

# Open IAOC Recommendations on IAOD

Code	Recommendation Description	Report N°	Year Report Issued	Month Report Issued	Prog No.	Comments on Status	Action Status	Recommendation status	% Compl.	Action Status Date
Audit Committee/2007/ WIPO Audit Committee, Seventh Meeting/1 (para 10a)/1	The Secretariat embarks on a more vigorous recruitment process for vacant posts and that, in the interim, the Director of IAOD, with backing from the Controller, enhances and intensifies outsourcing of IAOD activities and recruitment of temporary staff.	WO/AC/7/2	2007	December	26	a) IAOD very much welcomes the Committee's support for more staff and resources. More staff resources for internal audit, investigations, evaluation, and administrative support are still urgently required. The Director IAOD has continued to request more posts for IAOD from past and present Director generals on several occasions and for each revision of the Program Budget since 2007. Half the staff of IAOD are on temporary contracts. Extensive use is still made of short term experts.	In progress	In progress	50%	April 2011
Audit Committee/2008/ WIPO Audit Committee, Ninth Meeting/1 (para 9a)/1	Concerning staffing, the Director of IAOD, in consultation with the Controller and the Director of HRMD, should ensure the full establishment of IAOD's regular budget posts, including recruitment of a second auditor.	WO/AC/9/2	2008	May	26	At the date of this report IAOD currently has six posts ( 4 are filled) with short term staff. The revised Program and Budget for 2009 decreased approved posts for IAOD from 7 to 6. JIU norms for Oversight staffing have not yet been met. They are set out in Annex I to the JIU report on Oversight Lacunae (JIU/REP/2006/2) which defines the criteria and ranges for determining the numbers of auditors, investigators and evaluators that a UN organization or agency should have. These ranges, if applied to WIPO, are: four to eight auditors; one to two investigators; and two to four evaluators (plus adequate support staff). IAOD would suggest that sufficient levels of staff based on risk assessments, needs analysis and work loads is four auditors, three investigators, three evaluators, two administrative support staff and the Director. A total of 12 posts compared to the 6 posts currently allocated and the current headcount of 7. A recent report the JIU confirmed their views on the shortage of staff in the Internal Audit Section.	In progress	In progress	50%	April 2011
Audit Committee/2010/ WIPO Audit Committee, Sixteenth Meeting/1 (para 41)/1	The Committee recommends that every effort be made by each service concerned to expedite the filling of vacant IAOD posts.	WO/AC/16/2	2010	April	26	Recruitment of P5 post for the Head of the Investigation Section still ongoing.	In progress	In progress	50%	April 2011
Audit Committee/2011/ WIPO Audit Committee, Twenty First Meeting/para 25/1	Following discussions with Management, preferably at the WIPO ICT Board level, IAOD should provide the Committee with an update on its Internal Audit Report IA/03/2010 "Follow Up Audit of IT Security and Access Controls", to include clarification on all outstanding information security related assurance activities.	WO/AC/21/2	2011	June	26	IAOD has held initial meetings with the CIO and head of information Security. IAOD is assessing management's assertions for all IT and IS related recommendations as requested by the chair of the IAOC in her letter to the Director, IAOD dated June 7, 2011	In progress	In progress	50%	
Audit Committee/2011/ WIPO Audit Committee, Twenty First Meeting/para 18/1	In view of differences noted in paragraph 11 above, and in accordance with professional standards recommendations,4 the IAOD annual plan should take into account input from senior management on risk perceptions and be discussed with the Committee before being submitted for approval.	WO/AC/21/2	2011	June	26	IAOD does consult senior management prior to or during audits to solicit input for future audit coverage in their particular areas of responsibility. IAOD believes that it fulfills the objectives stated in IIA practice advisories PA 2110-1 and PA 2110-2 o	Not started yet	Not started yet		