



General Assembly

Distr.
GENERAL

A/51/88
4 April 1996

ORIGINAL: ENGLISH

Fifty-first session
Item 117 of the preliminary list*

PROGRAMME PLANNING

Strengthening the role of evaluation findings in programme design, delivery and policy directives

Note by the Secretary-General

In conformity with paragraph 5 (e) (i) of General Assembly resolution 48/218 B of 29 July 1994, the Secretary-General has the honour to transmit the attached report of the Office of Internal Oversight Services entitled "Strengthening the role of evaluation findings in programme design, delivery and policy directives", dated 28 March 1996. The Secretary-General concurs with this approach and has asked the Office of Internal Oversight Services and the Department of Administration and Management to discuss ways to strengthen the linkages between evaluation on the one hand and the programme planning and budgetary process on the other.

* A/51/50.

ANNEX

[28 March 1996]

Strengthening the role of evaluation findings in programme
design, delivery and policy directives

Report of the Office of Internal Oversight Services

SUMMARY

The present report contains a review of the work on in-depth and self-evaluations during 1994-1995, information pertinent to General Assembly decisions on future topics for in-depth evaluations, and on strengthening programme oversight in departments and offices and, in this context, strengthening the link between the programme performance monitoring and self-evaluation systems.

CONTENTS

	<u>Paragraphs</u>	<u>Page</u>
I. INTRODUCTION	1 - 2	4
II. IN-DEPTH EVALUATION	3 - 7	4
A. Activities during 1994-1995	3 - 5	4
B. Topics for future in-depth evaluations	6 - 7	5
III. EVALUATION FUNCTION WITHIN DEPARTMENTS AND OFFICES DURING 1994-1995	8 - 16	7
IV. OVERSIGHT FUNCTION WITHIN DEPARTMENTS	17 - 26	13
A. Findings on departmental oversight	17 - 19	13
B. Reforms needed	20 - 26	16
1. Proposals prior to the establishment of the Office of Internal Oversight Services	20	16
2. Guidelines of the Office of Internal Oversight Services	21 - 26	16

I. INTRODUCTION

1. The present report is the most recent in a series of reports submitted biennially to the General Assembly through the Committee for Programme and Coordination on the strengthening of programme evaluation in the United Nations.

2. Since late 1994, the central evaluation function has operated as part of the Office of Internal Oversight Services, which consists of the Audit and Management Consulting Division, the Central Inspection and Monitoring Unit, the Investigation Section and the Central Evaluation Unit. Evaluation is thus being conducted in a new context, in which the functioning of programme performance reporting and self-evaluation at the departmental level is viewed as part of the broader oversight function. The present report reflects this broader viewpoint.

II. IN-DEPTH EVALUATION

A. Activities during 1994-1995

3. In-depth evaluations are those prepared by the Central Evaluation Unit on topics specified by the General Assembly on the recommendation of the Committee for Programme and Coordination. Reports on these evaluations are circulated in draft to the departments and offices and external organizations concerned. The final draft, which takes into account comments by these entities is submitted to the Executive Office of the Secretary-General for transmittal to the Committee for Programme and Coordination.

4. At its thirty-fourth session, the Committee had before it a report of the Secretary-General on strengthening the role of evaluation findings in programme design, delivery and policy directives, in which a drastic shortening of the evaluation cycle from three years to one year was recommended (A/49/99, para. 43). After considering the report, the Committee recommended to the General Assembly a schedule of in-depth evaluations that incorporated this shortened cycle: 1/

1995: Peace-keeping operations: start-up phase
Environment

1996: Department of Public Information
Peace-keeping operations: termination phase

1997: Statistics
Department of Humanitarian Affairs

Until that decision of the Committee, each in-depth evaluation study consisted of three reports, namely, a progress report making proposals on the design and scope of the study and presenting preliminary findings; the in-depth evaluation report itself, submitted to the Committee two years after its decisions on the design and scope of the evaluation; and a triennial review of implementation three years after recommendations were adopted, and, if needed, other follow-up reports on implementation.

/...

5. In 1994, the Central Evaluation Unit conducted, under the shortened cycle, an in-depth evaluation of the environment programme, the report on which was submitted to the Committee in 1995 at its thirty-fifth session. Two more in-depth evaluations, the reports of which are under consideration by the Committee at its current session, have also been conducted under the shortened cycle, namely the in-depth evaluation of peace-keeping operations: termination phase (E/AC.51/1996/3), and the in-depth evaluation of the Department of Public Information (E/AC.51/1996/2). The shortening of the cycle by the elimination of the progress report phase has the advantage of doubling in-depth evaluation coverage, from one programme per year to two. The progress report stage, however, permitted the Committee to provide policy guidance on issues to be addressed and methodology to be utilized. The Committee expressed appreciation for the quality and comprehensive nature of the report. ^{2/} After the Committee review of the two in-depth evaluation reports this year, inferences can be drawn as to whether the shortened cycle is producing satisfactory results.

B. Topics for future in-depth evaluations

6. Table 1 lists reports on in-depth evaluations and related activities undertaken during the period 1989-1996, and those currently scheduled for 1997 and 1998.

7. Several considerations are pertinent in determining topics for future in-depth evaluations, including the following:

(a) The existence of major events, scheduled for 1998 or after, which could benefit from the results of an in-depth evaluation:

1999: Anticipated holding of a third international peace conference or other suitable international conference in the context of the United Nations Decade of International Law (1990-1999);

(b) The need to examine a programme generally considered successful in order to learn lessons applicable to related programmes;

(c) Significant recent expansion of the programme or changes in the problems addressed by it;

(d) The need to cover substantive programmes not yet subject to in-depth evaluation or covered by an inspection by the Office of Internal Oversight Services:

Outer Space Affairs
Legal Affairs
Crime Prevention and Criminal Justice
International Drug Control

Table 1. Evaluation reports completed or scheduled, 1989-1998

Year	Progress reports <u>a/</u>	In-depth evaluation reports	Triennial reviews/ follow-up reports	Reports to General Assembly on evaluation
1989	Disarmament	Development issues and policies	Population	
1990	Science and technology <u>b/</u> Disarmament (2nd progress report) Economic Commission for Africa (ECA): development issues and policies	Human settlements		A/45/204
1991	Office of the United Nations High Commissioner for Refugees (UNHCR)	Disarmament ECA: development issues and policies	Development issues and policies	
1992	Social development		Human rights	A/47/116
1993	United Nations Relief and Works Agency for Palestine Refugees in the Near East (UNRWA) <u>c/</u>	UNHCR	Human settlements Human rights (follow-up)	
1994	Peace-keeping: start-up phase <u>d/</u> Africa: critical economic situation, recovery and development <u>d/ e/</u>	Social development	ECA: development issues and policies	A/49/99
1995		Peace-keeping: start-up phase Environment		
1996		Department of Public Information Peace-keeping: termination phase	UNHCR	The present report
1997		Statistics Department of Humanitarian Affairs	Social development	
1998		Two topics to be decided in 1996	Peace-keeping: start-up phase Environment	(Report due)

a/ As decided by CPC in 1994, the evaluation cycle was shortened by the elimination of the progress report stage.

b/ As decided by CPC, no in-depth evaluation of science and technology was required.

c/ As decided by CPC, no in-depth evaluation of UNRWA was required.

d/ Transitional report that was described as a "progress report" but contained substantive recommendations.

e/ A follow-up study is being conducted by the Joint Inspection Unit.

III. EVALUATION FUNCTION WITHIN DEPARTMENTS AND
OFFICES DURING 1994-1995

8. Broadly speaking, in United Nations work involving large-scale field operations (peace-keeping, humanitarian activities, refugees) the evaluation (or "lessons learned") function is either well-established or is in the process of becoming properly established. Other activities in the political, economic and social, and public information fields have a mixed record, with some solid evaluation work being conducted, and some procedures in place for reporting on the results to specialized intergovernmental bodies. Support services in the Department of Administration and Management are not routinely subject to evaluation, although ad hoc assessment studies are conducted from time to time.

9. Table 2 gives a quantitative summary of departmental evaluations planned and carried out during the period 1992-1995 for substantive activities, excluding field operations. It provides the percentage of actual evaluations undertaken compared to evaluation commitments made; several areas have not conducted evaluations at all and the figures for other substantive areas range from a low of 54 to a high of 91 per cent of the commitment in document A/47/116.

10. Table 3 shows departmental evaluations for substantive activities originally scheduled for 1996-1997 in document A/47/116 and those rescheduled from prior bienniums; a large number of evaluations have been postponed to the final biennium of the plan period. Regulation 7.2 of the Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation requires that all subprogrammes in the medium-term plan should be evaluated at least once during the plan period. Table 4 provides information about evaluation-related activities in the support services.

11. In addition to the evaluation activities indicated in tables 2, 3 and 4, extensive evaluations are conducted of field operations in the Office of the United Nations High Commissioner for Refugees (UNHCR), the United Nations Relief and Works Agency for Palestine Refugees in the Near East, the Department of Peace-keeping Operations and the Department of Humanitarian Affairs. Descriptions of some of these and other evaluation procedures and activities that are of interest in connection with the general issue of strengthening oversight at the departmental level follow.

12. In the Department of Peace-keeping Operations, a Lessons Learned Unit was established in April 1995 in response to recommendations 1 to 4 of the progress report on the in-depth evaluation of peace-keeping: start-up phase (E/AC.51/1994/3, paras. 8-10) and recommendation 1 of the final report on the in-depth evaluation of peace-keeping operations: start-up phase (E/AC.51/1995/2, paras. 16-18). The Unit consists of two Professional and one General Service staff members. The Unit is building up its files of existing documentation and commissioning new studies and "lessons learned" workshops on completed missions (see E/AC.51/1996/3, paras. 5-12).

Table 2. Self-evaluations planned and those undertaken for substantive activities, excluding field operations

Major programme	Commitment in document A/47/116: number of subprogrammes to be evaluated during the period 1992-1995	Actual number of subprogrammes evaluated	Actual as percentage of commitment
I. Maintenance of peace and security, disarmament and decolonization	14	0 <u>a/</u>	0
II. Implementation, codification and progressive development of international law	6	0	0
III. International cooperation for economic and social development	1	0	0
IV. International economic cooperation for development	50	31 <u>b/</u>	62
V. International cooperation for social development	<u>c/</u>	3 <u>d/</u>	<u>d/</u>
VI. Regional cooperation for economic and social development	33	30	91
VII. Human rights, fundamental freedoms and humanitarian affairs	13	7 <u>e/</u>	54 <u>e/</u>
VIII. Public information	2	<u>f/</u>	<u>f/</u>

a/ Excludes DPKO lessons-learned studies.

b/ One self-evaluation scheduled for 1996-1997 done in 1994-1995.

c/ Self-evaluation of all subprogrammes was scheduled for 1996-1997.

d/ Three not originally scheduled done in 1994-1995.

e/ Excludes UNHCR evaluations at country, subregional and regional levels and DHA lessons-learned studies.

f/ Ongoing self-evaluations at the level of individual outputs and processes (UN Chronicle, Africa Recovery, World Chronicle, UN in Action, cooperation with non-governmental organizations, information activities of United Nations offices).

Table 3. Self-evaluations scheduled for 1996-1997 for substantive activities

(Number of subprogrammes)

Major programme	Originally scheduled in document A/47/116	Rescheduled from prior bienniums	Total
I. Maintenance of peace and security, disarmament and decolonization	4	12	16 <u>a/</u>
II. Implementation, codification and progressive development of international law	4	6	10
III. International cooperation for economic and social development	7	1	8
IV. International economic cooperation for development	26	20	46
V. International cooperation for social development	15 <u>b/</u>	1 <u>c/</u>	16
VI. Regional cooperation for economic and social development	22 <u>d/</u>	3	25
VII. Human rights, fundamental freedoms and humanitarian affairs	2 <u>e/</u>	6	8
VIII. Public information	2	0	2 <u>f/</u>

a/ Two subprogrammes of the 18 in the original plan are no longer operational.

b/ Eighteen scheduled originally; three conducted in 1994-1995.

c/ Not originally scheduled.

d/ One self-evaluation scheduled for 1992-1993 also scheduled for 1996-1997.

e/ Not originally scheduled.

f/ Ongoing self-evaluations at the level of individual outputs (comparative review of major recurrent publications: Basic Facts about the United Nations; Everyone's United Nations; UN in Brief and Notes for Speakers; review of publications and materials about the United Nations for children and students; review of the work of United Nations information centres; review of the Yearbook of the United Nations (follow-up to an earlier study)).

Table 4. Self-evaluation of support services planned and undertaken, 1992-1995

Programme	Total number of subprogrammes	Commitment in document A/47/116 for 1992-1995	Activities
39. Conference and library services	5	3	A comprehensive study on the organization, management and human resources requirements for the provision of adequate conference services was undertaken in 1994 as requested by the General Assembly in resolution 48/228, paragraph 42. A report of the Secretary-General on the study was issued in November 1994 (A/C.5/49/34 and Corr.1) and was considered by the Committee on Conferences and the General Assembly, which endorsed the findings and conclusions (see Assembly resolution 49/221 C).
40. Administrative direction and management	4	2	-
41. Human resources management	4	1	Although the Office of Human Resources Management has not conducted any formal self-evaluation over the past three years, it has undertaken a number of studies and reviews to improve efficiency over the past two years. A comprehensive analysis has been made on a strategy for the management of the human resources of the Organization and submitted to the General Assembly (see A/C.5/49/5). The improvement measures recommended were approved by the General Assembly in its resolutions 49/222 A and B. A study on recruitment was undertaken. A study on rules and regulations is in progress. An ad hoc evaluation of language training was also undertaken.
42. Programme planning, budget and finance	7	6	While no self-evaluation in the formal sense was conducted, several reviews have been undertaken to improve (a) the budget format, (b) the format of the budget performance report, (c) the monitoring of expenditures and (d) the management of trust funds. Based on a study, the prototype of a format for the new medium-term plan was prepared and subsequently approved by the General Assembly. Based upon evaluations and reviews, improvements have been made to the format of peace-keeping budgets and a budget cycle introduced and improvements made to the financing of peace-keeping operations. The accounting areas were also extensively reviewed, and on the basis of these reviews financial reporting was streamlined and the accounting and payroll systems redesigned in the context of the Integrated Management Information System. Other reviews made it possible to reduce the number of banks used and cheques written, and to significantly reduce billing procedures for after-service health insurance through automatic deductions.

Programme	Total number of subprogrammes	Commitment in document A/47/L16 for 1992-1995	Activities
43. General services	6	4	<p>Study on the work flow of technical information received from consulting architects, engineers and construction contractors. Review of procedure for assessing technical performance of architects, engineers and contractors. Review of noise factor attributable to construction so as to minimize disruption of meetings. Review of procedure for office space planning. Study on potential for outsourcing. Review of Building Management Service system for tracking of contracts. Review of the operational procedures of the Broadcast and Conference Engineering Unit. Review of procedure for controlling construction programmes. Self-evaluation of archives and record management was undertaken. Review of archives and record management functions done to identify outsourcing possibilities so as to reduce costs while maintaining service delivery. From October to December 1994, a High-level Expert Group conducted an evaluation of the procurement function. Its findings and recommendations were published in its report dated 22 June 1995. As a follow-up to the Group's evaluation, actions taken and planned based on the Group's recommendations were published in documents A/C.5/49/67, A/C.5/50/13 and A/C.5/50/13/Rev.1.</p>
44. Services to the public	4	4	<p>A review was undertaken of the procedures for printing stamps, preparation of publicity material, advertising, processing of mail orders, over-the-counter sales and representation at stamp shows. The commemorative medals programme was cancelled during the biennium 1992-1993, consequently no self-evaluation as scheduled for 1994-1995 was undertaken. The gifts programme review was carried out during 1994-1995 as a result of which a decision was made to outsource this programme for 1996-1997.</p>
Office of Internal Oversight Services			<p>Self-evaluation in progress: survey of opinion of recipients of reports of the Office of Internal Oversight Services.</p>

13. In the Department of Humanitarian Affairs, a Lessons Learned Unit was established in 1994 and carried out an assessment of the Department's coordination experience in Rwanda in that year. As a follow-up to this and other studies, the Department held an in-house review of various lessons and perspectives, and identified action that could enhance response to future crises. At the Department's senior management meeting in September 1995 it was decided that all major Department-supported coordination entities should be evaluated prior to their termination. It was also decided that the studies programme should cover issues arising from the Department's responsibilities in the area of disasters. To the extent possible it is intended to involve the wider humanitarian community, for example through joint participation in studies or the convening of workshops and seminars to discuss matters arising from studies. Such study-related material will also be of direct use in the Department's training activities.

14. The Executive Committee of the Programme of the United Nations High Commissioner for Refugees, at its forty-fifth session, endorsed the High Commissioner's proposal to establish an Inspection and Evaluation Service, absorbing the existing Evaluation Unit. The Service was created within the overall context of the need to strengthen UNHCR management capacity. Some of the underlying justifications for the Service are the current magnitude of the UNHCR budget and its financing, almost exclusively on a voluntary basis, the growing scale and complexity of UNHCR operations worldwide, as well as the increasingly difficult operational environment within which UNHCR is working. The Inspection and Evaluation Service is located within the Executive Office and reports directly to the High Commissioner. The main function of the Service is to conduct comprehensive, systematic and timely assessment of UNHCR operations, and review UNHCR impact in given countries and areas, focusing particularly on those factors, both internal and external to the organization, essential to the effective and efficient achievement of organizational objectives. The final reports on these assessments are communicated to the managers responsible for the particular operation concerned and a compliance timetable is prepared following a dialogue aimed at ironing out differences in viewpoint. The managers of the reviewed operation then have to report periodically on the status of implementation of the recommendations. Lessons applicable to similar operations are drawn from the final report and the follow-up reports. They are presented through special reports, workshops and seminars or included in general training sessions and publications. It is anticipated that the Service will bring about an improved management culture centred on cost-consciousness and effectiveness.

15. In the Economic Commission for Europe (ECE), an in-depth review and evaluation of the programme of work of the Conference of European Statisticians (a principal subsidiary body of ECE) is being conducted by the Bureau of the Conference plus the heads of the statistical offices of the Organisation for Economic Cooperation and Development and the International Monetary Fund, the Statistical Office of the European Communities and the Statistics Division of the United Nations Secretariat, working in association with senior staff of the Statistical Division of ECE. A continuing in-depth review of the Commission's statistical publications began in 1992, with a working group composed of experts from national statistical offices commissioned to conduct the review. As a result of the review, 10 publications have already been cancelled, either

because they were considered of low interest or because of overlap with publications produced elsewhere. Other results include changes in format and presentation and the introduction of analytical texts and graphical material in selected publications. At its special session, on 20 September 1995, the Commission, by decision 1 (1995-S), established an ad hoc working group on strategic directions of future activities of the Commission. At the first meeting of the ad hoc working group, in October 1995, the Bureau of the Commission distributed a questionnaire to the bureaux of all ECE principal subsidiary bodies and related bodies reporting directly to the Commission. The ad hoc working group also prepared a questionnaire, which was sent to ECE member States as a means of obtaining their views. The working group will take into account responses to these questionnaires in its future work on implementing the provisions of Commission decision 1 (1995-S). This process is intended to constitute an evaluation of the work of ECE as a whole, and of its subsidiary bodies.

16. In the Economic Commission for Latin America and the Caribbean (ECLAC), an institutional decision was taken to actively seek reviews of major ECLAC publications in specialized magazines and newspapers, from outside as well as within the Latin American and Caribbean region. This approach is aimed at obtaining independent evaluations of the Commission's substantive work as well as providing wider publicity and exposure for the end-products at a low additional cost.

IV. OVERSIGHT FUNCTION WITHIN DEPARTMENTS

A. Findings on departmental oversight

17. According to the programme performance report of the United Nations for the biennium 1992-1993 (A/49/135, paras. 35-36), for a number of programmes, the departures from programmed commitments were difficult to justify and "could signal a less than adequate internal control and programme oversight" process. These included programmes where all or some of the following applied:

(a) The overall implementation rate was below 70 per cent;

(b) The implementation rate in high-priority subprogrammes was below 70 per cent;

(c) Outputs added by legislation or Secretariat initiative produced implementation rates of more than 115 per cent, and the effect of these additions on the programme of work approved by the General Assembly was unclear;

(d) Outputs postponed without adequate reason were more than 70 per cent of postponements.

18. Inspection reviews of programmes with these problems have been or will be carried out by the Office of Internal Oversight Services, under the responsibility of the Central Monitoring and Inspection Unit. Future performance reports will also utilize performance data to draw conclusions on reviews needed in the coming biennium.

19. The findings of recent inspections indicated that the oversight function in the Economic Commission for Africa (ECA), the Economic and Social Commission for Western Asia (ESCWA), ECE, the Centre for Human Rights and the United Nations Conference on Trade and Development (UNCTAD) was diffused among several units, and that performance monitoring and self-evaluation functions were poorly conducted in these organizations. The inspection reports recommended corrections of these weaknesses that have by and large been put into effect, but the results of the performance monitoring process suggest that similar problems probably exist in less extreme forms in other departments and offices. The practical conclusion to be drawn from these results of inspections is that appropriate institutional settings need to be in place as prerequisites to improved departmental oversight.

Table 5. Findings on departmental oversight in inspections, 1993-1995

Department	Institutional arrangements	Analytical activities
ECA	There are three different centres of responsibility for programme oversight within ECA, namely, the Economic Cooperation Office, the Technical Assistance Coordination and Operations Office and the Policy and Programme Coordination Office (A/49/891, annex, sect. I, para. 7).	The existing mechanism for programme oversight, at the levels of formulation, implementation and coordination, shows signs of weakness and of undue dispersal (A/49/891, annex, sect. I, para. 7). The role of the Policy and Programme Coordination Office appears to be rather limited (para 10).
ESCWA	The programme oversight mechanism, entrusted in terms of the Organization Manual to the Programme Planning and Coordination Division, includes provision of assistance in the formulation of work programmes and budgets, design of procedures for monitoring the implementation of the work programme and assistance in reviewing progress made (A/49/891, annex, sect. II, para. 3).	Based on its interviews and analysis, the team has some doubts about the effective discharge of these responsibilities (A/49/891, annex, sect. II, para. 3). By and large, the programme of work as a whole appears to lack direction and focus (para. 4). As regards performance evaluation, the team was unable to find any system for feedback and self-evaluation (para. 5).
ECE	There are three different centres of responsibility for programme oversight within ECE; all of them are attached to the Office of the Executive Secretary. Granted that close cooperation may exist between these three responsibility centres, the fact nevertheless remains that there is no one single point to programme, coordinate, monitor implementation and assess results of the whole ECE programme in a coherent way (A/49/891, annex, sect. III, para. 13).	There is no indication that the monitoring of programme implementation is being conducted or perceived as a management tool. The team reviewed a large part of the activities reported implemented during the biennium 1992-1993 and could not escape the impression that the reporting provides a misleading picture in terms of what the secretariat staff has actually implemented during the period under consideration in comparison to what was programmed (A/49/891, annex, sect. III, para. 14).
Centre for Human Rights	The Centre does not have any central mechanism for overall programme oversight at the levels of formulation, implementation and coordination. Each of the five branches and sections operates as a quasi-autonomous unit (A/49/892, annex, para. 23).	As regards performance evaluation, the team was unable to find any system of monitoring or assessment of results for feedback to upper management (A/49/892, annex, para. 24).
UNCTAD	There are three different centres of responsibility for programme oversight within UNCTAD, namely, the Programme Coordination and Evaluation Unit, the Technical Cooperation, Policy and Coordination Unit and the Policy Coordination and External Relations Service (A/50/719, annex, para. 38).	The Programme Coordination and Evaluation Unit's work on the subprogrammes scheduled for self-evaluation over the past three years is hardly demonstrable. As for its responsibilities in programmatic coordination within UNCTAD, it is non-existent. The only area in which the involvement of the Unit was tangible relates to the monitoring of programme implementation. While the efforts made towards improving the content and reliability of the exercise are commendable, much remains to be done before it becomes a useful management tool (A/50/719, annex, para. 39).

B. Reforms needed

1. Proposals prior to the establishment of the Office of Internal Oversight Services

20. In the 1994 biennial report on evaluation, it was proposed that the findings generated by the self-evaluation system should be utilized in programme performance reporting (A/49/99, para. 38). The self-evaluation exercise was to generate data and analytical information on a routine and comprehensive basis for the purpose of providing management with the means to assess the success of the various activities implemented during the biennium, determine their relevance and contribute to a system of accountability. Once readily available in each organizational unit, such information would become an integral part of central performance reporting to Member States. As a result of these considerations, the role of the former Central Monitoring Unit was strengthened by incorporating it within a broad inspection function. General guidelines on monitoring and self-evaluation were to be prepared centrally for programme managers.

2. Guidelines of the Office of Internal Oversight Services

21. It was considered preferable to delay the formulation of the guidelines referred to in the preceding paragraph until the General Assembly had completed its negotiations on a United Nations oversight office, that office had been established, its procedures defined and a significant number of inspections had been conducted to yield an empirical review of the strengths and weaknesses of existing departmental procedures. By the end of 1995, these elements were in place.

22. The guidelines of the Office for Internal Oversight Services on departmental oversight will cover the following issues:

- (a) Institutional arrangements for oversight;
- (b) Minimum common standards;
- (c) Training and other services to be provided by the Office.

23. On the question of institutional arrangements, any special mandated departmental arrangements will of course continue. It is clear, however, that in general the oversight function should be centralized in one unit within a department and that this unit should report to the head of the department.

24. Minimum common standards of departmental oversight will have to take into account the diversity of types of activity engaged in within the United Nations. The "lessons learned" approach to large-scale field operations should continue, and support services will need to develop approaches to systematic assessment different from those in the substantive areas. The common standards will include, for all important publications, a requirement that the author department actively seek reviews in technical and specialized journals and, where appropriate, in the general press throughout the world. These reviews

/...

function as both highly targeted publicity and professional assessments of both analytical quality and usefulness. Similarly, departments will be expected to keep track of articles on their work or citations of it in the world professional literature, and in the press. The standards will require reference to such reviews, articles and citations in departmental evaluations of their own work and that copies of them be made available for review in the course of inspections and audits.

25. The Office will provide a number of services to assist departments and offices in their oversight functions, including the following:

(a) Training. A one-week training workshop will be developed along the lines of those conducted a few years ago on evaluation. The workshop will cover the full range of oversight activities but will place emphasis on performance monitoring and techniques of evaluation;

(b) Manual. A manual to guide departmental oversight will be developed from the training material of the workshops and will incorporate an updated version of the existing evaluation manual;

(c) OIOS Bulletin. An OIOS Bulletin will be issued twice a year, along the lines of the previous Evaluation Bulletin, and will, like its predecessor, contain articles on successes and what went into achieving them, and evaluation and monitoring techniques that have proved useful in the United Nations and the specialized agencies.

26. It is the intention of the Office to circulate the guidelines in draft to all departments and offices and to encourage extensive discussion on them prior to their adoption.

Notes

1/ Official Records of the General Assembly, Forty-ninth Session, Supplement No. 16 (A/49/16), part one, para. 34.

2/ Ibid., Fiftieth Session (A/50/16), para. 245.
