



# General Assembly

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## Executive Committee of the High Commissioner's Programme

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Item 6 of the provisional agenda

### Reports relating to programme and administrative oversight and evaluation

## Report on activities of the Inspector General's Office

### Report by the Inspector General

#### *Summary*

The present report has been prepared in conformity with the decision of the Executive Committee of the High Commissioner's Programme to receive reports relating to programme and administrative oversight and evaluation during its annual plenary session (A/AC.96/1003, para. 1 (f)(vi)). Also relevant is the decision of the Executive Committee that summary reports covering inquiries and the main categories of investigations, the number of such types of investigation, the average time taken to complete investigations, and a description of related disciplinary action should regularly be made available to the Executive Committee (A/AC.96/1021, para. 24 (e)). The report covers the period from mid-2011 to mid-2012.

| Contents       |  |                        |
|----------------|--|------------------------|
| <i>Chapter</i> |  | <i>Paragraphs Page</i> |
| I.             | Introduction .....                                       | 1-4 3                  |
|                | A. Management .....                                      | 3 3                    |
|                | B. Recent developments .....                             | 4 3                    |
| II.            | Inspections .....  | 5-14 3                 |
|                | A. Inspection plan and inspections missions .....        | 5-7 3                  |
|                | B. Methodology and approaches .....                      | 8-12 4                 |
|                | C. Collaboration with the UN Joint Inspection Unit ..... | 13-14 4                |
| III.           | Investigations .....                                     | 15-22 4                |
|                | A. Caseload and reporting .....                          | 15-17 4                |
|                | B. UNHCR-NGO coordination on investigations .....        | 18-19 5                |
|                | C. Trainings .....                                       | 20-21 6                |
|                | D. Missions .....  | 22 6                   |
| IV.            | <i>Ad hoc</i> inquiries .....                            | 23-24 6                |

## **I. Introduction**

1. The Inspector General's Office (IGO) within the Office of the United Nations High Commissioner for Refugees has three core functions: inspections of the quality of management of UNHCR operations; investigations of allegations of misconduct by UNHCR personnel; and *ad hoc* inquiries into violent attacks on UNHCR personnel and operations, as well as into other incidents causing major loss or damage to UNHCR's integrity, credibility or assets.
2. This report outlines recent developments and activities undertaken by the IGO between July 2011 and the end of June 2012.

### **A. Management**

3. The current Inspector General took up his functions on 1 October 2011.

### **B. Recent developments**

4. During the period under review, the IGO continued to explore the key policy and practical challenges related to the proposed establishment of an internal audit service. In cooperation with UNHCR's Organizational and Development Management Service, the IGO is assessing options for the continuing provision of internal audit services. A business case and timeline for implementation of the preferred option will be developed by the end of 2012.

## **II. Inspections**

### **A. Inspection plan and inspection missions**

5. The 2012 Inspection Plan was established following consultation with the Regional Bureaux, the Audit Section of the Office of Internal Oversight Services (OIOS) and the Policy Development and Evaluation Service. The selection of operations took into account a range of risk factors and management challenges, as well as the history of previous inspections.
6. Since its last report, the IGO has conducted seven standard inspections of field operations: Central African Republic (the); Djibouti; Greece; Hungary and selected countries covered by the Regional Representation for Central Europe; Kyrgyzstan; Tunisia; and Venezuela (Bolivarian Republic of). The Tunisia inspection was undertaken simultaneously and in conjunction with an OIOS Audit. In addition, a compliance mission to Algeria was undertaken as follow-up to the standard inspection conducted in 2010.
7. During the reporting period, the Inspection Service issued closure memoranda for 25 standard inspections that had been conducted between 2007 and 2010. This followed the receipt and review of periodic reports of the implementation of the mission recommendations by the Inspection Service. The rate of compliance with recommendations remains high, at 84 percent.

## **B. Methodology and approaches**

8. The Inspection Service piloted the use of a modified version of the Global Management Accountability Framework (GMAF). The tool analyzes compliance with GMAF accountabilities and responsibilities in the areas of strategic management, protection, programme and administration. The main aim is to produce shorter reports with fewer recommendations that address only those issues assessed as having a high or medium impact on the delivery of protection and assistance.

9. The Inspection Service will issue its biennial recurring findings analysis for the period 2010-2011 during the coming six month period. A series of briefs reviewing key issues identified as recurring during inspection missions since 2007 is also being prepared as a management tool to be used by operations for planning as well as compliance. To date, papers on sexual and gender-based violence; the age, gender and diversity approach; and living and working conditions have been completed.

10. An advanced inspection training workshop was attended by twenty-one Geneva-based and six field-based middle and senior managers. The workshop provided the participants with advanced professional skills and knowledge for potential participation in inspection missions, thereby providing the IGO with a reserve of trained staff for future inspection missions.

11. The revised inspection report and recommendations database is nearing completion. It will enhance the ability of the Service to track the status of recommendations from inspection missions and provide a sound statistical basis for reporting purposes.

12. In partnership with the Global Learning Centre, the Inspection Service has finished work on an introductory online course on inspection, which is in final development. The course offers UNHCR staff insights into the objectives and conduct of inspections.

## **C. Collaboration with the UN Joint Inspection Unit**

13. The Inspector General met with the Chairman and the Executive Secretary of the Joint Inspection Unit (JIU) in early 2012 to reiterate UNHCR's support for the work of the JIU and to explore new avenues of cooperation. The JIU Chairman noted UNHCR's improved performance with respect to compliance though underlined that further improvements could be made. By the end of 2011, UNHCR had implemented 53.7 percent of accepted recommendations generated in the period 2004-2010 and was in the process of implementing an additional 40.5 percent.

14. The IGO shared the JIU's 2012 Programme of Work with UNHCR's divisions and highlighted those reviews of particular relevance to the organization. It oversaw the distribution of 24 JIU reviews from the period 2010-12 and coordinated UNHCR's comments and inputs. In response to JIU follow-up, the IGO edited UNHCR's inputs on 144 recommendations from reviews issued during 2008-2010.

## **III. Investigations**

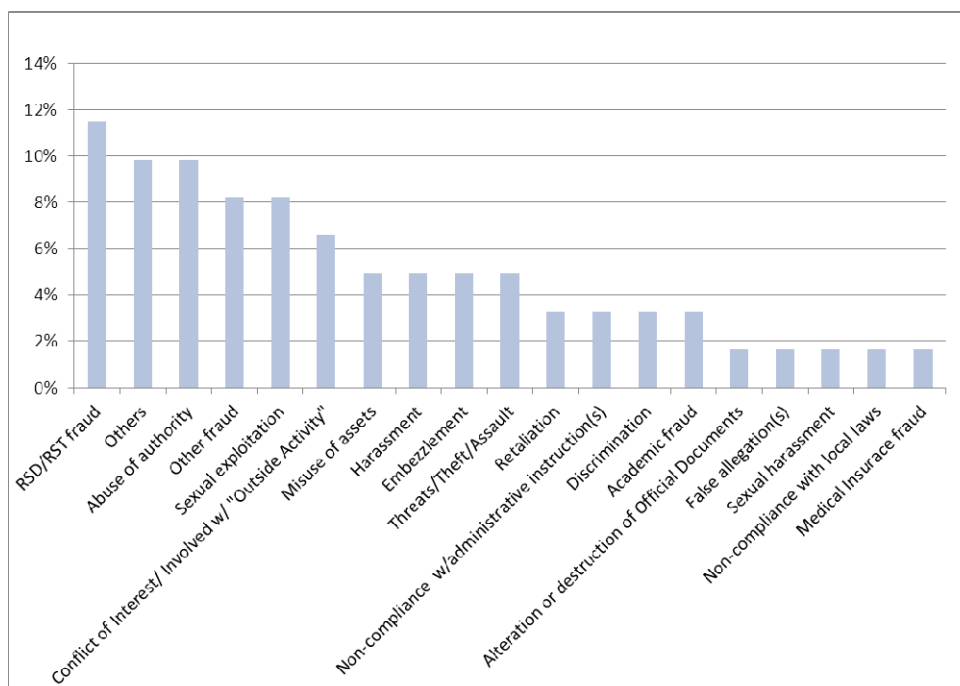
### **A. Caseload and reporting**

15. During the reporting period, the IGO registered 1,137 complaints. Of these, 782 related to protection and assistance, while 180 (16 percent) involved allegations of misconduct. The remainder raised matters not directly of concern to the IGO.

16. The 180 complaints of misconduct were carefully assessed by the Intake Unit, and sufficient grounds were found to open 61 cases. The introduction of the i-Sight database

has facilitated the prompt assessment of complaints as they are received. A typology of cases is outlined in the table below:

#### Typology of cases registered between July 2011 and June 2012



17. During the reporting period, 96 cases were closed. Fifteen of these cases resulted in referral of a Preliminary Investigation Report to DHRM for further action, including determination of possible disciplinary measures. The completion of this substantial number of investigations is reflective of the Investigation Service's concerted effort to clear what had become a significant backlog. Of the cases closed, two were opened in 2008; 28 in 2009; 31 in 2010; 30 in 2011; 5 in 2012. In 2012, the number of open cases has averaged 75.

#### B. UNHCR-NGO coordination on investigations

18. The IGO convened a meeting with nine of UNHCR's major implementing partners to explore modalities of cooperating on investigations. Agencies shared their complaints mechanism and investigation protocols, and areas of cooperation were identified, including referral systems and sharing of expertise in investigation methodologies. Improving training was identified as one area which could draw on the existing materials and experience of the Humanitarian Accountability Partnership, InterAction and UNHCR. UNHCR reported that it is revising its standard sub-agreement with implementing partners to include a mandatory clause relating to the obligation to report and investigate misconduct and to share findings. A consultant is now implementing some of the activities agreed upon at this meeting.

19. Standard Operating Procedures (SOPs) for referral of cases and the sharing of sensitive materials between organizations are being developed. By the end of 2012, draft guidelines for UNHCR - NGO cooperation on investigations, including SOPs, will be completed.

### **C. Trainings**

20. An Investigation Learning Programme training was held in December 2011 for UNHCR staff serving in the Americas region. The purpose of this training was to increase the scope and number of colleagues able to assist locally with investigations, thereby reducing the cost of investigation missions.

21. Investigation Service colleagues attended two international investigation trainings in Austria and Switzerland, which addressed investigative methodologies including forensic handling of exhibits and relevant information technology.

### **D. Missions**

22. In 2012 Senior Investigators harmonized work plans to enable joint travel and support where necessary. During the reporting period, investigation missions were undertaken to nine countries on the African continent, one in south-east Asia and one in the Middle East. The cases investigated on mission included serious allegations of sexual exploitation and abuse, refugee status determination and/or resettlement fraud and financial fraud.

## **IV. *Ad hoc* inquiries**

23. Two *ad hoc* inquiries were undertaken during the reporting period: in December 2011, a team was dispatched to Afghanistan following the violent attack on UNHCR's Sub-Office in Kandahar, and, in June 2012, a senior staff member in the Democratic Republic of Congo was requested by the Inspector General to conduct an inquiry into the fatal shooting of a national field safety staff member in one of the Field Offices. The latter inquiry highlighted the need, previously identified by the IGO, to review the process of recruitment of local field safety staff.

24. In addition, the IGO undertook two reviews of recruitment processes: one into the policy and processes in the selection of candidates for a specific functional group of positions in 2011, and one, at the request of the High Commissioner, into the recruitment of interpreters without the requisite language skills.

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