

**ANNEX I**  
**SUMMARY OF RECOMMENDATIONS**  
**Audit of UNHCR operations in Zambia**

Para. no.	Recommendation	Accepted? (Yes/No)	Implementation date	Client comments
12	The UNHCR Representation in Zambia should prepare and implement a plan for performance monitoring activities, document actual performance monitoring activities carried out including the actions agreed and taken for improving Implementing Partner performance.	yes	ongoing	The UNHCR Representation in Zambia has developed monitoring sheets for implementing partners and direct implementation (DI), based on the performance and impact targets set in the sub-agreements. Structured performance monitoring will be undertaken on a quarterly basis and this on top of the existing weekly monitoring of the progress made based on the IPs monthly work-plans. All collected data on performance monitoring will be used during the financial verification and included in the IP files. The difficulty must be noted, of ensuring compliance when the possibility of changing ineffective or non-compliant partners does not exist.
15	<p>The UNHCR Representation in Zambia should:</p> <ul style="list-style-type: none"> <li>• Prepare an action plan for implementation of recommendations contained in experts' mission reports for improving monitoring controls over the registration process and reducing the risk of registration fraud.</li> <li>• Develop and implement procedures governing the recording of, and access to, sensitive information in the Government's ProGres database in compliance with the Confidentiality Guidelines (IOM71/2001).</li> </ul>	yes		Most of the recommendations from the 2009 joint COR-UNHCR Investigation into corruption and fraud in the Meheba refugee settlement as well as from follow-up support missions have been implemented, including through the dismissal of the Government Refugee Officer and Registration Officer in Meheba, who were found to have played a central role in the corruption; a comprehensive re-registration and verification of all refugees in Meheba, as well as in the Mayukwayukwa settlement and Lusaka, encompassing almost 32,000 refugees, in which stringent quality-control and anti-fraud measures were put in place; upgrading of proGres to version 3; a feasibility study on the establishment of a radio link between COR's mother proGres database and UNHCR; training of the provincial and District Joint Operations Committees in Solwezi on the asylum procedure and Zambia's international and regional refugee protection obligations; complete revision of the food distribution list, which is now being generated through proGres, and replacement of the old ration cards with electronic ID-cards; revision of the resettlement case identification system as well as the SOPs on resettlement,

				<p>and sensitization meetings on anti-fraud and on the resettlement process with refugees and implementing partners; strengthened protection capacity at UNHCR FO Solwezi, through the relocation of the NOA Assistant Community Services Officer post, creation of a NOB Associate Protection officer post and a GL6 Protection Associate position; regular protection, including registration, support missions from the Representation office in Lusaka to FO Solwezi; a mobile birth registration campaign in Meheba and Mayukwayukwa to issue birth certificates to all refugee children lacking such coupled with ongoing birth registration of newborns; election of new refugee representatives in Meheba, resulting in 33% women representatives at Block level; setting up complaints boxes in Meheba, Mayukwayukwa and Lusaka; and through numerous sensitization meetings on anti-fraud, coexistence and tolerance with the refugees in Meheba.</p> <p>The Office's "Note on UNHCR's Implementation of the Recommendations from the 2009 Joint UNHCR-COR Investigation Into Corruption And Fraud in the Meheba Refugee Settlement", which outlines which recommendations have so far been implemented, which are in the process of being implemented and which are yet to be implemented will continue to be updated on a regular basis and re-worked into an Action Plan, encompassing also the implementation of recommendations from related support-missions in 2010.</p> <p>Procedures governing the recording of, and access to, sensitive information in the registration database will be developed in connection with the planned revision of UNHCR's and COR's joint SOPs on the continuous registration of asylum-seekers and refugees and the establishment of a radio link connecting COR's mother proGres database with UNHCR.</p>
19	<p>The UNHCR Representation in Zambia should:</p> <ul style="list-style-type: none"> <li>Follow up on all recommendations contained in Implementing Partner (IP) audit reports, and document the action taken by the</li> </ul>	yes	ongoing	<p>Follow-up matrixes have been developed for all audited IPs and shared with IPs. Follow-up on recommendations is included in the standard financial verification and will from now on be clearly documented in the verification reports.</p>

	<p>Representation and the IPs to improve implement the recommendation.</p> <ul style="list-style-type: none"> <li>Document the follow-up action taken on recommendations and internal control weaknesses identified in the financial verification reports of IP Sub-Project Monitoring Reports.</li> </ul>			
23	The UNHCR Representation in Zambia, with the assistance of the Bureau for Africa at UNHCR Headquarters, should review its staffing structure and reporting lines, especially for the field offices, by better matching the structure to the Representation's programme objectives in compliance with IOM91/2008 (guidelines for the design of UNHCR's presence) and in compliance with the rules governing the deployment of United Nations Volunteer's.	Yes (in part)	On-going	Discussions were held with the Bureau prior to the audit and these continue. Requests have been made to the Bureau for the creation of posts to match the actual needs. The supervision of UNVs and the use of UNVs for "core activities" are global UNHCR challenges and should be reflected as such, requiring a comprehensive HQ response – beyond the authority and responsibility of the Lusaka operation..
25	The UNHCR Representation in Zambia should establish the Local Committee on Contracts with members and alternates from Professional, Field Service and National Officer staff, and send its composition to UNHCR Headquarters as required by IOM/04 – FOM/06/2008 (Revised rules and regulations of the UNHCR Committees on Contracts at Headquarters and in the field).	yes	done	The composition of the LCC has been reviewed accordingly and the Memo was shared with the relevant units in HQ and ROSA.
28	The UNHCR Representation in Zambia should ensure adherence to the established procurement procedures by setting up a purchase order file to include documents, such as, tender documents, bid opening documentation, bid tabulation forms and bid evaluation reports.	yes	ongoing	PO files have been established for all ongoing procurement. In certain cases, the PO files with programme will only contain copies as the single point filing system with the Admin/Finance unit is still considered to be the most functional and reliable system.
31	The UNHCR Representation in Zambia should undertake a thorough verification of its assets, , dispose of and update MSRP to ensure accuracy of records of Property, Plant and Equipment and Serially Tracked Items.	Yes	July 2011	<p>Following the closure of the northern operation, complete asset verification was undertaken in December 2010, resulting in the identification of a large number of assets for disposal and redeployment. The office has since been working diligently on the sale and relocation and is about to finalize the process.</p> <p>All PPEs have been verified, 67 STI remain to be verified but can't be located. The office has opted not to write them of</p>

				at this stage but continue look for their current location.
35	<p>The UNHCR Representation in Zambia should:</p> <ul style="list-style-type: none"> <li>• Undertake a verification of all inventory items in its warehouses and clean up MSRP data before using the MSRP warehouse module for all items and in all locations.</li> <li>• Ensure consistent and accurate use of the warehouse module of MSRP.</li> </ul>	yes	July 2011	<p>Wherever applicable, assets have been disposed of in MSRP.</p> <p>Verification of all inventory items and update in the MSRP warehouse module has been finalized.</p> <p>Use of the warehouse module has been decentralized to the field and relevant staff trained (Solwezi only) which should result in a timely update of MSRP database.</p>