OIOS

Office of Internal Oversight Services

INTERNAL AUDIT DIVISION

REPORT 2017/022

Audit of knowledge and records management at the United Nations Framework Convention on Climate Change

Knowledge and records management needs to be enhanced by establishing a strategy, developing a business continuity and disaster recovery plan, and implementing an electronic records management system

13 April 2017
Assignment No. AA2016/241/02

Audit of knowledge and records management at the United Nations Framework Convention on Climate Change

EXECUTIVE SUMMARY

The objective of the audit was to assess the adequacy and effectiveness of governance, risk management and control processes over knowledge and records management at the United Nations Framework Convention on Climate Change (UNFCCC). The audit covered the period from January 2014 to June 2016 and included a review of: (i) strategic planning and governance; (ii) coordination among key players; (iii) knowledge and records management systems and tools; and (iv) records repositories (electronic and physical records).

UNFCCC was systematically tracking and effectively managing its physical records and had initiated changes and improvements to its information governance framework, intranet and metadata. However, knowledge and records management needed to be enhanced by establishing a strategy, developing a business continuity and disaster recovery plan, and implementing an electronic records management system.

OIOS made six recommendations. To address issues identified in the audit, the UNFCCC secretariat needed to:

- Develop a comprehensive knowledge management strategy aligned to its mandate, goals and objectives to enhance the effectiveness of knowledge, information and records management;
- Expedite the completion and implementation of the information governance framework to ensure coordinated and effective management of information assets and records;
- Develop a business continuity plan, contingency measures and related guidelines to appropriately protect its vital electronic records against the risk of loss and potential disruption of operations;
- Establish a committee to provide oversight and ensure a holistic and coordinated approach to knowledge management projects and initiatives;
- Ensure that an effective electronic record management system, fully compliant with applicable standards, is implemented as soon as possible to achieve efficiency and effectiveness in knowledge and record management services; and
- Monitor contracts for expiry dates and coordinate with requisitioners to ensure that contracts are amended in a timely manner and services received are covered by valid contracts.

UNFCCC has accepted the recommendations and has initiated necessary action to implement some of them, and has indicated that it will implement the remaining recommendations on receipt of available funding.

CONTENTS

Audit of knowledge and records management at the United Nations Framework Convention on Climate Change

I. BACKGROUND

1. The Office of Internal Oversight Services (OIOS) conducted an audit of knowledge and records management at the United Nations Framework Convention on Climate Change (UNFCCC).

2. UNFCCC is an international treaty established as an overall framework for intergovernmental process to combat climate change. The Convention was ratified by 192 countries and came into force in 1994. The Convention was complemented by the Kyoto Protocol (or the Protocol) which was adopted in December 1997 and has 192 Parties. The Protocol established legally binding emission reduction requirement for 37 industrialized countries. The ultimate objective of both treaties is to stabilize greenhouse gas concentrations in the atmosphere at a level that will prevent dangerous human interference with the climate system.

3. One of the targets of the 2030 Sustainable Development Goals and Targets adopted by the General Assembly in September 2015 is taking urgent action to combat climate change. In December 2015, Parties to the Convention reached an agreement (the Paris Agreement) to combat climate change and accelerate and intensify actions and investments needed for a sustainable low carbon future.

4. The Conference of Parties (COP) is the Convention's supreme legislative body which is supported by UNFCCC. The UNFCCC secretariat is required to (i) provide support to intergovernmental negotiations; (ii) assist the Parties in implementing the Convention and its Kyoto Protocol; and facilitate the flow of authoritative information on the implementation of the Convention. UNFCCC communicates knowledge and information relating to climate change action and support through its external website that is maintained and facilitated by the Communications and Outreach Programme. The substantive programmes maintain information related to mitigation, adaptation, finance, technology and capacity-building and Kyoto Protocol on their respective webpages in cooperation with Communications and Outreach Programme. Meanwhile, the Knowledge Management Unit (KMU) under Administrative Services is responsible for internal communication of knowledge and information, and records management. It is also responsible for processing and posting all official documents onto the public website, including providing metadata that facilitates search and retrieval of official documents.

5. Prior to March 2013, the Communications and Outreach Programme and KMU used to be one service called the Communications and Knowledge Management Services. In March 2013, KMU was transferred to Administrative Services for operational purposes, but its budget remained with Communications Outreach Programme.

6. The Information and Communication Technology Service (ICTS) provides the necessary technological tools to support both internal and external communications of knowledge, information and records management.

7. As of 30 June 2016, KMU was headed by the Chief, Knowledge Management Unit (P-4) who reported to the Director, Administrative Services, and had a total of six posts. The approved core budget for KMU, mainly intended for posts, were Euro 1.1 million and Euro 1.3 million for the 2014-2015 and 2016-2017 biennia, respectively. To support its activities, KMU received resources from voluntary contributions amounting to $0.3 million and $0.2 million as at 31 December 2015 and 30 June 2016, respectively. It also received ad hoc funding from the programme support cost account amounting to $0.53 million during the period January 2014 to December 2015 for its various projects.

8.   Comments provided by UNFCCC are incorporated in italics.

II.   AUDIT OBJECTIVE, SCOPE AND METHODOLOGY

9.   The objective of the audit was to assess the adequacy and effectiveness of governance, risk management and control processes over knowledge and records management at UNFCCC.

10.   This audit was included in the 2016 risk-based work plan of OIOS due to the risk that weaknesses in the management of knowledge and information assets may negatively impact the implementation of UNFCCC activities and attainment of its goals.

11.   OIOS conducted this audit from October to December 2016. The audit covered the period from January 2014 to June 2016. Based on an activity-level risk assessment, the audit covered higher and medium risk areas in knowledge and records management, which included: (i) strategic planning and governance; (ii) coordination among key players; (iii) knowledge, records and archive management systems and tools; and (iv) records repositories (electronic and physical records). The audit did not include activities of Communications Outreach Programme relating to external communication of knowledge and information on climate change.

12.   The audit methodology included: (a) interviews of key personnel; (b) review of relevant documentation; (c) analytical review of data; and (d) tests of controls.

III.   OVERALL CONCLUSION

13.   UNFCCC was systematically tracking and effectively managing its physical records and initiated changes and improvements to its information governance framework, intranet and metadata. However, UNFCCC needed to enhance effectiveness and efficiency of knowledge and records management through, *inter alia*: (a) developing a knowledge management strategy; (b) developing a business continuity and disaster recovery plan; (c) implementing an electronic records management system; and (d) strengthening contract management for knowledge management services.

IV.   AUDIT RESULTS

A.   Strategic management and governance

Need to develop a knowledge management strategy

14.   Effective knowledge management service (internal and external) is essential for UNFCCC because it aims at producing and managing reliable and authoritative data and information on greenhouse gas emissions and governments' efforts on mitigation, adaptation and financial support. A combination of elements such as technology, human resource practices, organizational structure and culture, and needs of clients (internal and external) that is fully supported by an institutional strategic framework and systems is required to ensure that the right knowledge is available and communicated at the right time.

15.   UNFCCC had a long-existing communications and knowledge management service. Policies, guidelines and technological tools were developed and improved progressively such as: the secretariat's policies and guidelines on records and archives; information sensitivity, classification and handling; enterprise-wide taxonomy and metadata; UNFCCC three-pillar objectives (people, process and impact)

with related goals on knowledge, information and records management; and inclusion of learning and knowledge sharing in the UNFCCC core competencies. Recent projects included implementation of intranet under Sharepoint, development of taxonomy and metadata, and the ongoing information governance framework. However, UNFCCC did not have an institutional knowledge management strategy that pulled together projects, initiatives, strategies, policies and guidelines relating to knowledge, information and records management which were implemented by the various programmes and units.

16. OIOS noted that the fragmented approach to knowledge management created silos among the key players involved in planning and implementing related projects and initiatives which impacted the achievement of knowledge management objectives and efficiency of its operations. For example, in 2013 KMU initiated the acquisition of an electronic records management system (eRM) that is fully compliant with international standards on records management. On the other hand, the Information Communication and Technology Section (ICTS) is advocating the use of Sharepoint to manage UNFCCC digital records, which according to KMU may compromise the integrity and reliability of the electronic records. In the 2014-2015 biennium, UNFCCC spent $25,702 on a consultant to conduct technical analyses of eRM options that KMU and ICTS were independently considering. By December 2016, the two offices had not agreed on the eRM system that would be implemented to manage UNFCCC growing digital records.

17. Meanwhile, electronic records and documents from different systems were consolidated and migrated progressively to the Sharepoint records centre. In addition, new systems such as the Submission Portal, Nationally Appropriate Mitigation Actions Registry, Nationally Determined Contributions Registry and Common Reporting Format Reporter were built to use Sharepoint as the repository for document management. But KMU indicated that it was not aware of records in other systems which were migrated to Sharepoint records centre, except for filenet records as a backup solution.

18. The consultant in the ongoing information governance framework project also reported gaps in UNFCCC's information management such as the absence of executive level management in the information programme that limited success of different initiatives which were previously implemented. The report also pointed out uneven information practices across programmes, such as the different audiovisual metadata practices adopted by Communications and Outreach Programme and KMU which resulted in duplication of effort when capturing and archiving webcasts. The consultant also indicated that records and knowledge management personnel were not represented in the different committees formed to coordinate information management related initiatives. UNFCCC explained that it was making effort to implement audio-visual metadata standards developed for use by KMU which are in compliance with the United Nations records management metadata and other international standards since the metadata practices in Communications Outreach Programme were outdated.

19. OIOS is of the opinion that the effectiveness of knowledge and records management needs to be enhanced by developing a comprehensive knowledge management strategy that would ensure that knowledge management-related projects and initiatives are effectively coordinated to support the UNFCCC mandate and goals.

> **(1) The UNFCCC secretariat should develop a comprehensive knowledge management strategy aligned to its mandate, goals and objectives to enhance the effectiveness of knowledge, information and records management.**
>
> *UNFCCC accepted recommendation 1 and stated that KMU is currently undergoing a review to primarily address the on-going funding issues and secondarily the mandate, role and organizational fit of the unit in the secretariat. One of the recommendations already received is for a management articulation of the expected role knowledge management is to play in the organization. In implementing all the recommendations, there will be need for a re-articulation of knowledge*

> *management and how it applies to the organization which would respond to the audit recommendation.* Recommendation 1 remains open pending the development of a comprehensive knowledge management strategy for UNFCCC.

Completion of information governance framework needs to be expedited

20.   The UNFCCC policy for records and archives (B/2007/2-Amend. 1) requires that UNFCCC records, irrespective of form or medium, shall be managed in compliance with UNFCCC records management programme and in accordance with the business classification scheme, records retention schedules and relevant guidelines and procedures. Records may not be destroyed or deleted unless approved for destruction in accordance with UNFCCC records retention schedule or have been identified as transitory or personal records.

21.   Recognizing the need to enhance the secretariat's ability to effectively govern its information assets and improve organizational performance, UNFCCC engaged a consultant to develop an information governance programme to manage the information assets. UNFCCC concluded the contract for the provision of services related to information governance in May 2015, which was initially expected to be completed and implemented by December 2015. The terms of reference of the contract required the consultant to assess the current state of the information management environment at UNFCCC against best practice; develop strategies to manage information across the organization; review and complete the business classification schemes; and align its information governance framework to be technology neutral and adaptable to future technology decisions; among other requirements.

22.   However, there were delays in completion and implementation of the information governance framework which impacted the secretariat's objective to establish a system that will govern its information assets and enhance its organizational performance. Delays in completion and implementation of the framework would delay the ability of the secretariat to address the risk of having poor quality or lack of trust on information; high expenditure in managing and storing information; inconsistent view of information depending on the system; and non-compliance with internal regulations. The draft information governance framework was expected to be completed and adopted in the first half of 2017.

> **(2) The UNFCCC secretariat should expedite the completion and implementation of the information governance framework to ensure coordinated and effective management of the information assets and records.**
>
> *UNFCCC accepted recommendation 2 and stated that information governance is a new concept that requires (as recommended by our consultants) approximately five years to implement with appropriate tools and additional staff resources. UNFCCC already commissioned a consultancy which was to provide a roadmap on how to move forward with information governance in the secretariat. At this point, no staff resources, additional funding or tools have been secured to advance this initiative.* Recommendation 2 remains open pending completion and implementation of the information governance framework.

Need to develop organizational business continuity and disaster recovery plan

23.   The UNFCCC policy for records and archives (B/2007/2 Amend. 1) was adopted in line with ST/SGB/2007/5 on Record-keeping and the management of United Nations archives. The policy was also in compliance with ISO 15489:2001 (Information and documentation – records management), which requires that business continuity planning and contingency measures should ensure that records which are

vital to the continued functioning of the organization are identified as part of its risk analysis, protected and recoverable when needed.

24.   UNFCCC did not have the prescribed organizational disaster recovery and continuity plan. The Convention produced approximately 95 per cent digital information, including emails of separated senior managers and staff members, which contained several years of business opinions, decisions and key processes. Original and back-up copies of shared drives were separately kept in two buildings in the same compound, and were not covered with a disaster recovery and business continuity plan. ICTS developed its risk management policy and formed the Information Security Advisory Group in November 2016. However, ICTS was yet to undertake the actual risk assessment and develop the business continuity and disaster recovery plan. ICTS explained that it is regularly checking the locations of the shared drives to physically mitigate the risks.

25.   On the other hand, the Records Management Team (RMT) had not yet conducted operational risk analysis for electronic records. Although vital records were identified in the partially completed records management toolkit, UNFCCC did not have adequate guidelines for managing electronic records, including appropriate handling of vital electronic records for business continuity and contingency measures.

26.   Effective management of UNFCCC electronic records may be compromised by the lack of an organizational disaster recovery and continuity plan. Further, lack of guidelines to mitigate the risk of loss of vital records may adversely impact the continued functioning of the Convention.

> **(3) The UNFCCC secretariat should develop a business continuity plan, contingency measures and related guidelines to appropriately protect its vital electronic records against the risk of loss and potential disruption of operations.**
>
> *UNFCCC accepted recommendation 3 and stated that it is currently developing an ICT business continuity plan and will integrate contingency measures for its vital electronic records against the risk of loss and potential disruption of operations in close collaboration with KMU. An eRM system is a fundamental requirement to protect vital records against the risk of loss and potential disruption of operations. No further work on this is possible until an eRM system is implemented.* Recommendation 3 remains open pending development of a business continuity plan, contingency measures and related guidelines to appropriately protect vital electronic records.

Need to establish a committee to oversee knowledge management-related activities

27.   Appropriate guidance and oversight is required to ensure that projects in which different offices in the organization are involved are implemented efficiently, effectively and economically.

28.   The UNFCCC Management Team discussed and followed-up on the implementation status of individual knowledge management-related projects. During the implementation of Sharepoint, UNFCCC established the enterprise content management forum (ECMF), an ad-hoc interim senior management group, to provide immediate oversight related to secretariat enterprise content management system, including some elements of knowledge management. To ensure that knowledge and records services projects are efficiently and effectively managed, UNFCCC also needed to consider establishing a committee to provide continuous oversight and direction for better coordination of knowledge management projects and activities initiated by different programmes and units. This could also mitigate delays in project implementation due to lack of consensus among key players involved in the project. The committee needs to have representation of key players involved in knowledge management activities to ensure balanced consideration of all knowledge management elements and issues in making decisions.

> **(4) The UNFCCC secretariat should establish a committee to provide oversight and ensure a holistic and coordinated approach to knowledge management projects and initiatives.**
>
> *UNFCCC accepted recommendation 4 and stated that the current ECMF has partially fulfilled this role in the past. Further responsibility and decision-making authority could be given to this group to provide the recommended oversight and coordinated approach to knowledge management projects.* Recommendation 4 remains open pending amendment of terms of reference for ECMF to include providing oversight and ensuring a holistic and coordinated approach to knowledge management projects and initiatives.

B.   Regulatory framework

<u>Physical and audio-visual records in the custody of KMU were adequately managed</u>

29.   The UNFCCC policy for records and archives (B/2007/2-Amend 1, June 2012) requires that UNFCCC records management programme shall be managed in conformity with the principles of broader United Nations records management programme and in compliance with the international standards on information and documentation (ISO 15489). The policy requires that UNFCCC records shall be managed in accordance with the established business classification scheme, records retention schedules and relevant guidelines and procedures under the said policy. Any destruction shall be approved in accordance with the records retention schedule. Inactive and permanent records shall be managed by KMU and shall be made available for consultation.

30.   KMU managed and systematically tracked inactive and permanent physical records turned over by programmes through the physical records management system (pRM). These records were classified according to established business classification scheme and retention schedules. OIOS noted that destruction of physical records was approved and carried out in accordance with the retention schedules and applicable policies and guidelines. KMU also managed the digitized audio-visual records migrated to analogue audiovisual records through the pRM.

31.   The condition of the central repositories holding physical and audio-visual records was improved overtime to conform to international standards. This included special arrangements for sensitive and confidential records; storage of paper records in clean, dry and climate controlled environment, restricted access to the repositories; established procedures in cases of events such as typhoons and flooding.

32.   OIOS therefore concluded that inactive and permanent physical records and audio-visual records under the custody of KMU were adequately managed.

<u>Need to implement an eRM system</u>

33.   The international standards on information and documentation (ISO 15489) defines records management as an efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including the processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records. UNFCCC bulletin B 2007/2 Amend. 1 requires ICTS to provide a recordkeeping system for storage, indexing, maintaining and managing electronic records in any format, including e-mail messages and ensure that records management functional requirements are fully implemented in the recordkeeping system.

34.   ICTS had not yet provided a recordkeeping system to store, index, maintain and manage UNFCCC's electronic records because ICTS and KMU could not agree on the eRM system to implement. Consequently, digital or electronic records were maintained in various media and formats which may not assure completeness and integrity of records and information.

35.   UNFCCC is mandated by the draft rules of procedures of the COP to make and arrange for keeping of sound recordings of the sessions which shall be kept in accordance with the practice of the United Nations. In line with this mandate, UNFCCC digitized its audio-visual records which captured the sessions of the COP, its protocols, subsidiary bodies and other events. One copy of the digitized audio visual records is stored in hard drives that are managed and kept by KMU's Records Management Team. Copies were transferred to the cloud storage of the contracted vendor, to serve as backup copies. However, the audio-visual records could be widely accessed, better managed and retrieved through a digital asset management or eRM system.

36.   UNFCCC also created and managed other digital or electronic records in various storage media and formats such as external hard drives, shared drives, content and document management systems, Sharepoint, intranet and public websites. These types of media storage and formats did not allow staff to manage electronic records effectively because they were not designed as eRM in accordance with the common principles and criteria for records management.

37.   Further, as stated earlier, UNFCCC spent $25,702 on a consultant who conducted technical analyses of eRM options that ICTS and KMU were considering independently. The 2014-2015 framework programme agreement between Administrative Service and ICTS also show a budget for staff cost amounting to Euro 38,000 for eRM technical analysis. In addition, UNFCCC invested approximately $478,804 to update and complete its business classification scheme, information governance toolkits and taxonomy/metadata, and digitize its audio-visual records. However, these enhancements could not be fully utilized without implementing an effective eRM system that would manage the Convention's digital records and information.

38.   Considering that most of the records were digitally created or converted, the lack of an effective eRM system may prevent UNFCCC from effectively providing knowledge, information and records services. This could negatively impact the Convention's business decisions and processes.

(5) **The UNFCCC secretariat should ensure that an effective electronic record management system, fully compliant with applicable standards, is implemented as soon as possible to achieve efficiency and effectiveness in knowledge and records management services.**

UNFCCC accepted recommendation 5 and stated that UNFCCC agrees that implementation should be carried out as soon as possible, however, the organization does not have the resources (and has not had the resources for a number of years now) to invest in an eRM system. Recommendation 5 remains open pending receipt of evidence of the action taken to explore the implementation of an effective eRM system.

Need to regularize two contracts which were not completed within the stipulated time

39.   Contracts for contractual services were managed by requesting programmes or units. The contract for the provision of information governance services signed on 30 March 2015 was supposed to remain in effect until 31 December 2015, which was also the vendor's planned completion date.

40.   There were considerable delays in the delivery of services in two contracts (information governance toolkit and intranet) managed by KMU that impacted the achievement of knowledge

management objectives. As at December 2016, the contractor for information governance services had not delivered all the required services and the contract had not yet been extended. The contractor was paid an initial sum of $147,214 and a total of $99,986 was yet to be paid for services rendered from January 2016. It was not immediately clear why the contract had not been extended or how UNFCCC was expected to pay for services rendered in 2016 without a valid contract. There was no evidence that KMU and the Procurement Unit had monitored the contract expiry date to initiate amendments to allow the vendor to deliver the remaining services.

41.   KMU explained that a lot of factors affected the delivery of services such as vendor's understanding of the requirements, quality of output submitted by the vendor, the personnel that the vendor made available for the project, timeline for the feedback process between UNFCCC and the vendor, and timing of validation process which required participation from programmes. KMU further explained that it could not compromise the quality of output for the project, and that the contract and related payments were deliverable-based and not time-bound. While understanding the concern of KMU, OIOS is of the opinion that there should be a balance between the quality of output and timely completion of the project. These factors should have been discussed carefully during the contract negotiation process, so that the contract would reflect realistic milestones for deliverables and completion of the project. KMU and the contractor should have also established deadlines for the feedback process to ensure that the project would be completed as agreed in the contract.

42.   In another contract signed on 5 February 2015 for provision of services and licenses to implement intranet on Sharepoint, a purchase order was issued to a vendor on 20 March 2015. The vendor was required to deliver outputs by September 2015 when the intranet was to go live. Documents relating to contract implementation show disagreements between the vendor and UNFCCC with regard to milestones, expectation on deliverables and payment for each segment of work deemed delivered by the vendor. This led to threats from the vendor to stop the work if UNFCCC would not pay for the work that had been delivered. UNFCCC and the vendor subsequently addressed their differences and the intranet went live on 28 October 2015. According to the project update dated 16 August 2016, UNFCCC was still expecting other deliverables and submission of documents from the vendor although 82 per cent of the agreed amount of Euro 197,880 was already paid to the vendor, excluding reimbursement of travel expenses amounting to Euro 3,502. OIOS noted that the purchase order was not amended to give effect to the new milestones for the deliverables. There was a mismatch of expectations between the requisitioner and the vendor which impacted the planned delivery of outputs.

43.   Clarity in specified deliverables and timelines facilitate the prevention of misunderstanding of mutual obligations. Further, careful monitoring of contract deliverables including expiry dates would ensure compliance with contract provisions and efficient delivery of contracted services.

> **(6) The UNFCCC Procurement Team should monitor contracts for expiry dates and coordinate with requisitioners to ensure that contracts are amended in a timely manner and services received are covered by valid contracts.**
>
> *UNFCCC accepted recommendation 6.* Recommendation 6 remains open pending receipt of evidence that measures have been taken to monitor contract expiry dates and ensure that contracts are amended in a timely manner and services received are covered by valid contracts.

V. ACKNOWLEDGEMENT

44.   OIOS wishes to express its appreciation to the management and staff of UNFCCC for the assistance and cooperation extended to the auditors during this assignment.

(*Signed*) Eleanor T. Burns
Director, Internal Audit Division
Office of Internal Oversight Services

STATUS OF AUDIT RECOMMENDATIONS

Audit of knowledge and records management at the United Nations Framework Convention on Climate Change

Rec. no.	Recommendation	Critical[1]/ Important[2]	C/ O[3]	Actions needed to close recommendation	Implementation date[4]
1	The UNFCCC secretariat should develop a comprehensive knowledge management strategy aligned to its mandate, goals and objectives to enhance the effectiveness of knowledge, information and records management.	Important	O	Comprehensive knowledge management strategy for UNFCCC.	31 December 2018
2	The UNFCCC secretariat should expedite the completion and implementation of the information governance framework to ensure coordinated and effective management of information assets and records.	Important	O	Completion and of implementation of the information governance framework.	Not provided
3	The UNFCCC secretariat should develop a business continuity plan, contingency measures and related guidelines to appropriately protect its vital electronic records against the risk of loss and potential disruption of operations.	Important	O	Development of a business continuity plan, contingency measures and related guidelines to appropriately protect vital electronic records.	31 December 2018
4	The UNFCCC secretariat should establish a committee to provide oversight and ensure a holistic and coordinated approach to knowledge management projects and initiatives.	Important	O	Amendment of terms of reference for ECMF to include providing oversight and ensuring a holistic and coordinated approach to knowledge management projects and initiatives.	30 June 2018
5	The UNFCCC secretariat should ensure that an effective electronic record management system, fully compliant with applicable standards, is implemented as soon as possible to achieve efficiency and effectiveness in knowledge and records management services.	Important	O	Evidence of the action taken to explore the implementation of an effective eRM system.	Not provided
6	The UNFCCC Procurement Team should monitor contracts for expiry dates and coordinate with	Important	O	Evidence that measures have been taken to monitor contract expiry dates and ensure that	30 June 2018

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[1] 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.

[2] 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.

[3] C = closed, O = open

[4] Date provided by UNFCCC in response to recommendations.

STATUS OF AUDIT RECOMMENDATIONS

Audit of knowledge and records management at the United Nations Framework Convention on Climate Change

	requisitioners to ensure that contracts are amended in a timely manner and services received are covered by valid contracts.		contracts are amended in a timely manner and services received are covered by valid contracts.	

APPENDIX I

Management Response

Management Response

Audit of knowledge and records management at the United Nations Framework Convention on Climate Change

Rec. no.	Recommendation	Critical[1]/ Important[2]	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
1	The UNFCCC secretariat should develop a comprehensive knowledge management strategy aligned to its mandate, goals and objectives to enhance the effectiveness of knowledge, information and records management.	Important	Yes	Chief, Knowledge Management Unit	Q4 2018	The knowledge management unit is currently undergoing a review with a view to primarily addressing the on-going funding issues and secondarily the mandate, role and organizational fit of the unit in the secretariat. One of the recommendations already received is for a management articulation of the expected role KM is to play in the organization. In implementing all the recommendations, there will be need for a re-articulation of KM and how it applies to the organization which would respond to the audit recommendation
2	The UNFCCC secretariat should expedite the completion and implementation of the information governance framework to ensure coordinated and effective management of information assets and records.	Important	Yes (subject to availability of funding)	Chief, Knowledge Management Unit	TBD	Information Governance is a new concept that requires (as recommended by our consultants) approximately 5 years to implement with appropriate tools (Electronic records management system, Taxonomy centralization tool) and additional staff resources. UNFCCC already commissioned a consultancy which was to provide us with a roadmap on how to move forward with IG in the secretariat. At this

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[1] 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.

[2] 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 knowledge and records management at the United Nations Framework Convention on Climate Change

Rec. no.	Recommendation	Critical[1]/ Important[2]	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
						point, no staff resources, additional funding or tools have been secured to advance this initiative.
3	The UNFCCC secretariat should develop a business continuity plan, contingency measures and related guidelines to appropriately protect its vital electronic records against the risk of loss and potential disruption of operations.	Important	Yes (subject to availability of funds to invest in an eRM system)	Manager, ICT programme	Q4 2018	ICT is currently developing an ICT Business Continuity Plan and will integrate contingency measures for its vital electronic records against the risk of loss and potential disruption of operations in close collaboration with Knowledge Management Unit.

An eRM system is a fundamental requirement to protect vital records against the risk of loss and potential disruption of operations. No further work on this is possible until an eRM system is implemented. |
4	The UNFCCC secretariat should establish a committee to provide oversight and ensure a holistic and coordinated approach to knowledge management projects and initiatives.	Important	Yes	Deputy Executive Secretary	June 2018	The current ECMF has partially fulfilled this role in the past. Further responsibility and decision-making authority could be given to this group to provide the recommended oversight and coordinated approach to KM projects
5	The UNFCCC secretariat should ensure that an effective digital/eRM system, fully compliant with records management standards, is implemented as soon as possible to achieve efficiency and effectiveness in knowledge and records management services.	Important	Yes (subject to availability of funds to invest in an eRM system)	TBD (upon receipt of funding)	TBD	UNFCCC agrees that implementation carried out as soon as possible, however, the organization does not have the resources (and has not had the resources for a number of years now) to invest in an eRM system.
6	The UNFCCC Procurement Team should monitor contracts for expiry dates and	Important	Yes	Chief, Procurement	Qtr 2. 2018	UNFCCC accepts the recommendation.

Management Response

Audit of knowledge and records management at the United Nations Framework Convention on Climate Change

Rec. no.	Recommendation	Critical[1]/ Important[2]	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
	coordinate with requisitioners to ensure that contracts are amended in a timely manner and services received are covered by valid contracts.			& General Services Unit, AS programme		