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Agenda item 15(b)

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EXTERNAL RELATIONS

(b) Joint Inspection Unit

Note by the Secretary-General

SUMMARY

<i>Executive summary:</i>	This document provides additional information and comments on JIU reports received since C 106
<i>Strategic direction:</i>	1.1
<i>High-level action:</i>	1.1.2
<i>Planned output:</i>	1.1.2.14
<i>Action to be taken:</i>	Paragraph 22
<i>Related document:</i>	C 108/15(b)

INTRODUCTION

1 Since the issue of document C 108/15(b) in March 2012, the Secretary-General has received the following JIU reports:

- .1 "The Investigation Function in the United Nations System" (JIU/REP/2011/7); and
- .2 "Information and Communication Technology (ICT) Governance in the United Nations System Organizations" (JIU/REP/2011/9).

Copies of the aforementioned reports are available from the website of the JIU at www.unjju.org.

2 The Secretary-General and the senior management have given due consideration to the reports and their recommendations and the comments provided in the ensuing paragraphs are on those recommendations that are applicable and germane to the role and functions of the Organization.

THE INVESTIGATION FUNCTION IN THE UNITED NATIONS (JIU/REP/2011/7)

General

3 The objective of the review is to provide recommendations leading to system-wide coherence and harmonization among the oversight mechanisms and actors of the United Nations system organizations in discharging their responsibilities with regard to investigations. The report contained eight (8) recommendations addressed to all legislative organs and executive heads, including IMO, except for one recommendation addressed specifically to the Secretary-General of the United Nations.

Recommendation 1

Executive heads who have not yet done so should direct that all investigations be consolidated in the internal oversight entity of each organization. Requisite resources (human and financial) should be provided for the effective discharge of the investigation function on the basis of the recommendations of the organization's audit/oversight committees.

Recommendation 2

Executive heads of United Nations system organizations should ensure that investigation staff are selected in accordance with staff regulations and rules, on the basis of merit, professional investigator qualifications and experience as the main selection criteria. These staff should be selected independently of management and administrative influence, so as to ensure fairness and transparency, increased effectiveness and independence of the investigative function.

Recommendation 3

Executive heads should discontinue mobility for investigators within the same organization and encourage the transfer and/or secondment of investigative staff to the investigative services of other United Nations system organizations.

Recommendation 6

The legislative bodies of United Nations system organizations should review the adequacy of resources and staffing of the investigation function on the basis of the recommendations of the respective audit/oversight committees either annually or biennially depending on the organizations' budget cycle.

4 Although the above four (4) recommendations were addressed to all United Nations organizations, these are not applicable or do not require any action from IMO. In the report, the JIU re-affirmed their belief that it is difficult to justify an investigative capacity for some of the very small organizations, and suggested that a joint or shared investigations unit could be established or could "in-source" this function to any other organization willing and able to provide investigation services for them. IMO, like other small United Nations agencies, does not have an investigator post and no funds have been specifically earmarked for investigation. Presently, the responsibility for investigations is shared by the Internal Oversight and Ethics Office for cases involving fraud and improper use of the Organization's resources, and by the Human Resources Services for cases involving misconduct or prohibited conduct in breach of the Organization's policy on the right to work in a harassment free environment.

Recommendation 4

The legislative bodies of United Nations system organizations which have not yet done so should direct their executive heads to ensure that internal oversight entities or investigation units are authorized to initiate investigations without the executive head's prior approval.

5 The Secretary-General supports this recommendation, which is the current practice in IMO.

Recommendation 5

The Conference of International Investigators should establish a United Nations system sub-group, similar to that of UN-RIAS.

6 The Secretary-General welcomes this recommendation.

Recommendation 7

Executive heads should designate a central focal point to monitor the implementation and follow-through of all investigation reports within their organizations.

7 The Secretary-General supports this recommendation. Generally, the responsibility for monitoring the implementation and following through the recommendation of all investigation reports rests with the Director of the Administrative Division.

INFORMATION AND COMMUNICATION TECHNOLOGY (ICT) GOVERNANCE IN THE UNITED NATIONS SYSTEM ORGANIZATIONS (JIU/REP/2011/9)**General**

8 The JIU report acknowledges the increasing importance of information and communication technologies (ICT) to organizations in the realization of their strategic goals and mission. The report noted the need for an ICT governance framework to help harness the power of ICT effectively, to maximize investment in ICT and to mitigate the associated risks. The report considered the various ICT governance frameworks, practices and procedures in the United Nations system organizations and identifies best practices and lessons learned to promote effective ICT governance.

9 There are 11 recommendations in the report, nine of which are addressed to executive heads of organizations, one to the legislative bodies and one to the Secretary-General of the United Nations, in his capacity as chairman of the United Nations System Chief Executives Board for Coordination (CEB).

10 The Secretary-General is supportive of the overall thrust of the report and its recommendations, which he believes will further strengthen the effectiveness and flexibility of the Organization to deliver on its work programme.

Recommendation 1

The executive heads of the United Nations system organizations should ensure that the ICT governance committee, or equivalent, is composed of the most senior business managers representing all major services of the organization, and chaired by an executive manager, preferably at the level of deputy head of the organization or equivalent.

11 The Secretary-General welcomes this recommendation. The Secretariat has an established ICT governance board which consists of senior representatives of the Secretariat's Divisions. The board is chaired by the Director of the Administrative Division. Aside from its permanent tasks of considering and prioritizing ICT development within IMO, the board, since January 2012, is also developing a new ICT Strategy for presentation to the Steering Committee on review and reform, which is chaired by the Secretary-General.

Recommendation 2

The executive heads of the United Nations system organizations should ensure that the ICT governance committee, or equivalent, is convened regularly with the fullest possible participation of its members, adequate documentation is provided in a timely manner and meeting records are kept, so as to make full use of the committee's work and function.

12 The ICT governance board is convened on a quarterly basis and in between meetings, as the need may arise. Proposals submitted to the ICT board and decisions thereon are fully documented, as are its deliberations on a new ICT Strategy for the Organization.

Recommendation 3

The executive heads of the United Nations system organizations should ensure that the function and performance of the ICT governance committee, or equivalent, is reviewed and evaluated regularly, but not less than every three years, so as to ensure its effectiveness and facilitate improvement.

13 The Secretary-General takes note of this recommendation and will consider internal mechanisms for periodic reviews and evaluation of the function and performance of the governance board, at regular intervals of not less than three years. This mechanism will be articulated in the new ICT Strategy for the Organization.

Recommendation 4

The executive heads of the United Nations system organizations should ensure that the Chief Information Officer (CIO), or equivalent, should be placed at an appropriate senior level with overall responsibilities and authority, and have access to executive management.

14 The Secretary-General takes note of this recommendation and acknowledges the strategic importance of the work of the Head of ICT in the delivery of the Organization's work programme. Currently the post is held at the level of Senior Deputy Director, with access to executive management, as required.

Recommendation 5

The executive heads of the United Nations system organizations should ensure that corporate ICT strategies are prepared, endorsed and periodically reviewed and updated, in order to ensure that they are closely aligned to the organization's business needs and priorities and yield value for their ICT investment.

15 As part of the Secretary-General's initiative on the review and reform process, the Secretariat is drawing up a new ICT Strategy for the period 2012 to 2017. The new Strategy will be endorsed by the Senior Management Committee and necessary mechanisms will be put in place for the biennial review of the Strategy to ensure the Organization's business needs and priorities are well enabled with technology for an optimal return on investment.

Recommendation 6

The legislative bodies of the United Nations system organizations should request the executive heads to present the corporate ICT strategies to Member States for their information and support.

16 The Secretary-General takes note of this recommendation and intends to present elements of the new ICT Strategy to the Council, in the overall context of his proposals on review and reform.

Recommendation 7

The executive heads of the United Nations system organizations should make sure that their ICT strategies are closely aligned to the organization's medium- and long-term strategic plans or equivalent, so as to ensure that ICT sustains and supports the organization's business needs and mandates.

17 The new ICT Strategy under preparation takes a holistic view of the work of the Secretariat and the requirement of its member States and stakeholders over the short-, medium- and long-term horizon, in the context of the wider Strategic and High-level Action Plans of the Organization. Mechanisms will be put in place for the Strategy's periodic review and close alignment with the medium- and long-term objectives of the said plans.

Recommendation 8

The executive heads of the United Nations system organizations should establish monitoring mechanisms for the implementation of their ICT strategies, ensuring that the ICT strategy and its implementation roadmap, deliverables and performance indicators are continuously monitored and regularly reported on to the ICT governance committee, or equivalent.

18 The Secretary-General agrees with this recommendation and will entrust monitoring of the new ICT Strategy to the ICT board.

Recommendation 9

The executive heads of the United Nations system organizations should strengthen their efforts in keeping track of the ICT costs in their organizations, including the total annual recurring and ad hoc ICT costs, as well as details on the main cost elements.

19 The Secretariat is IPSAS compliant and one of the early adopters within the common system of this standard. All ICT costs to the Organization are captured within this framework. The Secretariat will continue to keep track of such costs on a permanent basis.

Recommendation 10

The executive heads of the United Nations system organization should ensure that post-implementation reviews of major ICT investments and projects are conducted in line with the organization's ICT investment methodologies and policies.

20 The Secretary-General agrees with this recommendation.

Recommendation 11

The Secretary-General, in his capacity as Chairman of the CEB, should streamline the CEB ICT Network by identifying and focusing on common ICT issues, and providing clear guidance to the network in order to improve cooperation and coordination among the United Nations system organizations.

21 There is value in streamlining those ICT issues that are common to all organizations to improve cooperation and to achieve economies of scale. The Secretary-General is committed to working with the Secretary-General of the United Nations, in his capacity as Chairman of the CEB, to identify and focus on common ICT issues that will improve cooperation among organizations.

ACTION REQUESTED OF THE COUNCIL

22 The Council is invited to take note of the information contained in this document and to consider and decide, as appropriate, on all the reports identified in paragraph 1 and the Secretary-General's comments thereon.
