



INTERNAL AUDIT DIVISION

REPORT 2022/012

Audit of the United Nations Office on Drugs and Crime Regional Office for South Asia

**There is need to strengthen coordination
mechanisms and ensure that operations in
the region are implemented in an integrated
and coherent manner**

12 May 2022

Assignment No. AE2021-360-01

Audit of the United Nations Office on Drugs and Crime Regional Office for South Asia

EXECUTIVE SUMMARY

The Office of Internal Oversight Services (OIOS) conducted an audit of the United Nations Office on Drugs and Crime (UNODC) Regional Office for South Asia (ROSA). The objective of the audit was to assess the adequacy and effectiveness of governance, risk management and control processes in ensuring effective management of UNODC operations in the South Asia region. The audit covered the period from January 2018 to December 2020 and included a review of: (a) strategic planning and risk management; (b) programme management; and (c) compliance with applicable policies and procedures on procurement, financial management, travel and human resources management.

The 2018-2022 Regional Programme was prepared in collaboration with regional Member States and key stakeholders. Controls relating to risk management, procurement, travel and recruitment of personnel were operating satisfactorily. However, to optimize the effectiveness of its interventions in the South Asia region, UNODC needs to strengthen coordination mechanisms and ensure that operations in the region are implemented in an integrated and coherent manner.

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

- Strengthen mechanisms for supporting and overseeing the development and implementation of Regional Programmes; and ensure that the next Regional Programme for South Asia clearly integrates the regional and global programmes and establishes the implementation structure and key coordination mechanisms;
- Ensure that the Project Steering Committee is constituted as envisaged in the Regional Programme;
- Ensure that ROSA collaborates with global programmes in developing fundraising and donor mapping strategies and action plans, as well as on fundraising and donor engagement activities;
- Review the staffing arrangements for the South Asia region to support organizational coherence and alignment with the principles in the UNODC Field Network Structure and Nomenclature Guidance Note, and ensure that changes in staffing arrangements are clearly communicated in a timely manner;
- Ensure that ROSA consults with relevant UNODC headquarters offices and global programmes to establish appropriate operational guidelines and procedures for administrative and programmatic issues and a framework for regular meetings of management and staff; and
- Ensure that accessibility issues are addressed, and all staff are able to complete the mandatory training programmes.

UNODC accepted the recommendations and has initiated action to implement them. Actions required to close the recommendations are indicated in Annex I.

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Audit of the United Nations Office on Drugs and Crime Regional Office for South Asia

I. BACKGROUND

1. The Office of Internal Oversight Services (OIOS) conducted an audit of the United Nations Office on Drugs and Crime (UNODC) Regional Office for South Asia (ROSA).
2. ROSA is mandated to cover six countries in South Asia (Bangladesh, Bhutan, India, Maldives, Nepal and Sri Lanka), with programme offices in each of these countries and headquarters in New Delhi, India.
3. ROSA seeks to enhance the rule of law, peace, security and justice, and promote health across South Asia through activities tailored to address existing challenges and emerging threats. The strategic plan for ROSA is outlined in the Regional Programme which was initially for four years from 2018 to 2021 and was extended by another year to 31 December 2022.
4. The 2018-2022 Regional Programme covers five main thematic pillars: (i) transnational organized crime; (ii) world drug problem; (iii) corruption; (iv) terrorism; and (v) crime prevention and criminal justice.
5. During the period 2018 to 2020, ROSA implemented 56 projects with a multi-year project expenditure of \$14 million of which \$11 million (79 per cent) related to components of UNODC headquarters' global projects implemented in the region. The remaining \$3 million (21 per cent) represented regional and country projects (see Table 1).

Table 1: Annual expenditure on projects implemented by ROSA – 2018 to 2020

Year	ROSA projects (\$)	Global projects (\$)	Total (\$)
2020	683,923	4,662,727	5,346,650
2019	1,150,419	3,108,747	4,259,166
2018	1,196,602	3,371,212	4,567,814
Total	3,030,944	11,142,686	14,173,630

6. ROSA was headed by a Regional Representative at the P-5 level and had 36 personnel including 4 regular staff, 23 service contractors, and 9 consultants as of June 2021. In addition, the Global Maritime Crime Programme had its headquarters in the region in Colombo, Sri Lanka, headed by a P-5.
7. Comments provided by UNODC are incorporated in italics.

II. AUDIT OBJECTIVE, SCOPE AND METHODOLOGY

8. The objective of the audit was to assess the adequacy and effectiveness of governance, risk management and control processes in ensuring effective management of UNODC operations in the South Asia region.
9. This audit was included in the 2021 risk-based work plan of OIOS due to the risk that potential weaknesses in the management of ROSA operations could adversely affect the implementation of UNODC's mandate in the South Asia region.

10. OIOS conducted this audit from August 2021 to January 2022. The audit covered the period from January 2018 to December 2020. Based on an activity-level risk assessment, the audit covered risk areas in the management of ROSA operations, which included: (a) strategic planning and risk management; (b) programme management; and (c) compliance with applicable policies and procedures on procurement, financial management, travel and human resource management.

11. The audit methodology included: (a) interviews with key personnel; (b) review of relevant documentation; (c) analytical review of data; and (d) sample testing.

12. The audit was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.

III. AUDIT RESULTS

A. Strategic planning and risk management

Need to strengthen the integration of global and regional programmes in the Regional Programme

13. UNODC policies and guidelines on development and implementation of regional programmes call for coordination and synergies, including integration of relevant segments of global programmes into the respective geographic (regional and country) programmes. Regional Programmes are expected to be a key tool in ensuring ownership by partner countries, and a key vehicle for implementation, to assure that UNODC's work practices reflect a coherent and integrated approach at the regional and national level.

14. ROSA's 2018-2022 Regional Programme was endorsed by the UNODC Interdivisional Task Team in February 2018 and subsequently by the Programme Review Committee in April 2018. The Regional Programme was prepared in collaboration with regional Member States and key regional stakeholders. An expert group meeting which brought together Member States and key regional stakeholders was held in December 2017 to collect the national, regional and thematic priorities to be incorporated in the Regional Programme. The subsequent formal sign-off of the Regional Programme by ROSA Member States signified ownership and buy-in to the programme.

15. However, the 2018-2022 Regional Programme did not adequately address issues related to the integration of regional, country and global programmes. The budget and results frameworks did not clearly specify the activities and deliverables to be achieved by regional and global programmes. Although the implementation arrangements section stated that ROSA will continue to expand its cooperation approach with global programmes, no details of how this would be done was provided in the Regional Programme or other project/programme documents. The staffing structure of UNODC in the region was also not addressed in the Regional Programme.

16. In addition, the anti-corruption activities in the South Asia region were planned and delivered through the neighbouring Regional Office for Southeast Asia and the Pacific, through an Anti-Corruption Advisor based in Bangkok - with projects and activities across five of the six countries ROSA is mandated to cover. This arrangement was not mutually agreed upon and was not provided for in the 2018-2022 Regional Programme. It affected ROSA's ability to effectively fundraise and deliver on its anti-corruption agenda in the region. As of November 2021, ROSA had not implemented any of the activities planned under its anti-corruption sub-programme.

17. OIOS' review of correspondence and interviews with staff showed that there was inadequate coordination of ROSA activities with those of the global programmes implemented in the region. Most of

the findings discussed later in the report also relate to coordination issues. Since global programmes constitute a significant portion of projects in ROSA (37 of the 56 ongoing projects in 2021), effective integration and coordination are essential. These gaps need to be addressed when developing the new Regional Programme for the period beginning 2023. UNODC also needs to strengthen its oversight and support mechanisms at headquarters for development and implementation of regional programmes to ensure effective coordination.

(1) UNODC should: (a) strengthen mechanisms for supporting and overseeing the development and implementation of its Regional Programmes; and (b) ensure that the next Regional Programme for South Asia clearly integrates the regional and global programmes and establishes the implementation structure and key coordination mechanisms.

UNODC accepted recommendation 1 and stated that a new Management Instruction on the development of regional and country programmes was adopted in 2021 to strengthen mechanisms to support and oversee the development and implementation of Regional Programmes. In the preparation of the next Regional Programme, ROSA, with support and facilitation from the Regional Section for South Asia, East Asia and the Pacific (the Regional Section), will engage with relevant headquarters sections through Inter-Divisional Task Team meetings. In addition, the Regional Section will support ROSA on the development of the relevant integrated theory of change/logical framework with advice from the Strategic Planning and Inter-Agency Affairs Unit, and thematic experts from the Division for Operations, the Division for Policy Analysis and Public Affairs and the Division for Treaty Affairs. The effective coordination and complementarity of national/regional projects with global programmes will be a key priority to be addressed. Further, the Regional Section, in consultation with ROSA, will convene regular Interdivisional Task Team meetings throughout the life cycle of the new Regional Programme. This will include the definition, under ROSA's lead, of implementation plans with responsibilities, resources, and timelines.

Risk management activities were performed in line with UNODC guidelines

18. The 2018-2022 Regional Programme included a section that discussed risks. Key risks identified included risks related to funding gaps and limited coordination between partners. ROSA project documents also identified project level risks and mitigating actions. ROSA documented and reported its key risks through the enterprise risk management (ERM) framework and Annual Programme Progress Report and submitted its risk registers to the Division for Operations at UNODC headquarters as required.

Need to establish the Programme Steering Committee

19. The ROSA Regional Programme provided for the establishment of a Programme Steering Committee (PSC) to provide policy guidance and strategic advice and overall oversight of programme implementation. As per its draft terms of reference, the PSC was to comprise of regional Member States and was meant to meet once a year. Its key responsibilities were to: (a) review and approve the annual regional work plans; (b) provide guidance on programme activities; and (c) support mobilization of resources, including financial support required for implementing the Regional Programme.

20. ROSA did not establish the PSC as envisaged in the Regional Programme. ROSA stated that this was partly because implementation was done through a project-based approach, and oversight was therefore decentralized and practiced at the individual project level.

21. Strong governance structures help in enhancing programme oversight and support. The failure to constitute the PSC was a missed opportunity for ROSA to strengthen governance. In a letter of 25 May 2018, one of the Member States endorsed the 2018-2022 Regional Programme subject to some conditions,

one of which was strengthening the role of PSC and increasing frequency of its meetings to twice a year, as well as on an ad hoc basis if needed. As the PSC was not constituted, this was not followed through.

(2) UNODC should provide guidance to the Regional Office for South Asia to ensure that the Project Steering Committee is constituted as envisaged in the Regional Programme.

UNODC accepted recommendation 2 and stated that ROSA will ensure that the PSC for the new Regional Programme is established and that it meets annually, thus increasing ownership of the Regional Programme by the participating countries; facilitating the review of the Regional Programme's implementation; and providing strategic recommendations that would guide UNODC's future action.

Need to develop fundraising action plans and streamline donor engagement practices

22. The UNODC Field Network Structure and Nomenclature Guidance Note requires UNODC regional offices to develop resource mobilization strategies to pursue the financial resources necessary to support UNODC interventions. Additionally, the 2021 UNODC Management Instructions on Fundraising require regional and country programmes to be accompanied by fundraising plans, and the instructions specify the elements to be included in the fundraising plans.

23. ROSA had developed a “Donor Engagement Strategy and Donor Mapping Strategy” which set out the measures to be pursued to mobilize resources required to implement its 2018-2022 Regional Programme. ROSA had also developed a communications strategy to enhance its visibility and engagement with key regional stakeholders and donors. However, ROSA was experiencing significant funding shortfalls. As of December 2021, with only one year of implementation remaining, ROSA had only mobilized about \$3 million of the \$15.6 million needed to fully implement its Regional Programme. ROSA needs to prepare a clear resource mobilization action plan in line with the new management instructions on fundraising, and funding gaps need to be monitored and reported in the annual performance reports.

24. Further, coordination between ROSA and the global programmes operating in the region needs to be enhanced to optimize resource mobilization efforts. The Global Maritime Crime Programme (GMCP), which had significant operations in the region, had no input or visibility on the ROSA donor engagement and communications strategies. Instead, GMCP followed its own resource mobilization and communications strategies. There were also instances where global programmes and ROSA did not effectively coordinate in developing proposals, which exposed UNODC to the risks of duplication, overlap, and competition in pursuit of donor funds.

(3) UNODC should ensure that: (a) the Regional Office for South Asia (ROSA) collaborates with global programmes in developing fundraising and donor mapping strategies and action plans; and (b) institutional mechanisms are established to ensure effective consultation and coordination between ROSA and the global programmes on fundraising and donor engagement activities.

UNODC accepted recommendation 3 and stated that during the development of the Regional Programme, global programmes will be consulted to ensure full complementarity of donor mapping initiatives and fundraising approaches. In particular, the Regional Section will support ROSA in developing a fundraising plan and fundraising prospects, in coordination with the Co-Financing and Partnership Section. Regular Interdivisional Task Team meetings throughout the Regional Programme's life cycle will be convened by the Regional Section upon consultation with ROSA to periodically review the effectiveness of the coordination mechanisms especially those that relate to fundraising and donor engagement activities.

Need to holistically review organizational design and management structures

25. According to the UNODC Field Network Structure and Nomenclature Guidance Note, regional offices are required to coordinate, monitor, and evaluate the overall delivery of technical cooperation programmes and activities within their jurisdictions, including those delivered under UNODC global programmes. In the course of 2020 and 2021, UNODC made some ad-hoc changes to the staffing and leadership arrangements in the South Asia region which were in some cases not clearly communicated, and the role of the Regional Representative was not clearly defined and aligned to the Guidance Note as explained below.

26. Prior to April 2020, the Head of GMCP reported to the Regional Representative. This was changed in April 2020 when the Head of GMCP started reporting to the Deputy Director, Division for Operations at UNODC headquarters. The change was made pursuant to a decision by the Division for Operations that field-based global programme managers should report directly to senior management at UNODC headquarters in view of the global nature of their responsibilities. The Regional Representative indicated that he was not informed of this change, and only got to learn about it in October 2020 (six months later).

27. After the change in reporting lines, the Regional Representative's role in implementing GMCP activities in the region was unclear. OIOS' review of correspondence showed that the Head of GMCP periodically sent email updates to the Regional Representative, but this reporting was not formalized.

28. A P-5 position of Senior Programme Officer and Head of the Sri Lanka and Maldives programme offices was created in April 2020 and temporarily filled with an Acting Head in April 2020. The new post was funded by GMCP and the UNODC Terrorism Prevention Branch which also implemented projects in the region. Reporting lines for the ROSA staff based in the two countries (Sri Lanka and Maldives) were changed from reporting to the Regional Representative to reporting to the newly appointed Acting Head. The appointment of the Acting Head and related changes in reporting arrangements were not properly communicated to staff at the time they were made in April 2020; instead, they were only clarified seven months later in November 2020.

29. Further, although the terms of reference of the Acting Head indicated that he was to report operationally to the Regional Representative, in practice, from April to November 2020, the Acting Head reported to the head of GMCP (first reporting officer) and to the Chief of the Terrorism Prevention Branch (second reporting officer). The reporting lines were subsequently changed and from December 2020, the Acting Head started reporting to the Regional Representative (first reporting officer) and the Chief of the Terrorism Prevention Branch (second reporting officer), with the Head of GMCP as additional reporting officer. The Acting Head was moved to a new position effective 1 January 2022.

30. UNODC needs to holistically review the staffing arrangements in the region when developing the new Regional Programme and ensure that the structure is complemented by appropriate coordination mechanisms that are clearly communicated to all staff.

(4) UNODC should: (a) review the staffing arrangements for the South Asia region to support organizational coherence and alignment with the principles in the UNODC Field Network Structure and Nomenclature Guidance Note; and (b) ensure that changes in staffing arrangements are clearly communicated in a timely manner.

UNODC accepted recommendation 4 and stated that all staff deployment by headquarters global programmes will be discussed in advance with ROSA to clarify roles, responsibilities, and reporting lines. Upon the arrival of the new Regional Representative, the coordination arrangements within South Asia field office network will be reviewed. Consultations with relevant global programmes will

also be undertaken to assess potential staff deployment and/or discuss the support required to existing staff in the field. The Division for Operations will ensure that timely communication on matters that concern organizational structural reviews and changes is carried out with all concerned staff and personnel.

B. Programme and project management

Need to establish operational guidelines and procedures for the region

31. As per the UNODC Field Network Structure and Nomenclature Guidance Note, regional offices are responsible for managing the administrative, financial and human resources assigned to them and the sub-offices under their supervision. However, ROSA had not established guidelines and procedures that would help to clarify operational arrangements and coordination mechanisms for programmatic and administrative issues in the region. With regard to recruitment practices for instance, ROSA was not involved and had no visibility of recruitment actions and personnel records of national GMCP personnel. Further, there were no regular meetings of staff or management of ROSA, GMCP and other global programmes operating in the region. Such meetings could be useful avenues for briefing staff on regional priorities, reviewing and monitoring the progress in implementation of the Regional Programme, and sharing experiences and best practices. Such meetings are also necessary to help build team spirit within the workforce and promote a corporate identity.

(5) The UNODC Regional Office for South Asia should, in consultation with relevant UNODC headquarters offices and global programmes, establish: (a) appropriate operational guidelines and procedures for administrative and programmatic issues; and (b) a framework for regular meetings of management and staff.

UNODC accepted recommendation 5 and stated that ROSA will ensure that all Management Instructions as well as corporate guidelines and procedures are shared with and adhered to by all staff. New standard operating procedures on human resources, finance, and other administrative issues may be developed based on ROSA's local needs. Under the leadership of the ROSA Representative, regular staff meetings will be conducted with UNODC staff across South Asia. Such meetings will be properly documented.

There was an ongoing effort to strengthen performance monitoring and reporting

32. ROSA prepared and submitted to UNODC headquarters the required performance reports including the Annual and Semi-Annual Project Progress Reports; the Annual Programme Progress Report; and the Annual Internal Oversight Reports for the years 2018 to 2020. The reports collectively captured the operational and programmatic activities of ROSA and consolidated the results of global programmes implemented within the region. However, the progress reporting in the Annual Programme Progress Report was not done with reference to the baseline goals, objectives and outcomes outlined in the Regional Programme. The reports did not clearly show the extent to which progress was achieved against the commitment made by UNODC in the Regional Programme, and reasons for any shortfall. The results were also tracked on individual project basis across the region and manually consolidated for regional reporting purposes which was inefficient and increased the risk of error. ROSA indicated that gaps in performance monitoring and reporting would be addressed through the implementation of Umoja Extension 2 which is expected to systematize the way programme results are tracked, monitored and reported.

Action was taken action to improve mainstreaming of gender and human rights issues in project documents

33. The projects initiated by ROSA were aligned to the Sustainable Development Goals (SDGs), namely: SDG 3 on good health and well-being; SDG 5 on gender equality; and SDG 16 on peace, justice and strong institutions. Three of the six projects reviewed contained gender and human rights indicators and reported on their achievement as required by the UNODC Strategy for Gender and the UNODC 2011 Guidance for Promotion and Protection of Human Rights. For the other three projects reviewed, while gender and human rights aspects were mentioned in the project documents, there were no specific and measurable performance indicators, and the related project reports did not show whether, how or what gender and human rights related deliverables were achieved.

34. ROSA acknowledged the shortcomings and stated that these were partly attributable to the fact that the projects were developed in 2017 and 2018. Since then, UNODC has enhanced its practices for mainstreaming gender and human rights issues through guidelines, templates and checklists. These were complemented by gender training and newly issued guidelines, including the UNODC project management guidelines issued in 2021. The guidelines explain in detail how cross-cutting themes such as gender are to be incorporated in new projects and programmes.

C. Regulatory framework

Need to ensure that project expenditures are properly recorded

35. The total value of procurement transactions initiated by ROSA during the period 2018-2020 was \$6 million. OIOS' review of a sample of 35 procurement transactions valued at \$2.5 million (42 per cent of the total value of procurement transactions) indicated that competitive selection processes were followed, and purchase orders and contracts were appropriately authorized and issued. Further, review of a sample of 35 travel transactions showed that travel expenses were aligned to programme activities and processed in accordance with established procedures.

36. In the review of 35 procurement cases, there were 9 cases where expenditures were posted to the wrong cost centres. Of the nine cases, five totaling \$67,674 related to non-ROSA transactions that were mis-posted to ROSA cost centres, and four transactions totaling \$48,806 related to ROSA consultancy contracts that were mis-posted to other cost centres. Posting errors mean that financial reports used for internal budget monitoring and donor reporting purposes may be inaccurate. Certifying officers need to be diligent in ensuring that project expenditures are properly coded.

37. GMCP acknowledged the shortcomings in project expenditure allocation and attributed them to the fact that the programme operates projects across multiple locations and cost centres. GMCP indicated that it will liaise with the UNODC Financial Resources Management Service to assess how the misallocations could be corrected.

Need to ensure that staff fully comply with the mandatory training requirements

38. ST/SGB/2018/4 outlines the mandatory training programmes and requires supervisors, heads of departments and offices to ensure compliance with mandatory learning requirements and allocate sufficient time for staff members to complete them as part of their official duties. ROSA monitored staff compliance with the mandatory training programmes and periodically reported the status to the UNODC Human Resources Management Service. The compliance rate had improved over the years but was still low at 52 per cent in 2020, compared to 34 per cent in 2019 and 8 per cent in 2018. ROSA attributed the low compliance rate to technical and accessibility issues faced by staff in Inspira and the e-learning portal.

- (6) The UNODC Regional Office for South Asia should consult with the Human Resources Management Service to address accessibility issues and ensure that all staff are able to complete the mandatory training programmes.**

UNODC accepted recommendation 6 and stated that ROSA will instruct all staff to complete mandatory training programmes and monitor compliance. Any accessibility issues will be addressed promptly, in close coordination with the Human Resources Management Service.

IV. ACKNOWLEDGEMENT

39. OIOS wishes to express its appreciation to the management and staff of UNODC 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 the United Nations Office on Drugs and Crime Regional Office for South Asia

Rec. no.	Recommendation	Critical ¹ / Important ²	C/ O ³	Actions needed to close recommendation	Implementation date ⁴
1	UNODC should: (a) strengthen mechanisms for supporting and overseeing the development and implementation of its Regional Programmes; and (b) ensure that the next Regional Programme for South Asia clearly integrates the regional and global programmes and establishes the implementation structure and key coordination mechanisms.	Important	O	Receipt of evidence: (a) of actions taken to strengthen mechanisms for supporting and overseeing the development and implementation of Regional Programmes; and (b) that the next Regional Programme clearly integrates the regional and global programmes and establishes the implementation structure and key coordination mechanisms.	30 June 2023
2	UNODC should provide guidance to the Regional Office for South Asia to ensure that the Project Steering Committee is constituted as envisaged in the Regional Programme.	Important	O	Receipt of evidence of the establishment of the PSC for the new Regional Programme.	30 November 2022
3	UNODC should ensure that: (a) the Regional Office for South Asia (ROSA) collaborates with global programmes in developing fundraising and donor mapping strategies and action plans; and (b) institutional mechanisms are established to ensure effective consultation and coordination between ROSA and the global programmes on fundraising and donor engagement activities.	Important	O	Receipt of details of the actions taken and/or institutional mechanisms established to ensure that ROSA collaborates with global programmes in the development of fundraising and donor mapping strategies and action plans, as well as on fundraising and donor engagement activities.	30 June 2023
4	UNODC should: (a) review the staffing arrangements for the South Asia region to support organizational coherence and alignment with the principles in the UNODC Field Network Structure and Nomenclature Guidance Note; and (b) ensure that changes in staffing arrangements are clearly communicated in a timely manner.	Important	O	Receipt of evidence that: (a) the staffing arrangements for the South Asia region have been holistically reviewed to support organizational coherence and alignment with the Guidance Note; and (b) changes in staffing arrangements are clearly communicated in a timely manner.	31 December 2022

¹ Critical recommendations address those risk issues that require immediate management attention. Failure to take action could have a critical or significant adverse impact on the Organization.

² Important recommendations address those risk issues that require timely management attention. Failure to take action could have a high or moderate adverse impact on the Organization.

³ Please note the value C denotes closed recommendations whereas O refers to open recommendations.

⁴ Date provided by UNODC in response to recommendations.

STATUS OF AUDIT RECOMMENDATIONS

Audit of the United Nations Office on Drugs and Crime Regional Office for South Asia

Rec. no.	Recommendation	Critical ¹ / Important ²	C/ O ³	Actions needed to close recommendation	Implementation date ⁴
5	The UNODC Regional Office for South Asia should, in consultation with relevant UNODC headquarters offices and global programmes, establish: (a) appropriate operational guidelines and procedures for administrative and programmatic issues; and (b) a framework for regular meetings of management and staff.	Important	O	Receipt of evidence that ROSA has consulted with global programmes operating in the South Asia region and established appropriate operational guidelines and procedures and a framework for regular meetings of management and staff.	31 December 2022
6	The UNODC Regional Office for South Asia should consult with the Human Resources Management Service to address accessibility issues and ensure that all staff are able to complete the mandatory training programmes.	Important	O	Receipt of evidence that accessibility issues have been addressed and staff are able to complete the mandatory training programmes.	30 September 2022

APPENDIX I

Management Response

Management Response

Audit of the United Nations Office on Drugs and Crime Regional Office for South Asia

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
1	UNODC should: (a) strengthen mechanisms for supporting and overseeing the development and implementation of its Regional Programmes; and (b) ensure that the next Regional Programme for South Asia clearly integrates the regional and global programmes and establishes the implementation structure and key coordination mechanisms.	Important	Yes	<p>a) Deputy Director, Division for Operations and Chair, Programme Review Committee</p> <p>b) ROSA Regional Representative with support from RSSAEAP, IDTT members and Global Programme (GP) managers</p>	30 June 2023	<p>UNODC accepts the recommendation.</p> <p>A new Management Instruction (MI) on the development of regional and country programmes was adopted in 2021 to strengthen the mechanisms to support and oversee the development and implementation of Regional Programmes.</p> <p>a) In the preparation of the next Regional Programme (RP), the Regional Office for South Asia (ROSA), with support and facilitation from the Regional Section for South Asia, East Asia and the Pacific (RSSAEAP), will engage with all relevant HQ sections, including global programmes, through Inter-Divisional Task Team (IDTT) meetings. In addition, RSSAEAP will support ROSA on the development of the relevant integrated theory of change/logical framework, with advice from the Strategic Planning and Inter-Agency Affairs Unit (SPIA), and thematic experts from the Division for Operations (DO), the Division for Policy Analysis and Public Affairs (DPA) and the Division for Treaty Affairs (DTA). The</p>

¹ Critical recommendations address those risk issues that require immediate management attention. Failure to take action could have a critical or significant adverse impact on the Organization.

² Important recommendations address those risk issues that require timely management attention. Failure to take action could have a high or moderate adverse impact on the Organization.

Management Response

Audit of the United Nations Office on Drugs and Crime Regional Office for South Asia

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
						<p>effective coordination and complementarity of national/regional projects with global programmes will be a key priority to be addressed.</p> <p>b) RSSAEAP, in consultation with ROSA, will convene regular IDTTs, throughout the life cycle of the new Regional Programme. This will include the definition, under ROSA's lead, of implementation plans with responsibilities, resources, and timelines.</p>
2	UNODC should provide guidance to the Regional Office for South Asia to ensure that the Project Steering Committee is constituted as envisaged in the Regional Programme.	Important	Yes	ROSA Regional Representative	30 November 2022	<p>UNODC accepts the recommendation.</p> <p>The Regional Office for South Asia will ensure that a Programme Steering Committee for the new Regional Programme is established at the outset of the RP development process and that it meets annually, thus increasing ownership of the RP by the participating countries; facilitating the review of the RP's implementation; and providing strategic-level recommendations that would guide UNODC's future action.</p>
3	UNODC should ensure that: (a) the Regional Office for South Asia (ROSA) collaborates with global programmes in developing fundraising and donor mapping strategies and action plans; and (b) institutional mechanisms are established to ensure effective consultation and coordination	Important	Yes	a) ROSA Regional Representative in coordination with GP managers and with advice from CPS	30 June 2023	<p>UNODC accepts the recommendation.</p> <p>a) During the development of the Regional Programme, global programmes will be consulted to ensure full complementarity of donor mapping initiatives and fundraising approaches. In particular, RSSAEAP will support ROSA in developing a fund-raising plan and fund-raising prospects, in</p>

Management Response

Audit of the United Nations Office on Drugs and Crime Regional Office for South Asia

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
	between ROSA and the global programmes on fundraising and donor engagement activities.			b) ROSA Regional Representative, in coordination with GP managers and with support from RSSAEAP		<p>coordination with – and with advice from - the Co-Financing and Partnership Section (CPS), to be annexed to the new RP and its Concept Note, respectively.</p> <p>b) Regular IDTTs throughout the RP life cycle will be convened by RSSAEAP, upon consultation with ROSA, to periodically review the effectiveness of the coordination mechanisms established between ROSA and HQ partners, especially, with advice from CPS, those that relate to fundraising and donor engagement activities (please refer to related comments on recommendation no. 1).</p>
4	UNODC should: (a) review the staffing arrangements for the South Asia region to support organizational coherence and alignment with the principles in the UNODC Field Network Structure and Nomenclature Guidance Note; and (b) ensure that changes in staffing arrangements are clearly communicated in a timely manner.	Important	Yes	<p>a) ROSA Regional Representative, with support from RSSAEAP and the Office of the Director/DO</p> <p>b) Deputy Director, Division for Operations</p>	31 December 2022	<p>UNODC accepts the recommendation.</p> <p>a) All staff deployment by HQ/global programmes will be discussed in advance with ROSA to clarify roles, responsibilities, and reporting lines. Upon the arrival of the new Regional Representative, the coordination arrangements within South Asia field office network will be reviewed. Consultations with relevant global programmes will also be undertaken to assess potential staff deployment and/or discuss the support required to existing staff in the field.</p> <p>b) Senior management at the Division for Operations will ensure that timely communication on matters that concern organizational structural reviews and changes</p>

Management Response

Audit of the United Nations Office on Drugs and Crime Regional Office for South Asia

Rec. no.	Recommendation	Critical ¹ / Important ²	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
						is carried out with all concerned staff and personnel.
5	The UNODC Regional Office for South Asia should, in consultation with relevant UNODC headquarters offices and global programmes, establish: (a) appropriate operational guidelines and procedures for administrative and programmatic issues; and (b) a framework for regular meetings of management and staff.	Important	Yes	a) ROSA Regional Representative b) ROSA Regional Representative/O-i-C	31 December 2022	UNODC accepts the recommendation. ROSA will ensure that: (a) All Management Instructions (MIs) as well as corporate guidelines and procedures are shared with and adhered to by all staff. New standard operating procedures (on Human Resources, Finance and other administrative issues) may be developed based on ROSA's local needs. (b) Under the leadership of the ROSA Representative/O-i-C, regular staff meetings will be conducted with UNODC staff across South Asia. Such meetings will be properly documented.
6	The UNODC Regional Office for South Asia should consult with the Human Resources Management Service to address accessibility issues and ensure that all staff are able to complete the mandatory training programmes.	Important	Yes	ROSA Regional Representative/O-i-C, in consultation and with – and advice from – HRMS	30 September 2022	UNODC accepts the recommendation. ROSA management will instruct all staff to complete mandatory training programmes and monitor compliance. Any accessibility issues will be addressed promptly, in close coordination with the Human Resources Management Service (HRMS).