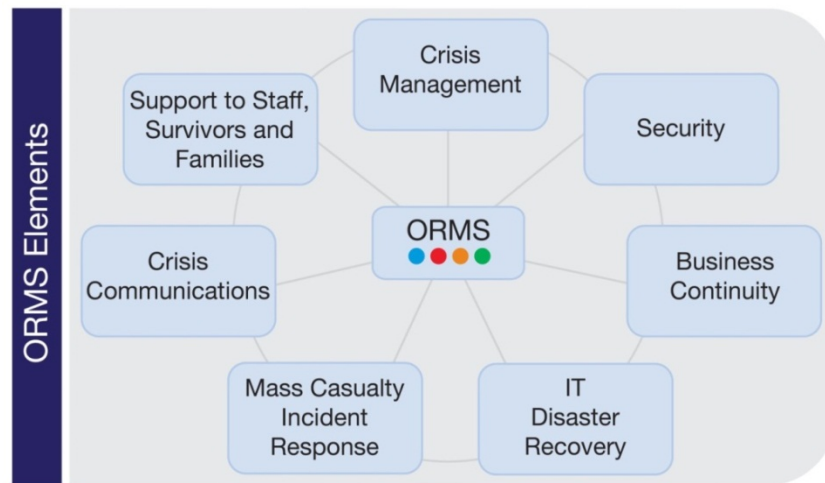
# **AUDIT REPORT**

## **Audit of resilience management at the United Nations Office at Geneva**

### **I. BACKGROUND**

1. The Office of Internal Oversight Services (OIOS) conducted an audit of resilience management at the United Nations Office at Geneva (UNOG).
2. In accordance with its mandate, OIOS provides assurance and advice on the adequacy and effectiveness of the United Nations internal control system, the primary objectives of which are to ensure (a) efficient and effective operations; (b) accurate financial and operational reporting; (c) safeguarding of assets; and (d) compliance with mandates, regulations and rules.
3. During recent years, United Nations personnel and property have become targets of increasing violence and malicious acts and have also suffered natural disasters. Considering the number of victims of malicious acts and natural disasters and taking into consideration lessons learned from the violent incidents in Baghdad in 2003, Algiers in 2007, Kabul in 2009, the earthquakes in Haiti and Santiago in 2010, storm Sandy in New York in 2012 and the Ebola epidemic in West Africa in 2014, it became imperative for the Organization to put in place a proactive, comprehensive and coordinated system with central capacity to assist the United Nations duty stations, country offices and security management teams in enhancing emergency preparedness.
4. In June 2013, the General Assembly in its resolution 67/254 approved the Secretary-General's proposal to adopt the Organizational Resilience Management System (ORMS) as the Organization's emergency management framework system. ORMS aims at linking actors and activities across preparedness, prevention, response, and recovery to enhance resilience in order to improve the Organization's capacity to effectively manage the risks of disruptive events. Prior to the implementation of ORMS, emergency management efforts at the Secretariat were comprised of separate planning initiatives led by different departments. There was no framework under which these different initiatives could be coordinated from the planning to the response and recovery phases.
5. The ORMS policy approved by the Chief Executives Board (CEB) in its High Level Committee on Management meeting of 8 October 2014 describes ORMS principles, core elements, process of implementation and governance. The policy is applicable to all entities of the United Nations. According to the policy, the implementation of ORMS includes the following five areas: policy development; establishment of a governance mechanism; conduct of a comprehensive risk assessment; development of the core elements of ORMS; and implementation of the maintenance, exercise and review regime. Key performance indicators that outline how to achieve each of the five areas were developed and approved by CEB on 8 October 2014. The United Nations Secretariat requires funds and programmes to apply the key performance indicators that are appropriate to their particular context.
6. The core elements that constitute ORMS are detailed in Figure 1 below.

**Figure 1 – Core elements of ORMS**



Source: Crisis Management: Standard Operating Procedure 2013

7. Comments provided by UNOG are incorporated in *italics*.

## **II. OBJECTIVE AND SCOPE**

8. The audit was conducted to assess the adequacy and effectiveness of UNOG governance, risk management and control processes in providing reasonable assurance regarding the **effective implementation of ORMS in UNOG**.

9. The audit was included in the OIOS 2015 risk-based internal audit work plan for UNOG because effective implementation of ORMS is essential to ensure that UNOG had the appropriate capacity to effectively respond and recover from emergencies.

10. The key controls tested for the audit were: (a) strategic planning and risk assessment; and (b) project management. For the purpose of this audit, OIOS defined these key controls as follows:

(a) **Strategic planning and risk assessment** - controls that provide reasonable assurance that strategic planning and risk assessment processes for ORMS are in place and working effectively.

(b) **Project management** - controls that provide reasonable assurance that there are effective mechanisms in place for implementing the various aspects of ORMS in accordance with applicable policies and procedures to achieve its objectives.

11. The key controls were assessed for the control objectives shown in Table 1. Certain control objectives shown in Table 1 as “Not assessed” were not relevant to the scope defined for this audit.

12. OIOS conducted this audit from April to October 2015. The audit covered the period from 1 January 2013 to 30 June 2015.

13. OIOS conducted an activity-level risk assessment to identify and assess specific risk exposures, and to confirm the relevance of the selected key controls in mitigating associated risks. Through interviews, analytical reviews and tests of controls, OIOS assessed the existence and adequacy of internal controls and conducted necessary tests to determine their effectiveness.

### III. AUDIT RESULTS

14. The UNOG governance, risk management and control processes examined were assessed as **partially satisfactory**<sup>1</sup> in providing reasonable assurance regarding the **effective implementation of ORMS in UNOG**. OIOS made seven recommendations to address issues identified in the audit.

15. Strategic planning and risk assessment was assessed as partially satisfactory because UNOG needed to: (a) prepare an implementation strategy or plan defining clear roles and responsibilities of key players and an action plan for addressing gaps in implementation of ORMS; and (b) strengthen the arrangements for conducting risk assessments. Project management was assessed as partially satisfactory because there was a need to: (a) ensure that emergency management plans for all core elements are approved and frequently reviewed; (b) strengthen the testing and updating of the emergency plans; and (c) conduct annual ORMS awareness campaigns as required.

16. The initial overall rating was based on the assessment of key controls presented in Table 1 below. The final overall rating is **partially satisfactory** as implementation of seven important recommendations remains in progress.

**Table 1: Assessment of key controls**

Business objective	Key controls	Control objectives			
		Efficient and effective operations	Accurate financial and operational reporting	Safeguarding of assets	Compliance with mandates, regulations and rules
Effective implementation of ORMS in UNOG	(a) Strategic planning and risk assessment	Partially satisfactory	Satisfactory	Not assessed	Partially satisfactory
	(b) Project management	Partially satisfactory	Partially satisfactory	Partially satisfactory	Partially satisfactory
<b>FINAL OVERALL RATING: PARTIALLY SATISFACTORY</b>					

#### A. Strategic planning and risk assessment

##### UNOG had put in place a governance structure for implementing ORMS

17. According to the ORMS policy, the establishment of a governance mechanism is one of the five key areas in the implementation of ORMS. UNOG had put in place a governance mechanism comprising of a designated project manager and a crisis management structure. The Director-General of UNOG, in a memorandum on 6 January 2014, nominated the Director of Administration as the Project Manager for

<sup>1</sup> A rating of “**partially satisfactory**” means that important (but not critical or pervasive) deficiencies exist in governance, risk management or control processes, such that reasonable assurance may be at risk regarding the achievement of control and/or business objectives under review.

ORMS. The Coordination Officer in the Office of the Director of Administration was appointed the focal point for ORMS implementation and supported the Director of Administration in overseeing and coordinating the implementation of ORMS.

18. In September 2013, the Director-General approved a Crisis Management Standard Operating Procedure (SOP) outlining the crisis management structure. The SOP aims at providing leadership and operational response in case of a crisis in accordance with ORMS. The crisis management structure included a Crisis Management Team (CMT) chaired by the UNOG Director-General as well as representatives of all Geneva-based Secretariat entities and the Office of the United Nations High Commissioner for Refugees. CMT met regularly and its meetings were documented. Further, UNOG had developed a Crisis Management Playbook which provided the framework and strategies for dealing with emergencies. The Playbook integrated crisis management, business continuity, crisis communication, and information technology.

19. UNOG led the Geneva sub-group of the ORMS Working Group and promoted ORMS implementation with other organizations of the United Nations system in Geneva. This was useful in ensuring effective coordination with other entities at the duty station. UNOG also had close working relationship with the ORMS team at the United Nations Office at Vienna (UNOV), which facilitated the sharing of best practices. For example, the UNOV Crisis Management SOP and Playbook were prepared based on the UNOG experience. OIOS therefore concluded that UNOG had established an appropriate governance structure for implementing ORMS.

#### Need to prepare an implementation strategy or plan for ORMS

20. In a memorandum dated 24 December 2013 to the Director-General of UNOG, the Under-Secretary-General for Management stated that ORMS should be implemented at all offices away from Headquarters by June 2015. In May 2014, the Business Continuity Management Unit at United Nations Headquarters requested ORMS focal points to prepare an ORMS plan outlining gaps and targeted implementation dates in order to facilitate successful implementation of ORMS. Further, the ORMS key performance indicators on governance recommend that roles and responsibilities should be documented in an approved plan.

21. The roles and responsibilities related to crisis management were outlined in the Crisis Management SOP and Playbook and were therefore appropriately documented in an approved plan as required. However, the roles and responsibilities for implementation of ORMS as a whole had not been documented. The ORMS Project Manager and Focal Point were involved in the activities of CMT as the Alternate Chair and Secretary, respectively. Most of the CMT activities overlapped with the activities of ORMS since the element of crisis management was significant in the ORMS framework. However, their specific responsibilities for ORMS, such as implementing the maintenance, exercise and review regime and coordinating emergency planning among key players were not reflected in any document. The roles and responsibilities for each of the seven core elements had also not been formally assigned. This was necessary particularly for core elements such as the mass casualty plan that involved more than one office.

22. Although UNOG contributed to ORMS initiatives in the Secretary-General's report on the progress in implementation of ORMS dated 23 January 2014, the report did not address the gaps in implementation of ORMS and implementation target dates, and could therefore not be used as an implementation plan. The audit identified some gaps in ORMS implementation, as addressed later in the report, which should have been included in an implementation plan. Documenting the responsibilities of key players and the implementation plan would enhance accountability and assist UNOG on the retention of institutional knowledge and continuity of the functions relating to ORMS implementation in case of

staff turnover. The approach and arrangements for dealing with key aspects of ORMS including risk assessment and the testing of emergency plans as part of the maintenance, exercise and review regime could also be addressed in the implementation plan.

**(1) UNOG should prepare an implementation strategy or plan for ORMS outlining: (i) the roles and responsibilities of the Project Manager and all key players; (ii) arrangements relating to key areas such as risk assessment; and (iii) a plan of action with defined deadlines for implementing the outstanding elements of ORMS.**

*UNOG accepted recommendation 1.* Recommendation 1 remains open pending receipt of an implementation plan for ORMS that includes roles and responsibilities of key players; arrangements relating to key areas such as risk assessment; and a plan of action for implementing the outstanding elements of ORMS.

#### Need to strengthen arrangements for conducting risk assessments

23. General Assembly resolution 67/254 emphasized the importance of ORMS in managing operational risks to the United Nations under an all-hazards approach. ORMS intended to contribute to effective operational risk management by prioritizing threats through a joint assessment of risk. The ORMS key performance indicators recommended four indicators under risk management, including: (i) availability of documented risk assessment, such as security risk assessment; (ii) the need for risk assessments to be updated annually; (iii) the need for risk assessments to include security risks, medical risks, information technology (IT) disaster recovery and business continuity risks; and (iv) the need for risks to be identified, assessed, treated and managed. Risk management included the identification of risk owners for key risks.

24. The Security and Safety Service (SSS) at UNOG had prepared a risk assessment that was reviewed and updated on an annual basis. The security risk assessment contained a risk analysis table which recommended mitigation measures for identified security risks. UNOG had also prepared a business continuity risk list map in 2010 which included various risk areas such as IT disaster recovery and medical risks. However, the business continuity risk map did not identify the risk owners and did not address the mitigation measures recommended to manage the identified risks. In addition, except for the security risk assessment, there was no evidence that risk assessments were annually updated to validate existing risks and ensure that new or emerging risks were assessed and addressed.

25. Further, the ORMS policy referred to a joint risk assessment but UNOG had not defined how the joint risk assessment for ORMS would be carried out. It was unclear whether the required ORMS joint risk assessment would be represented by separate risk assessments that would then be reviewed and harmonized in a joint risk assessment document. Since the approach to conducting risk assessments can be addressed in the ORMS implementation plan as recommended in recommendation 1, no further action is being recommended for this aspect.

**(2) UNOG should establish review mechanisms to ensure that: (i) mitigation strategies are developed and risk owners identified for all risks; and (ii) risk assessments are updated on an annual basis.**

*UNOG accepted recommendation 2.* Recommendation 2 remains open pending receipt of evidence that review mechanisms have been put in place to ensure that mitigation strategies are developed and risk owners identified for all risks, and that risk assessments are updated on an annual basis.

## B. Project management

### Need to prepare emergency plan for support to staff, survivors and families

26. The ORMS performance indicators relating to planning recommended the need to have in place plans for all the seven core elements, and for the plans to be harmonized and frequently reviewed and updated. However, UNOG had not prepared an emergency plan for the support to staff, survivors and families core element. The ORMS policy described this core element as the provision of essential human resources support for staff, survivors and families comprising a multitude of services for those affected by malicious acts, natural disasters or other critical incidents. UNOG Human Resources Management Service (HRMS) used several reference documents, such as the Handbook for Action in cases of death in service and materials from Emergency Preparedness and Support Team in emergency cases. Nonetheless, HRMS did not have an all-hazards plan for its role in managing the operational risks relating to UNOG. The absence of these plans prevented UNOG from achieving the objectives of ORMS.

**(3) UNOG should ensure that the emergency plan for support to staff, survivors and families is prepared and submitted to the UNOG Crisis Management Team for review and approval.**

*UNOG accepted recommendation 3.* Recommendation 3 remains open pending receipt of evidence that the emergency plan for support to staff, survivors and families has been prepared and approved.

### Need to ensure that all emergency plans are reviewed and approved

27. According to the Crisis Management SOP, CMT was responsible for reviewing and approving the emergency management plans and related documents, and requesting their revision, if necessary. The ORMS key performance indicators also recommended that emergency plans should be harmonized and frequently reviewed and updated.

28. The emergency plans for three of the seven core elements: crisis management, business continuity and crisis communications, were integrated in the CMT Playbook and had therefore been appropriately approved. However the emergency plans for the remaining three core elements, i.e., security, IT disaster recovery, and mass casualty incident response were still in draft form and had not been reviewed and approved by the CMT as required.

29. In addition, there were some deficiencies in the emergency plans. The plan for security was event-specific. It included a fire and safety plan, specialized rescue plan, and evacuation SOP. As ORMS called for an all-hazards approach in managing operational risks, the plan for security needed to be developed further. There were also four separate IT disaster recovery plans for the various systems. The Information Technology Section indicated that it was in the process of testing all the plans and updates, and improvements could be done based on the results of testing, as addressed in recommendation 5. The emergency plan for mass casualty incident response also appeared not to address medical risks which are an important aspect of dealing with mass casualty incidents.

30. With regard to the crisis communications plan, the internal communications aspects were addressed in detail in the crisis management Playbook. The need to incorporate the pre-approved messages in the Playbook was also identified in the 2015 simulation exercise and included in the after-action report. However, there were some gaps with regard to external communications. The United Nations Information Service, which plays a central role in the communications process, had not documented plans relating to: (a) establishment of press facilities and a briefing area for media at a



different location; (b) maintenance of liaison with the media; and (c) ways to ensure wide dissemination of information through the appropriate channels. It was essential that the emergency plans are updated and approved by CMT to ensure that deficiencies were addressed and the plans were of appropriate quality. The approved plans could then be the basis for the tests under the maintenance, exercise and review regime.

**(4) UNOG should ensure that: (i) the emergency plans for security, mass casualty incident response and external aspects of crisis communication are updated; and (ii) all plans including the information technology disaster recovery plans are submitted to the Crisis Management Team for approval.**

*UNOG accepted recommendation 4.* Recommendation 4 remains open pending receipt of evidence that: (a) the emergency plans for security, mass casualty incident response and external aspects of crisis communication have been updated; and (b) all the plans have been approved by CMT.

#### Testing and updating of the emergency plans needed strengthening

31. The maintenance, exercise and review regime of ORMS required that: (i) functional tests of the emergency plans should be performed annually; and (ii) after-action reviews should be conducted after each event and exercise. These actions aimed to secure executive endorsement and validation of emergency plans and procedures, and identification of deficiencies for corrective action.

32. CMT had conducted simulation exercises in 2013, 2014 and 2015 to test the Playbook which contained the emergency plans for crisis management, business continuity and crisis communications. These exercises enabled CMT members to explore aspects of personal crisis preparedness, as well as issues that would arise from a crisis event affecting the United Nations premises in Geneva. However, the emergency plan for fire and safety, specialized rescue, evacuation and mass casualty had not been tested. The IT disaster recovery plans had also not been fully tested. The Information Technology Section indicated that a table-top exercise to simulate a major network outage was conducted in February 2015, and that it was in the processing of testing the disaster recovery plans. OIOS attributed these deficiencies to inadequate oversight and gaps in overall planning for ORMS implementation.

**(5) UNOG should ensure that all emergency plans are tested and updated periodically as required by the ORMS policy.**

*UNOG accepted recommendation 5.* Recommendation 5 remains open pending receipt of evidence that emergency plans are tested and updated periodically.

#### Need to conduct ORMS awareness campaigns

33. The maintenance, exercise and review regime required that an awareness campaign for all staff should be conducted on an annual basis. Awareness-raising campaigns are essential in ensuring that UNOG staff are prepared to cope with emergency situations. UNOG had not conducted any awareness campaigns, which could be attributed to the lack of an implementation strategy or plan for ORMS. Awareness campaigns could benefit from guidance and support of the ORMS Global Working Group, but OIOS is of the view that the campaigns need to be tailored to specific duty stations and should therefore be initiated at the level of the concerned duty station.

**(6) UNOG, with the support and guidance of the ORMS Global Working Group, should conduct awareness campaigns on ORMS for staff, as required.**

*UNOG accepted recommendation 6. Recommendation 6 remains open pending receipt of evidence that a plan of action has been put in place to conduct annual awareness campaigns on ORMS.*

Need to develop a training programme for ORMS

34. The ORMS key performance indicators recommended that training programmes for ORMS should be available to staff. At UNOG, CMT members received training through the simulation exercises conducted using the Crisis Management SOP and CMT Playbook. SSS also routinely performed specialized training and provided active shooter training to some of its staff, with the help of host country authorities. UNOG had also included some background information on ORMS on the local intranet and in the UNOG emergency homepage.

35. However, UNOG had not provided ORMS training to managers/departmental focal points and staff. UNOG explained that it was waiting for updates from the ORMS Working Group since the Working Group had discussed in July 2014 the idea of creating online training courses. As all United Nations staff need to be trained on ORMS, centralizing the development of training materials is more cost effective than having each duty station develop their own materials. OIOS was informed that the Business Continuity Management Unit at United Nations Headquarters was planning to organize a meeting of the ORMS Global Working Group to discuss the issue of developing training materials. There was no concrete plan of action for developing the training materials and therefore there was a risk of further delays in prioritizing this initiative. OIOS is of the view that the need to make the training mandatory for all staff should also be considered when the issue of developing training materials is discussed.

**(7) UNOG should liaise with the Business Continuity Management Unit at Headquarters, New York regarding the development of ORMS training materials and the need to consider making ORMS training mandatory for all.**

*UNOG accepted recommendation 7. Recommendation 7 remains open pending receipt of evidence that necessary steps have been initiated to develop training materials for ORMS.*

#### IV. ACKNOWLEDGEMENT

36. OIOS wishes to express its appreciation to the Management and staff of UNOG for the assistance and cooperation extended to the auditors during this assignment.

(Signed) David Kanja  
Assistant Secretary-General, Acting Head  
Office of Internal Oversight Services

## STATUS OF AUDIT RECOMMENDATIONS

## Audit of resilience management at the United Nations Office at Geneva

Recom. no.	Recommendation	Critical <sup>2</sup> / Important <sup>3</sup>	C/ O <sup>4</sup>	Actions needed to close recommendation	Implementation date <sup>5</sup>
1	UNOG should prepare an implementation strategy or plan for ORMS outlining: (i) the roles and responsibilities of the Project Manager and all key players; (ii) arrangements relating to key areas such as risk assessment; and (iii) a plan of action with defined deadlines for implementing the outstanding elements of ORMS.	Important	O	Receipt of an implementation plan for ORMS that includes roles and responsibilities of key players; arrangements relating to key areas such as risk assessment; and a plan of action for implementing the outstanding elements of ORMS.	31 December 2016
2	UNOG should establish review mechanisms to ensure that: (i) mitigation strategies are developed and risk owners identified for all risks; and (ii) risk assessments are updated on an annual basis.	Important	O	Receipt of evidence that review mechanisms have been put in place to ensure that mitigation strategies are developed and risk owners identified for all risks, and that risk assessments are updated on an annual basis.	31 December 2017
3	UNOG should ensure that the emergency plan for support to staff, survivors and families is prepared and submitted to the UNOG Crisis Management Team for review and approval.	Important	O	Receipt of evidence that the emergency plan for support to staff, survivors and families has been prepared and approved.	31 December 2016
4	UNOG should ensure that: (i) the emergency plans for security, mass casualty incident response and external aspects of crisis communication are updated; and (ii) all plans including the information technology disaster recovery plans are submitted to the Crisis Management Team for approval.	Important	O	Receipt of evidence that: (a) the emergency plans for security, mass casualty incident response and external aspects of crisis communication have been updated; and (b) all the plans have been approved by the Crisis Management Team.	31 December 2017
5	UNOG should ensure that all emergency plans are tested and updated periodically as required by the ORMS policy.	Important	O	Receipt of evidence that all emergency plans are tested and updated periodically.	31 December 2016
6	UNOG, with the support and guidance of the ORMS Global Working Group, should conduct	Important	O	Receipt of evidence that a plan of action has been put in place to conduct annual awareness	31 December 2017

<sup>2</sup> Critical recommendations address critical and/or pervasive deficiencies in governance, risk management or control processes, such that reasonable assurance cannot be provided with regard to the achievement of control and/or business objectives under review.

<sup>3</sup> Important recommendations address important (but not critical or pervasive) deficiencies in governance, risk management or control processes, such that reasonable assurance may be at risk regarding the achievement of control and/or business objectives under review.

<sup>4</sup> C = closed, O = open

<sup>5</sup> Date provided by UNOG in response to recommendations.

## STATUS OF AUDIT RECOMMENDATIONS

## Audit of resilience management at the United Nations Office at Geneva

Recom. no.	Recommendation	Critical <sup>2</sup> / Important <sup>3</sup>	C/ O <sup>4</sup>	Actions needed to close recommendation	Implementation date <sup>5</sup>
	awareness campaigns on ORMS for staff, as required.			campaigns on ORMS.	
7	UNOG should liaise with the Business Continuity Management Unit at Headquarters, New York regarding the development of ORMS training materials and the need to consider making ORMS training mandatory for all.	Important	O	Receipt of evidence that necessary steps have been initiated to develop training materials for ORMS.	31 December 2016

# **APPENDIX I**

## **Management Response**

Office des Nations Unies à Genève  United Nations Office in Geneva

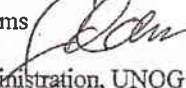
MEMORANDUM INTERIEUR

INTEROFFICE MEMORANDUM

TO: Mr. Gurpur Kumar,  
A: Deputy Director  
Internal Audit Division, OIOS

DATE: 7 December 2015

REF.

FROM: Clemens M. Adams   
DE: Director  
Division of Administration, UNOG

SUBJECT: **Confidential: Draft report on an audit of resilience management at the**  
OBJET: **United Nations Office at Geneva (Assignment No. AE2015/310/01)**

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1. UNOG acknowledges receipt of the detailed result of on an audit of resilience management at the United Nations Office at Geneva (Assignment No. AE2015/310/01) dated 23 November 2015.
2. We take note of the overall results of the audit herewith and accept the recommendations made to UNOG.
3. Please find attached Appendix 1 duly completed, including the action plan with target dates and titles of individuals responsible for implementing the recommendations.

Cc. Mr. Serguei Raskalei, Chief, Human Resources Management, UNOG  
Mr. Jorge J. Villunueva, Chief a.i Security and Safety Service, UNOG  
Mr. Pascal Achard, UNOG Chief Medical Service, UNOG  
Mr. Luis Santiago, Chief, Information and Communications Technology Service, UNOG  
Mr. Ahmad Fawzi, Director & Chief Spokesman, a.i., United Nations Information Service, UNOG  
Ms. Daniela Wuerz, Coordination Officer, Office of the Director of Administration, UNOG  
Ms. Cynthia Avena-Castillo, Professional Practices Section, Internal Audit Division, OIOS

## Management Response

## Audit of resilience management at the United Nations Office at Geneva

Rec. no.	Recommendation	Critical <sup>2</sup> / Important <sup>3</sup>	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
1	UNOG should prepare an implementation strategy or plan for ORMS outlining: (i) the roles and responsibilities of the Project Manager and all key players; (ii) arrangements relating to key areas such as risk assessment; and (iii) a plan of action with defined deadlines for implementing outstanding elements of ORMS.	Important	YES	UNOG Director of Administration	31 Dec 2016	UNOG accepts this recommendation.
2	UNOG should establish review mechanisms to ensure that: (i) mitigation strategies are developed and risk owners identified for all risks; and (ii) risk assessments are updated on an annual basis.	Important	YES	UNOG Director of Administration	31 Dec 2017	UNOG accepts this recommendation.
3	UNOG should ensure that the emergency plan for support to staff, survivors and families is prepared and submitted to the UNOG Crisis Management Team for review and approval.	Important	YES	UNOG Chief Medical Service, UNOG Chief SSS	31 Dec 2016	UNOG accepts this recommendation.
4	UNOG should ensure that: (i) the emergency plans for security, mass casualty incident response and external aspects of crisis communication are updated; and (ii) all plans including the information technology disaster recovery plans are submitted to the Crisis	Important	YES	UNOG Chief Medical Service, UNOG Chief SSS, Director of UN Information Service	31 Dec 2017	UNOG accepts this recommendation.

<sup>2</sup> Critical recommendations address critical and/or pervasive deficiencies in governance, risk management or control processes, such that reasonable assurance cannot be provided with regard to the achievement of control and/or business objectives under review.

<sup>3</sup> Important recommendations address important (but not critical or pervasive) deficiencies in governance, risk management or control processes, such that reasonable assurance may be at risk regarding the achievement of control and/or business objectives under review.

## Management Response

## Audit of resilience management at the United Nations Office at Geneva

Rec. no.	Recommendation	Critical <sup>2</sup> / Important <sup>3</sup>	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
	Management Team for approval.					
5	UNOG should ensure that all emergency plans are tested and updated periodically as required by the ORMS policy.	Important	YES	UNOG Director- General, chair of UN Crisis Management Team Geneva	31 Dec 2016	UNOG accepts this recommendation.
6	UNOG, with the support and guidance of the ORMS Global Working Group, should conduct awareness campaigns on ORMS for staff, as required.	Important	YES	UNOG ORMS Project Manager (UNOG Director of Administration)	31 Dec 2017	UNOG accepts this recommendation.
7	UNOG should liaise with the Business Continuity Management Unit at Headquarters, New York regarding the development of ORMS training materials and the need to consider making ORMS training mandatory for all.	Important	YES	UNOG BC Coordinator	31 Dec 2016	UNOG accepts this recommendation.