

Norms and Standards for Inspection, Norms and Standards for Evaluation and General Principles and Guidelines for Investigations



Joint Inspection Unit of the United Nations System
Independent system-wide evaluation, inspection, investigation

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and
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These three documents set out the Norms and Standards for Inspection [2013], the Norms and Standards for Evaluation [2012] and the General Principles and Guidelines for Investigations [2013] in the Joint Inspection Unit [JIU].

The preparation of these documents follows the decision of the Unit to review the Standards and Guidelines of JIU, adopted and published as [A/51/34](#) Annex I in 1997, in the light of its own experience and to take appropriate account of the developments and current practices. Thus, these documents derive from the relevant parts of the statute [1976] and the JIU Standards and Guidelines [1997]. They also take into consideration, as appropriate, the prevailing oversight methodologies and practices applied in the United Nations system and other international fora. The Standards and Guidelines of JIU would stand modified to the extent reflected in these documents in respect of inspection, evaluation and investigations.

For the most part, these documents reflect existing JIU practices, quality standards and policies, supplemented by the Internal Working Procedures of the Unit [IWP] [2011]. As such, they should be seen as living documents complementing the JIU Statute and the Internal Working Procedures, and shall be revised as needed, to reflect actual practice and experience, as well as changing practices in the fields of inspection, evaluation and investigations.

Geneva, October 2013

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Joint Inspection Unit of the United Nations System

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Norms and Standards for Inspection

NORMS AND STANDARDS FOR INSPECTION

I. INSPECTION NORMS

N1. Definition of Inspection¹

An inspection is an independent and objective review, including an on-site one, of the internal governance, management and/or operations of organization(s) or part(s) thereof to determine the extent to which they are performing as expected and to identify good practices and opportunities for improvement. An inspection examines the functioning of processes, activities or policies to verify their economy, effectiveness and efficiency. It compares processes, activities, projects, programmes and policies to predetermined criteria and norms (e.g. applicable rules and regulations, internal administrative instructions, benchmarks, organization-specific and/or UN-wide performance indicators, good operational practices of other units within or outside the organization(s) concerned), and does so taking into account the need for optimum use of the resources allocated to them.

N2. Responsibility for Inspection

General Assembly resolution [31/192](#) (22 December 1976) established the Joint Inspection Unit (JIU) and approved the statute of JIU, with effect from 1 January 1978. The statute (Chapter III) sets out the functions, powers and responsibilities including responsibility for inspections and contains JIU's overall policy framework. The General Assembly has recognized JIU as the only independent external oversight body of the United Nations system mandated² to conduct system-wide inspections, evaluations and investigations.

N3. Independence and Impartiality

Article 7 of the JIU statute states that “the Inspectors discharge their duties in full independence and in the sole interest of the organizations”. The Inspectors are committed to independence and shall be free from external influence from any country or organization. The independence of JIU is guaranteed, *inter alia*, through the process of selection and appointment of the Inspectors as set out in the JIU statute.

JIU undertakes all stages of the inspection process in an impartial manner that is free from bias. This includes taking into account the pertinent views of stakeholders, as appropriate, through the inspection process. Stakeholders are invited to share their views and comments on substantive matters.

N4. Utility and Intentionality

Inspections³ prepared by JIU originate primarily from the following three sources: a) mandates received from General Assembly and other corresponding legislative bodies of United Nations system organizations; b) suggestions made by executive heads of participating organizations and the bodies of the United Nations system; c) internal proposals of JIU on topics selected in line with the JIU Strategic Framework. General Assembly resolutions have called on JIU to prioritize proposals on management, administrative and programming questions ([A/RES/50/233](#)), those aimed at improving management and methods and promoting greater coordination between organizations ([A/RES/59/267](#)) and reports on system-wide issues of interest and

¹ From JIU Standards and Guidelines (A/51/34/Annex I), para 10.

JIU often uses the generic term “review” to describe a range of products, including inspections, evaluations and good practice studies.

² A/RES/54/16, A/RES/59/267 reaffirmed 54/16, A/RES/64/262.

³ Results of JIU inspections can be issued in the form of reports, notes or management letters.

relevance to the participating organizations and the States Members of the United Nations and other United Nations system organizations and to provide advice on ways to ensure the avoidance of duplication and overlap and more efficient and effective use of resources in implementing the mandates of the Organization ([A/RES/64/262](#), op. para. 8).

Inspections conducted by JIU shall have clear potential to contribute to one or more of the following impact categories: **a:** enhanced transparency and accountability; **b:** dissemination of good practices; **c:** enhanced coordination and cooperation; **d:** strengthened coherence and harmonization; **e:** enhanced controls and compliance; **f:** enhanced operational effectiveness; **g:** significant financial savings; **h:** enhanced operational efficiency.

They should serve as an integral input to the policy-making and management process of the United Nations system organizations covering planning, programming, budgeting, performance and results. They should result in the identification of good and bad practices as well as corrective action, as appropriate.

Applying consistent indicators and benchmarks to all POs being inspected would enable comparison between the organizations and show where each stands in a numbers of areas. It could help to create incentives for greater operational efficiency and effectiveness, and finding areas for coordination and collaboration (including sharing of good practices).

The utility of JIU reports, recommendations and effectiveness of follow-up on recommendations is a shared responsibility of JIU, its participating organizations and Member States. Executive heads of UN system organizations ensure that recommendations of JIU approved/accepted by their respective competent organs are fully implemented as expeditiously as possible.

N5. Integrity and Ethics (Due care)

JIU teams are required to possess the highest standard of integrity in performing their duties. The Inspectors are bound by *Regulations Governing the Status, Basic Rights and Duties of Officials other than Secretariat Officials, and Experts on Mission* adopted by the General Assembly in its resolution [56/280](#). They should respect the beliefs and the social and cultural environment in which they work and be mindful of the potential implications of these differences when planning, carrying out and reporting on inspections. JIU conducts inspections in full observance of the United Nations Charter and without discrimination and with due respect to internationally recognized instruments of human rights.

JIU is committed to respect the right of organizations/entities and individuals to provide information in confidence and ensure that sensitive data cannot be traced to their source. JIU is committed to ensure that those involved in inspections have the opportunity to examine the statements attributed to them.

N6. Quality

JIU plans, designs and conducts its work in a manner that ensures high quality, which is defined as accuracy, added value, clarity, fairness, objectivity and significance.

N7. Transparency and Consultation

JIU is committed to transparency and to publishing results of its inspections.

JIU holds consultation with the relevant stakeholders in the inspection process. System-wide stakeholders and experts may be consulted, as feasible and appropriate, in the planning, design, conduct and follow-up of the inspection reports. The JIU teams will, as possible, take stock of sessions, meetings or conferences organized by external specialists on subjects related to their own project topic. Exceptionally, and provided funding is available for this, the JIU report coordinator may call for an enlarged brainstorming session open to competent

secretariat officials of the participating organizations and of any other pertinent expert network where the teams shall share initial findings, potential benchmarks and conclusions and shall exchange views on the subject. The inspection Terms of Reference are made available at the beginning of the inspection process as appropriate. Stakeholders are invited to comment on the draft inspection report. These comments will be considered before finalizing the inspection report, as appropriate.

While it is preferable to consult with an organization prior to an inspection, the inspectors may decide to undertake an inspection with or without prior notification.

N8. Viability

Prior to deciding upon an inspection, a *validation* is conducted by JIU based on mandates, suggestions and proposals received. The validation is conducted to establish whether the functioning of a process, activity, project, programme or policy implementation needs to be inspected.

N9. Competencies for Inspection

The JIU inspection team should comprise relevant professional background, qualification and/or training in oversight and to continuously update their skills set. JIU is equipped with the full range of up-to-date methodologies, which may include system-wide based techniques and analytical review methods including surveys.

N10. Follow-up to Inspection

JIU has established a systematic process for tracking each step taken towards the consideration of inspection reports by the appropriate legislative organs and/or executive heads, including measures taken by secretariat officials. JIU maintains a database for recording and tracking the follow up of recommendations of JIU inspections. JIU has established a web-based tracking system (WBTS) for keeping all stakeholders engaged in the follow up.

N11. Contribution to Knowledge Building

JIU is responsible for maintaining a depository of recommendations and disseminating good practices. The JIU website is used as the main vehicle for knowledge sharing and for developing user-friendly inspection products. As appropriate, opportunities will be identified to share inspection reports/results, good practices as well as other useful by-products of the performed inspection research with stakeholders.

The JIU inspection reports are sent out to all executive heads concerned indicating whether they are for action or for information. Upon receipt of inspection reports, the executive head or those concerned distribute them immediately, with or without their comments, internally and externally to the Member States of their respective organizations.

II. INSPECTION STANDARDS

1. INSTITUTIONAL FRAMEWORK

- 1.1 The JIU statute governs the Unit's oversight functions (evaluation, inspection and investigation) and provides JIU with a clear mandate for system-wide inspection. As such, the JIU statute contains its overall inspection policy. It is complemented by a set of "Internal Standards and Guidelines" and the Internal Working Procedures for conducting the day-to-day work of the JIU including inspections.
- 1.2 JIU performs its function in respect of and is responsible to the United Nations General Assembly and the legislative/governing bodies of those specialized agencies and other international organizations within the United Nations system which have accepted the JIU statute⁴ referred to as the participating organizations. JIU is a subsidiary organ of the United Nations General Assembly and the legislative/governing organs of its participating organizations in accordance with the JIU statute.
- 1.3 The JIU Strategic Framework provides strategic guidance to the work of the Unit. The annual programme of work⁵ is established after consultation with legislative/governing bodies of participating organizations, the executive heads of participating organizations, as well as the organizations and the bodies of the United Nations system concerned with budgetary control, investigation, co-ordination and inspection. It is presented to the Member States, executive heads and other relevant bodies as per article 9.2 of the statute. The programme of work takes into account JIU overall experience, assessment of priorities and availability of resources.
- 1.4 JIU shall first consider requests by legislative organs. It shall fully take into account the changing priorities and needs of the participating organizations. It will also give due consideration to a number of factors, such as adequate mix of system-wide, multi-organizational and single-organization reports, in particular inspections/reviews of management and administration of organizations. System-wide reports will include reports on issues which are of common concern to all organizations and for which solutions require concerted action and a collective approach through the CEB machinery, including reports for which individual solutions to common problems must be devised for each organization. As per request by the General Assembly, JIU focuses on system-wide issues of concern to participating organizations and their legislative bodies.
- 1.5 JIU has mechanisms for the dissemination, handling⁶ and follow-up⁷ of inspection reports with participating organizations and receives information on acceptance and implementation of its recommendations on a regular basis from them and shares the overall results in its annual report.
- 1.6 JIU inspection reports are available on the JIU website (www.unjiu.org).

⁴ As of October 2013: FAO, ITC, IAEA, ICAO, ILO, IMO, UNAIDS, ITU, UN, UNCTAD, UNDP, UNEP, UNESCO, UNFPA, UNHCR, UN-Habitat, UNICEF, UNIDO, UNOPS, UNODC, UNRWA, UN WOMEN, UNWTO, UPU, WFP, WHO, WIPO, WMO.

⁵ Article 9 of the statute.

⁶ Article 11 of the statute.

⁷ Article 12 of the statute.

2. COMPETENCIES AND ETHICS

- 2.1 The JIU teams should comprise core inspection competencies and professional experience in inspection and/or oversight. They are required to have, or to acquire relevant experience and/or training in inspection and to continuously update their skills set.
- 2.2 The JIU teams should act with integrity and objectivity in their relationship with all stakeholders. They should ensure that their contacts with individuals/officials are characterized by respect, including the protection of the anonymity and confidentiality of individuals.
- 2.3 The Inspectors are accountable for the overall conduct of the inspection and its final product.

3. WHAT IS TO BE INSPECTED

- 3.1 Standard inspections include, *inter alia*, reviews and assessments of processes, activities, projects, programmes or policy implementations, on a system-wide or organization-specific basis.
- 3.2 Ad-hoc inspections include, *inter alia*, on-site review of a specific problematic and/or high risk management or policy issue that has come to the attention of the Inspectors in the participating organizations, whether at headquarters or in the field.

4. DECIDING ON AN INSPECTION

Validation

- 4.1 The validation exercise is conducted in accordance with Norm 8 above. An internal standard validation template is used. The validation is conducted to establish if the relevant information and data for an inspection are available and can be obtained within the timing of the inspection and with the cooperation and interest of the stakeholders.
- 4.2 The validation takes into account, *inter alia*, the following aspects:
 - Does the proposal duplicate any previous or ongoing oversight work?
 - Is this an important topic for system-wide coherence and coordination?
 - Is there any potential for efficiency gains?
 - Does it contribute to key UN initiatives?
 - Does the proposal address critical management, administrative and programming questions, including risk management, control and governance issues?
 - Is the proposal aimed at improving management and administrative methods?
 - Are there existing benchmarks that can be utilized or would these have to be established?
 - Are there major changes in the organizational context?
 - Does the proposal promote greater coordination among the participating organizations?
 - Can it be done within existing resources and, if not, will XB be provided by the suggesting entity?
 - Does it address/seek to mitigate risks identified by JIU and/or brought to its attention?
 - Does it address alleged wrong-doing or non-compliance identified by or brought to the attention of the Unit?

5. THE INSPECTION PROCESS

5.1. JIU applies the following indicative yardsticks for its inspections. Their duration as well as the type of output (report, note, management or confidential letter) varies according to complexity, nature (single organization, several organizations or system-wide), available resources and other specific considerations:

Phase 1	Phase 2	Phase 3	Phase Pause	Phase 4	Phase 5
Planning, preparation and design	Data collection and analysis	Output preparation	External comments as appropriate	Finalization	Output production/ Utilization

Planning, Preparation and Design (Phase 1)

Terms of Reference (TOR)

- 5.2 The TOR is prepared by the team leader, namely the report Coordinator/Inspector of the project in consultation with the co-author(s), if any, taking into account the preliminary research, with the assistance of the team.
- 5.3 The TOR should clearly specify the context and origin, purpose and scope of the inspection and describe the inspection criteria, key inspection questions, the proposed methodology, work plan including detailed calendar, processes, and expected outputs/product and reporting of the inspection.
- 5.4 The inspection objectives and issues should be clearly stated in a manner that compares the processes, activities, projects, programmes and policies of an organization/unit to established criteria to determine whether resources are being managed effectively and efficiently⁸.
- 5.5 The inspection design should take into account available data, data collection and stakeholder needs so the report will contain timely, valid and reliable information for the relevant stakeholders. Further the inspection methods should be clearly spelled out in the TOR and should be exhaustive and robust for a complete, fair and unbiased inspection.
- 5.6 The TOR should indicate the expected impact of the inspection in one or more of the impact categories as expressed in Norm 4 above and bearing in mind article 5 of the JIU statute.
- 5.7 Before starting the inspection, as a general practice, the TOR together with the notification letters are circulated to the participating organizations concerned.

Inception paper

- 5.8 The inception paper should further develop the inspection questions, tools and methods outlined in the initial TOR, including whether a survey/questionnaire or any other data collection methods are indicated to respond to each inspection question. The inception paper should consider/establish which applicable rules and regulations, internal administrative instructions, established benchmarks, rating system, key performance indicators, good operational practices of other units within or outside the organizations concerned would be utilized to frame the inspection. Interview guides, questionnaires and other

⁸ From the JIU Standards and Guidelines (A/51/34/Annex I), para 25.

instruments should be attached to the inception paper, as appropriate, together with as an updated time line. If necessary, the TOR may be adjusted following the inception paper.

Based on the inception paper, the Inspector(s) should be able to⁹:

- (a) Identify/define existing criteria, such as current rules, regulations or legislative mandates, benchmarks, standards and performance indicators that govern the operations of the processes, activities, projects, programmes or policies being inspected, to be used as the basis for assessing operational efficiency and effectiveness;
- (b) identify specific executive or legislative actions being considered that may affect the process, activity, project, programme or policy being inspected;
- (c) understand the interest/concern of Member States regarding the process, activity, project, programme or policy;
- (d) clarify the objective(s) of the inspection, which may include, *inter alia*, answering the following:
 - Is the entity being reviewed acquiring, protecting and using its resources (such as personnel, property and space) economically and efficiently?
 - What are the causes of inefficiencies and uneconomical practices?
 - Has the entity complied with rules and regulations on matters of economy?
 - What works, why and how?
 - What are the good practices?
 - What are the improvements needed?
- (e) understand the functioning of processes, activities, projects, programmes or policy implementation to be inspected; identify the factors determining the degree of consistency/discrepancy regarding their performance in line with the defined standards/criteria;
- (f) determine the presence and use of relevant internal controls related to the processes, activities, projects, programmes and policies being reviewed. The Inspector(s) should be alert to situations or transactions that could be indicative of violations of rules and regulations and misconduct that may have a direct impact on results.”

Data collection and analysis (Phase 2)

5.9 Inspection data collection methods include, *inter alia*, questionnaires, surveys, interviews, checklists, record reviews of files, computerized extraction of data, document reviews, recordings, and on-site spot checks and observations.

5.10 All data collected, including the results of interviews and observations, will be documented for further use. Data collected should be triangulated, validated, analyzed and utilized as appropriate to document the report findings, to provide back-up support for presentation to legislative bodies and records and archives available for future JIU projects as an element of knowledge management.

⁹ From the JIU Standards and Guidelines (A/51/34/Annex I), para 25.

5.11 Throughout the data collection and analysis phase up until the preparation and finalization of the output product, the teams apply the following standards to ensure consistency and quality of data/information:

- **Validity** –how much confidence is there that the data/information measure what they purport to measure?
- **Relevance** – will the data/information in fact be used to answer the decision-makers' questions?
- **Reliability** - how dependable and consistent are the data/information being gathered?
- **Significance** – will the data/information go beyond what is apparent from direct observation and provide important information to enhance the value of the study?
- **Efficiency** – are the data/information being collected in an efficient manner?
- **Timeliness** – will the analytical information, findings, conclusions and recommendations be available in time to meet decision makers' schedules (where known)?

Questionnaires and surveys

5.12 A questionnaire is an important tool of inspection in a system-wide context to ensure that consistent information is captured from across the system. Questionnaires/surveys should not be targeting information accessible by other means (organization's website, available documents etc.). The questions should be clear, should not request information publicly available and the timeframe required to complete them should be reasonable. The use of online electronic questionnaires/surveys is highly recommended for easy processing. Draft questionnaires and surveys may be tested internally and, if appropriate, with selected stakeholders before being finalized and sent out. The questionnaires/surveys may be accompanied by a short narrative on what key aspects need to be strongly tested.

Interviews

5.13 Formal in-depth interviews are normally undertaken once the analysis of the final inception paper and the questionnaire/survey responses has been completed. As a result of this analysis, the team may produce questions to explore additional issues and obtain interviewee's perspective on the topics discussed, identify any additional documentation and/or information that can contribute to the analysis of the situation, and identify other individuals that can contribute more information to the inspection process.

5.14 Prior to interviews, the Coordinator should identify the major areas of inquiry to be pursued, taking into account the specificities of the organization/entities concerned and the functions of the officials to be interviewed. Key questions are prepared in the form of an "***Interview Guide***" and shared, as appropriate, with interviewees prior to the meeting. Any benchmarks and/or performance indicators used by the team may be shared with interviewees. Questions may also be formulated utilizing the benchmarks/indicators/policies selected for the inspection. The interview guide should be adjusted to the timeframe available for interviews. JIU has guidelines for conducting interviews. An interview note is prepared for each interview.

5.15 Interviews may be done in person or through electronic means (telephone, video/conference).

Checklists

5.16 Checklists provide guidance for the collection of relevant evidence used to determine the performance of the organization(s) being inspected against predetermined criteria. They include preset questions. The inherently systematic process of using checklists makes them highly relevant and useful for inspection purposes. Checklists are the most standardized way of collecting observation data and are used when the data to be collected can be described in advance.

Observations

5.17 Observations are a way of gathering data by watching behavior, processes and events in their natural setting. They can be both a diagnostic tool to help understand what is going well or not and to look into how processes etc. work in practice. Observations can be overt (everyone knows they are being observed) or covert (there is no announcement about the observation). Open-ended narrative data can also be collected through observations.

Key performance indicators and benchmarks

5.18 As part of the inspection process, key performance indicators (to assess the success or failure of a particular process, activity, project, programme or policy) and benchmarks (the standard or point of reference) will be identified or developed prior to the start of an inspection. Key performance indicators, benchmarks and good practices already developed and established by JIU in previous reports should be taken into consideration.¹⁰

Output preparation (Phase 3)

Report¹¹ preparation

5.19 The team drafts the report based on an outline indicating key findings, tentative conclusions and recommendations. The team members, as assigned by the inspectors, prepare the draft or report elements they are responsible for.

5.20 To the extent possible, the suggested word limit¹² for JIU reports should be respected without affecting the quality of the inspection. Attention should be given to the requirements of readability and clarity.

5.21 A first “collective wisdom” meeting (*peer review of Inspectors*) of JIU with the participation of the Executive Secretary or his/her representative is held after completion of the draft report by the team members. The relevant comments will be incorporated into the report prior to sending out the draft report for comments to participating organizations and other stakeholders.

Report structure

5.22 The report structure should contain an executive summary, a table of contents, a list of acronyms, an introduction, a main section including subsections for each relevant finding and recommendation, and annexes, where appropriate.

Executive Summary

5.23 The executive summary describes in a concise manner the rationale and objective of the inspection, as well as its main findings, conclusions and key recommendations. Recommendations addressed to legislative bodies for action would be highlighted.

¹⁰ e.g. “Review of Enterprise Risk Management in the United Nations system” [JIU/REP/2010/4], “Results-Based management in the United Nations in the context of the reform process” [JIU/REP/2006/6] or “Oversight lacunae in the United Nations system” [JIU/REP/2006/2].

¹¹ The eventual output, depending on the scope and the audience of its recommendations and their sensitivities, may be issued in form of *a report, note, management letter or confidential letter*. They are all referred to within present Norms and Standards as “*report*”.

¹² 10 700 words.

Introduction

5.24 The introduction to the report should be based on the following principles:

- The subject of inspection should be clearly described. Mandates and policies that affect the subject should be mentioned;
- The purpose and context of the inspection including who suggested the subject of the inspection should be mentioned;
- The inspection objectives, scope and criteria used should be included;
- The applied inspection method including an indication of the organizations/entities and other stakeholders that were consulted/interviewed/surveyed. This section should also include any limitations to the methodology (this should include any limits to stakeholders' participation) and the extent to which the inspection design included ethical safeguards such as protection of confidentiality.

Main sections

5.25 The main sections of the report should be based on the following principles:

- The report should clearly differentiate between findings, conclusions and recommendations, and establish clear logical links among them;
- Conclusions need to be substantiated by findings consistent with the methodology and data collected, and present insights into the identification and/or solution of important problems or issues;
- Recommendations should build on conclusions and be firmly based on evidence and analysis, be relevant and realistic, with priorities and timeframe for action clearly stated when appropriate;
- Clear identification and explanation of good practices as well as lessons learned should be included if appropriate.

Annexes

5.26 All inspection reports will include an annex with a table entitled "Overview of actions to be taken by participating organizations concerned on JIU recommendations". Implementation of recommendations are monitored by JIU through a table identifying those recommendations relevant for each organization/entity, specifying whether they require a decision by the organization's legislative or governing body, or can be acted upon by the organization's executive head.

5.27 The following annex elements may be made available on the JIU website: list of organizations/entities/offices interviewed, data collection instruments (questionnaires, surveys), final TOR and relevant bibliography. A full list of interviewees may be retained in the project files. Other relevant documents (side-products of the inspection) such as case-studies, sub-studies, in-depth studies, portfolio analysis, etc. may also be included as an annex on the website.

Phase pause:

5.28 The draft report is circulated, as appropriate, to all participating organizations concerned and other relevant stakeholders to correct any factual errors and make substantive comments/suggestions on the findings, conclusions and recommendations, if any.

6. FINALIZATION (Phase 4)

6.1. All comments received from participating organizations concerned are considered and taken into account, as appropriate. The finalized report is submitted to a second “collective wisdom” process (normally through silent procedure) where the inspectors agree on the final text prior to its submission for official editing.

6.2. The report is edited officially and sent to translation in accordance with article 11 of the JIU statute.

7. OUTPUT PRODUCTION/UTILIZATION (Phase 5)

7.1. The report, once officially edited, is circulated to stakeholders for action or information and posted on the JIU website.

7.2. Reports containing recommendations to legislative and governing bodies should be introduced to them, as appropriate, to allow the stakeholders to make full use of it.

7.3. The JIU statute (article 11) regulates the handling and processing of JIU reports and mandates the executive heads of participating organizations to ensure that (a) all relevant reports are discussed and their recommendations acted upon (acceptance or refusal) by their competent organs and that (b) the recommendations of JIU approved by their respective competent organs are implemented as expeditiously as possible. Should the output be classified as a note or a letter, article 11.5 of the statute specifies that they are submitted to executive heads for “use by them as they may decide”. Subsequently, JIU has entered into agreements with participating organizations for handling its reports.

7.4. Notwithstanding the final classification of the output, participating organizations concerned are expected to use the JIU web-based tracking system (WBTS) to inform on acceptance and implementation. JIU expects to receive from participating organizations, on an annual basis, information on acceptance and implementation of all recommendations relevant to participating organizations and disclose relevant statistics accordingly.

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Joint Inspection Unit of the United Nations System

Independent system-wide evaluation, inspection, investigation

Norms and Standards for Evaluation

NORMS AND STANDARDS FOR EVALUATION

I. EVALUATION NORMS

N1. Definition of Evaluation

An evaluation is an impartial, systematic and objective assessment of the design, implementation and achievements of ongoing or completed interventions, contributions or activities of the organizations of the United Nations system concerned against its goals, objectives and mandates received from legislative bodies. It focuses on the expected and achieved accomplishments and aims at determining the relevance, impact, effectiveness, efficiency, coherence, and sustainability of a project, programme, strategy, institutional performance or policy. An evaluation should provide evidence-based information that is credible, reliable and useful, enabling the timely incorporation of findings, conclusions, recommendations and good/best practices into both executive and legislative decision-making processes of the organizations of the UN system¹³.

N2. Responsibility for Evaluation

General Assembly resolution 31/192 (22 December 1976) established the Joint Inspection Unit (JIU) and approved the [statute of the JIU](#), with effect from 1 January 1978. The statute (Chapter III) sets out the functions, powers and responsibilities including responsibility for evaluations and contains JIU's overall evaluation policy. The General Assembly has recognized JIU as the only independent external oversight body of the United Nations system mandated¹⁴ to conduct system-wide evaluations.

N3. Independence and Impartiality

Article 7 of the JIU statute states that the Inspectors discharge their duties in full independence and in the sole interest of the organizations. The Inspectors are committed to independence and shall be free from external influence from any country or organization. The independence of the JIU is guaranteed through the process of selection and appointment of the Inspectors as set out in the JIU statute.

The JIU undertakes all stages of the evaluation process in an impartial manner that is free from bias. The views of all stakeholders are to be taken into account, as appropriate, through the evaluation process. Stakeholders are invited to share their views and comments on substantive matters.

N4. Utility and Intentionality

Evaluations¹⁵ prepared by the JIU originate primarily from the following three sources: a) mandates received from General Assembly and other legislative bodies of corresponding United Nations system organizations; b) suggestions made by executive heads of participating organizations and the bodies of the United Nations system concerned with budgetary control, investigation, co-ordination and evaluation; c) internal proposals of the JIU. General Assembly resolutions have called on the JIU to prioritize proposals on management, administrative and programming questions ([A/RES/50/233](#)), those aimed at improving management and methods and promoting greater coordination between organizations ([A/RES/59/267](#)) and reports on system-wide issues of interest and relevance to the participating organizations and the States Members of the United Nations and other United Nations system organizations and to provide advice on ways to ensure the avoidance

¹³ Source: UNEG Norms for Evaluation in the UN System, p. 5 (2005), "Oversight Lacunae in the UN System", p. 19.

¹⁴ A/RES/54/16, A/RES/59/267 reaffirmed 54/16, A/RES/64/262.

¹⁵ JIU evaluations can be in the form of reports, notes or management letters.

of duplication and overlap and more efficient and effective use of resources in implementing the mandates of the Organization ([A/RES/64/262](#), op. para. 8).

Evaluations conducted by JIU must have clear potential to contribute to: **a:** enhanced transparency and accountability; **b:** dissemination of good/best practices; **c:** enhanced coordination and cooperation; **d:** strengthened coherence and harmonization; **e:** enhanced controls and compliance; **f:** enhanced effectiveness; **g:** significant financial savings; **h:** enhanced efficiency;

They should serve as an integral input to the policy making and management process of the United Nations system organizations covering planning, programming, budgeting, performance and results.

The utility of JIU reports, recommendations and effectiveness of follow-up on recommendations is a shared responsibility of the JIU, its participating organizations and Member States. Executive heads of UN system organizations ensure that recommendations of the JIU approved/accepted by their respective competent organs are fully implemented as expeditiously as possible.

N5. Integrity and Ethics (Due care)

JIU evaluation teams are required to possess the highest standard of integrity in performing their duties. The Inspectors are bound by *Regulations Governing the Status, Basic Rights and Duties of Officials other than Secretariat Officials, and Experts on Mission* adopted by the General Assembly on 27 March 2002 in its resolution [56/280](#). They should respect the beliefs and the social and cultural environment in which they work and be mindful of the potential implications of these differences when planning, carrying out and reporting on evaluations. JIU conducts evaluations without discrimination and with due respect to internationally recognized instruments of human rights and in full observance of the United Nations Charter.

The JIU is committed to respect the right of organizations/entities and individuals to provide information in confidence and ensure that sensitive data cannot be traced to their source. The JIU is committed to take care that those involved in evaluations have the opportunity to examine the statements attributed to them.

N6. Quality

The JIU plans, designs and conducts its work in a manner that ensures high quality, which is defined as accuracy, added value, clarity, fairness, objectivity and significance.

N7. Transparency and Consultation

JIU is committed to transparency and to publishing all its evaluations. JIU holds consultation with the relevant stakeholders in the evaluation process. The evaluation Terms of Reference are made available at the beginning of the evaluation process. Stakeholders are invited to comment on the draft evaluation report before its finalization. The JIU will take into account stakeholder comments when finalizing the evaluation as appropriate with the aim to facilitate ownership of the findings and recommendations.

N8. Evaluability

Prior to deciding upon an evaluation, a *validation and evaluability assessment (VEA)* is conducted by the JIU based on mandates, suggestions and proposals received. The validation and evaluability assessment is conducted to establish whether a programme, policy or subject area can be evaluated and to avoid overlapping and/or duplication with the activities of other oversight bodies.

N9. Competencies for Evaluation

The JIU evaluation team should comprise relevant professional background, qualification and/or training in evaluation and to continuously update their skills set. The JIU is equipped with the full range of up-to-date methodologies, which may include system-wide based evaluation techniques and analytical review methods including surveys.

N10. Follow-up to Evaluation

The JIU has established a systematic process for tracking each step taken towards the consideration of evaluations by the appropriate legislative organs and/or executive heads, including measures taken by secretariat officials. The JIU maintains a database for recording and tracking the follow up of recommendations of JIU evaluations. The JIU is establishing a web-based tracking system (WBTS) for keeping all stakeholders engaged in the follow up.

N11. Contribution to Knowledge Building

JIU evaluation reports are sent out to all executive heads concerned indicating whether they are for action or for information. Upon receipt of evaluation reports, the executive head or those concerned distribute them immediately, with or without their comments, internally and externally to the Member States of their respective organizations.

JIU is responsible for maintaining a depository of recommendations and disseminating good/best practices. The JIU website is used as the main vehicle for knowledge sharing and for developing user-friendly evaluation products. As appropriate, opportunities will be identified to share evaluation reports, good/best practices as well as other useful by-products of the performed evaluation research with stakeholders.

II. EVALUATION STANDARDS

1. INSTITUTIONAL FRAMEWORK

- 1.1 The JIU statute governs the Unit's oversight functions (evaluation, inspection and investigation) and provides the JIU with a clear mandate for system-wide evaluation. As such, the JIU statute contains its overall evaluation policy. It is complemented by a set of "Internal Standards and Guidelines" and the Internal Working Procedures for conducting the day-to-day work of the JIU including evaluations.
- 1.2 JIU performs its function in respect of and is responsible to the United Nations General Assembly and the legislative/governing bodies of those specialized agencies and other international organizations within the United Nations system which have accepted the JIU statute¹⁶ referred to as the participating organizations. JIU is a subsidiary organ of the United Nations General Assembly and the legislative/governing organs of its participating organizations and reports to them through the secretariats of these organizations.
- 1.3 The JIU Strategic Framework provides strategic guidance to the work of the Unit. The annual programme of work¹⁷ is established after consultation with legislative/governing bodies of participating organizations, the executive heads of participating organizations, as well as the organizations and the bodies of the United Nations system concerned with budgetary control, investigation, co-ordination and evaluation. It is presented to the Member States, executive heads and other relevant bodies as per article 9.2 of the statute. The programme of work takes into account JIU overall experience, assessment of priorities and availability of resources.
- 1.4 The JIU shall first consider requests by legislative organs. It shall fully take into account the changing priorities and needs of the participating organizations. It will also give due consideration to a number of factors, such as adequate mix of system-wide, multi-organizational and single-organization reports, in particular reviews of management and administration of organizations. System-wide reports will include reports on issues which are of common concern to all organizations and for which solutions require concerted action and a collective approach through the CEB machinery, including reports for which individual solutions to common problems must be devised for each organization. As per request by the General Assembly, JIU focuses on system-wide issues of concern to participating organizations and their legislative bodies.
- 1.5 JIU has mechanisms for the dissemination, handling¹⁸ and follow-up¹⁹ of evaluation reports with participating organizations and receives information on acceptance and implementation of its recommendations on a regular basis from them and shares the overall results in its annual report.
- 1.6 JIU evaluation reports are available on the JIU website (www.unjiu.org).

¹⁶ As of October 2013: FAO, ITC, IAEA, ICAO, ILO, IMO, UNAIDS, ITU, UN, UNCTAD, UNDP, UNEP, UNESCO, UNFPA, UNHCR, UN-Habitat, UNICEF, UNIDO, UNOPS, UNODC, UNRWA, UN WOMEN, UNWTO, UPU, WFP, WHO, WIPO, WMO.

¹⁷ Article 9 of the statute.

¹⁸ Article 11 of the statute.

¹⁹ Article 12 of the statute.

2. COMPETENCIES AND ETHICS

- 2.1 JIU evaluation teams should comprise core evaluation competencies and professional experience in evaluation and/or oversight. They are required to have or to acquire relevant experience, qualification and/or training in evaluation and to continuously update their skills set.
- 2.2 Evaluation teams should act with integrity and objectivity in their relationship with all stakeholders. They should ensure that their contacts with individuals/officials are characterized by respect, including the protection of the anonymity and confidentiality of individuals.
- 2.3 The Inspectors are accountable for the overall conduct of the evaluation and the final product.

3. DECIDING ON AN EVALUATION

Validation

- 3.1 Prior to deciding upon an evaluation, the mandates, suggestions and proposals received are subject to a *validation and evaluability assessment* conducted by JIU. During such screening an internal standard validation and evaluability assessment template is used.
- 3.2 The validation and evaluability assessment is conducted to establish whether a programme, policy or subject area can be evaluated, if the relevant information and data for an evaluation are available and can be obtained within the timing of the evaluation and with the cooperation and interest of the stakeholders.
- 3.3 The validation and evaluability assessment takes into account, *inter alia*, the following aspects:
 - Does the proposal duplicate any previous or ongoing oversight work?
 - Is this an important topic for system-wide coherence and coordination?
 - Is there any potential for efficiency gains?
 - Does it contribute to key UN initiatives?
 - Does the proposal address critical management, administrative and programming questions?
 - Is the proposal aimed at improving management and administrative methods?
 - Does the proposal promote greater coordination between the participating (UN system) organizations?
 - Can it be done within existing resources and, if not, will XB be provided by the suggesting entity?

4. THE EVALUATION PROCESS

4.1. The JIU applies the following indicative yardsticks for its evaluations. Their duration varies according to complexity, nature (single organization, several organizations or system-wide), available resources and other specific considerations:



Planning and Preparation (Phase 1)

Terms of Reference (TOR)

- 4.2 The TOR is prepared by the evaluation team leader, namely the report Coordinator/Inspector of the project in consultation with the co-author(s), if any, taking into account the preliminary research, with the assistance of the evaluation team.
- 4.3 The TOR should clearly specify the context and origin, purpose and scope of the evaluation and describe the evaluation criteria, key evaluation questions, the proposed methodology, work plan including detailed calendar, processes, and expected outputs/product and reporting of the evaluation.
- 4.4 The evaluation objectives should be clearly stated, realistic and achievable in light of the information that can be collected and processed during the timeframe of the evaluation.
- 4.5 The evaluation design should take into account available data, data collection and stakeholder needs so the report will contain timely, valid and reliable information for the relevant stakeholders. Further the evaluation methods should be clearly spelled out in the TOR and should be exhaustive and robust for a complete, fair and unbiased evaluation.
- 4.6 The TOR should indicate the expected impact of the evaluation in one or more of the following impact categories bearing in mind article 5 of the JIU statute:
 - a:** enhanced transparency and accountability;
 - b:** dissemination of good/best practices;
 - c:** enhanced coordination and cooperation;
 - d:** strengthened coherence and harmonization;
 - e:** enhanced controls and compliance;
 - f:** enhanced effectiveness;
 - g:** significant financial savings;
 - h:** enhanced efficiency;
 - i:** other.
- 4.7 Before starting the evaluation, the TOR together with the notification letters should be circulated to the participating organizations.
- 4.8 System-wide stakeholders and experts may be consulted, as feasible and appropriate, in the planning, design, conduct and follow-up of the evaluation reports. The JIU evaluation teams will, as possible, take stock of sessions, meetings or conferences organized by external specialists on subjects related to their own project topic. Exceptionally, and provided funding is available for this, the JIU report coordinator may call for an enlarged brainstorming session open to competent secretariat officials of the participating organizations and of any other pertinent expert network where the teams shall share initial findings and conclusions and shall exchange views on the subject.

Inception paper

- 4.9 An inception paper will be prepared. The preliminary inception paper should further develop the evaluation questions and methods outlined in the initial TOR, including whether a survey/questionnaire or any other data collection methods are indicated to respond to each evaluation question. An interview guide should be attached to the final inception paper, as well as an updated time line. If necessary, the TOR may be adjusted following the final inception paper.

4.10 The final inception paper would be prepared using, *inter alia*, documentation available online and updated over the duration of the evaluation project as additional data is collected.

Data collection and analysis (Phase 2)

4.11 Evaluation data collection methods include questionnaires (in particular for system-wide evaluations), surveys, interviews, research, specific data/documentation requests and on-site visits.

4.12 All data collected, including the results of interviews and observations, will be documented for further use. Data collected should be triangulated, validated, analyzed and utilized as appropriate to document the report findings, to provide back-up support for presentation to legislative bodies and material available for future JIU projects as an element of knowledge management.

4.13 Throughout the data collection and analysis phase up until the preparation and finalization of the evaluation report, the teams apply the following standards to ensure consistency and quality of data/information:

- **Reliability/Validity** – how dependable and consistent are the data/information being gathered? How much confidence is there that the data/information measure what they purport to measure
- **Relevance** – will the data/information in fact be used to answer the decision-makers' questions?
- **Significance** – will the data/information go beyond what is apparent from direct observation and provide new and important information to the decision makers?
- **Efficiency** – are the data/information being collected in a manner that reflects the most economical use of resources and makes a unique contribution to improving concrete aspects of operations concerned?
- **Timeliness** – will the analytical information, findings, conclusions and recommendations be available in time to meet decision makers' schedules (where known)?

Questionnaires and surveys

4.14 Questionnaire is an important tool of evaluation in a system-wide context to ensure that consistent information is captured from across the system. Questionnaires/surveys should not be targeting information accessible by other means (organization's website, available documents etc.). The questions should be clear, should not request information publicly available and the timeframe required to complete them should be reasonable. The use of online electronic questionnaires/surveys is highly recommended for easy processing. Draft questionnaires and surveys may be tested internally and, if appropriate, with selected stakeholders before being finalized and sent out. The questionnaires/surveys may be accompanied by a short narrative on what key aspects need to be strongly tested.

Interviews

4.15 Formal in-depth interviews are normally undertaken once the analysis of the final inception paper and the questionnaire/survey responses has been completed. As a result of this analysis, the team may produce questions to explore additional issues and obtain interviewee's perspective on the topics discussed, identify any additional documentation and/or information that can contribute to the analysis of the situation, and identify other individuals that can contribute more information to the evaluation process.

4.16 Prior to interviews, the Coordinator should identify the major areas of inquiry to be pursued, taking into account the specificities of the organization/entities concerned and the functions of the officials to be interviewed. Key questions are prepared in the form of an "***Interview Guide***" and will be shared with interviewees prior to the meeting. The interview guide should fit the timeframe available for interviews. JIU has guidelines for conducting interviews. An interview note is prepared for each interview.

4.17 Interviews may be done in person or through electronic means (telephone, video/conference).

Output preparation (Phase 3)

Evaluation report preparation

4.18 The team drafts the evaluation report based on an outline indicating key findings, tentative conclusions and recommendations. Key findings should be supported with evidence from at least three different information sources (triangulation of information). The team members, as assigned by the inspectors, prepare the draft or report elements they are responsible for.

4.19 To the extent possible, the suggested word limit²⁰ for evaluation reports should be respected without affecting the quality of the evaluation. Attention should be given to the requirements of readability and clarity.

4.20 A first “collective wisdom” meeting (*peer review of Inspectors*) of the JIU with the participation of the Executive Secretary or his/her representative is held after completion of the draft report by the team members. The relevant comments will be incorporated into the report prior to sending out the draft report for comments to participating organizations and other stakeholders.

Report structure²¹

4.21 The report structure should contain an executive summary, a table of content, a list of acronyms, an introductory section/chapter, a main section including subsections for each relevant finding and recommendation, and annexes.

Executive Summary

4.22 The Executive Summary describes in a maximum of 3 pages the rationale and objective of the evaluation. Main findings, conclusions and key recommendations should also be included, highlighting recommendations addressed to legislative bodies for action.

Introductory section

4.23 The Introductory section of the report should be based on the following principles:

- The subject of evaluation should be clearly described. Mandates and policies that affect the subject should be mentioned;
- The purpose and context of the evaluation including who suggested the subject of the evaluation should be mentioned;
- The evaluation objectives, scope and criteria used should be included;
- The applied evaluation method including an indication of the organizations/entities and other stakeholders that were consulted/interviewed/surveyed. This section should also include any limitations to the methodology (this should include any limits to stakeholders’ participation) and the extent to which the evaluation design included ethical safeguards such as protection of confidentiality.

²⁰ 10 700 words.

²¹ Report as used in these Norms and Standards covers “reports”, “notes” and “letters” in line with JIU terminology.

Main sections

4.24 The main sections of the report should be based on the following principles:

- The report should clearly differentiate between findings, conclusions and recommendations, and establish clear logical links among them;
- Conclusions need to be substantiated by findings consistent with the methodology and data collected, and present insights into the identification and/or solution of important problems or issues;
- Recommendations should build on conclusions and be firmly based on evidence and analysis, be relevant and realistic, with priorities and timeframe for action clearly stated when appropriate;
- Clear identification and explanation of good/best practices as well as lessons learned should be included if appropriate.

Annexes

4.25 All evaluation reports will include an annex with a table entitled “**Overview of actions to be taken by participating organizations on JIU recommendations**”. Implementation of recommendations are monitored by JIU through a table identifying those recommendations relevant for each organization/entity, specifying whether they require a decision by the organization’s legislative or governing body, or can be acted upon by the organization’s executive head.

4.26 The following annex elements should be available on the JIU website: list of organizations/entities/offices interviewed, data collection instruments (questionnaires, surveys), final TOR and relevant bibliography. A full list of interviewees should be retained in the project files. Other relevant documents (side-products of the evaluation) such as case-studies, sub-studies, in-depth studies, portfolio analysis, etc. may also be included as an annex on the website.

Phase pause:

4.27 The draft report is circulated as appropriate to all participating organizations concerned and other relevant stakeholders to correct any factual errors and make substantive comments/suggestions on the findings, conclusions and recommendations, if any.

5. FINALIZATION (Phase 4)

5.1 All comments received from participating organizations are considered and taken into account as appropriate. So finalized report is submitted to a second “collective wisdom” meeting (normally through silent procedure) where the inspectors agree on the final text prior to its submission for official editing.

5.2 The evaluation report is edited officially and sent to translation in accordance with article 11.4 (b) of the JIU statute.

6. REPORT PRODUCTION/UTILIZATION (Phase 5)

6.1 The evaluation reports, once officially edited, are circulated to stakeholders for action or information and posted on the JIU website.

6.2 Evaluation reports should be introduced to participating organizations’ legislative and governing bodies as appropriate to allow the stakeholders to make full use of it.

6.3 The JIU statute (article 11.4) regulates the handling and processing of JIU reports and mandates the executive heads of participating organizations to ensure that (a) all relevant reports are discussed and their recommendations acted upon (acceptance or refusal) by their competent organs and that (b) the

recommendations of the JIU approved by their respective competent organs are implemented as expeditiously as possible. Subsequently, the JIU has entered into agreements with participating organizations for handling its evaluation reports.

6.4 The JIU expects to receive from participating organizations, on an annual basis, information on acceptance and implementation of all recommendations relevant to participating organizations and disclose relevant statistics accordingly. The JIU has established a web-based tracking system (WBTS) for keeping all stakeholders engaged in the follow-up system.

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Joint Inspection Unit of the United Nations System
Independent system-wide evaluation, inspection, investigation

General Principles and Guidelines for Investigations

GENERAL PRINCIPLES AND GUIDELINES FOR INVESTIGATIONS

I. MANDATE, SCOPE, DEFINITIONS AND SOURCES OF INFORMATION

A. MANDATE AND SCOPE

1. According to article 5.1 of the statute of the Joint Inspection Unit (hereafter called JIU), the Inspectors shall have the broadest powers of investigation in all matters having a bearing on the efficiency of the services and the proper use of funds.
2. The United Nations General Assembly has reconfirmed the investigation function of the JIU in a number of resolutions, notably [A/RES/50/233](#), [A/RES/54/16](#), [A/RES/59/267](#), [A/RES/59/272](#), [A/RES/62/246](#), [A/RES/63/272](#), [A/RES/64/262](#), [A/RES/65/270](#) and [A/RES/66/259](#).
3. The JIU is the only independent external oversight body of the United Nations system. In exercising its investigative function, it does not constitute a substitute for or an appeal body of any established regular internal mechanism, namely investigative or administrative bodies, as well as of the United Nations system administrative tribunals.
4. Articles 6.1 and 6.2 of the JIU statute stipulate: “Acting singly or in small groups, the Inspectors shall make on-the-spot inquiries and investigations, some of which may be without prior notification, as and when they themselves may decide, in any of the services of the organizations. The Inspectors shall be accorded full co-operation by the organizations at all levels, including access to any particular information or document relevant to their work”. These provisions are fully applicable to and shall be respected by the investigative and other offices of the organizations.
5. According to article 8 of the statute, the JIU shall determine standards and procedures for the conduct of inquiries and investigations.
6. The present General Principles and Guidelines do not and are not intended to bind the organizations or confer, impose or imply any duties, obligations or rights actionable in a court of law or in administrative proceedings on the organizations. Nothing in the present General Principles and Guidelines shall be interpreted as affecting the rights and obligations of each organization per its regulations, rules, policies and procedures, nor the privileges and immunities afforded to each organization by the international treaties, customary international law and the laws of the respective member state.
7. The JIU makes particular reference to the “Uniform Guidelines for Investigations” endorsed at the 10th Conference of International Investigators (2009), a number of which it embedded to the present text or adapted to the unique context of the JIU.

8. The JIU, bearing in mind the confidentiality requirements, may consult and collaborate with other organizations, international institutions and other relevant parties to exchange ideas, practical experience and insight on how best to address issues of mutual concern. In relation with the conduct of specific investigations by other investigative offices, the Investigative component of the JIU may cooperate and share information with them.
9. JIU investigations will focus on alleged violations of regulations and rules and other established procedures by:
 - a. Executive Heads;
 - b. Heads of Internal Oversight;
 - c. Officials of organizations other than staff members²²; and
 - d. On an exceptional basis, staff of organizations that do not have in-house investigative capacity, if resources permit.

B. DEFINITIONS

10. An **investigation** is a legally based, independent inquiry into a situation or occurrence resulting in damages affecting the image, the properties and other resources or rights of organizations or/and into the alleged conduct of, or action taken by, an individual or group of individuals resulting in such damages. An investigation pursues reports of alleged violations of regulations, rules and other established procedures.
11. The JIU investigations are performed by its **Investigative component**. The Investigative component of the JIU is, in the phase of preliminary assessment, composed of the Vice-Chair and a professional investigator. In the course of a pursued investigation, it excludes the Chair and the Vice-Chair but includes two Inspectors assigned by the JIU to investigate the case and a professional investigator.²³
12. **Preliminary assessment** is the first step of the JIU investigative process, during which the Investigative component reviews and checks the available information and preliminary evidence, in order to assess whether the reported allegations provide enough or credible indications to launch a full investigation.
13. For the purpose of this document, the use of the term “**organization**” includes reference to any organization or entity having accepted and abiding by the JIU statute. The investigative unit of any organization is hereinafter referred to as its **investigative office**.

C. SOURCES OF INFORMATION

14. The JIU uses the following sources of information to pursue an investigation:
 - a. Requests of the competent organs of the organizations and suggestions received from the executive heads of organizations and bodies the United Nations system concerned with budgetary control, investigation, coordination and evaluation, in accordance with article 9 of the JIU statute;

²² As defined in ST/SGB/2002/9 “Regulations Governing the Status, Basic Rights and Duties of Officials other than Secretariat Officials, and Experts on Mission”.

²³ Its functions are similar to those of the investigative office referred to in the “Uniform Guidelines for Investigations” endorsed at the 10th Conference of International Investigators (2009).

- b. Its own observations and findings during the preparation of its reports, notes and management letters;
- c. Allegations directly received by the JIU irrespective of their source, taking into account the seriousness of the complaint, its credibility and the extent to which it can be corroborated.

II. INVESTIGATION STANDARDS, PROCESS AND CONFIDENTIALITY

A. STANDARDS

- 15. A JIU investigation compares the conduct of the individual under investigation to established criteria (e.g., regulations and rules, codes of conduct, administrative instructions and applicable law).
- 16. It is conducted with a view to establishing facts substantiating the allegations and, as appropriate, bringing the matter to the attention of the competent authorities and/or investigative office of the organization concerned for appropriate action.
- 17. The planning and conduct of a JIU investigation and the resources allocated to it should take into account the gravity of the allegation.
- 18. The JIU investigations shall be guided by its general standards of independence, competence, integrity, due care and quality, and by the principles of accountability, equity, fairness, justice and objectivity.
- 19. The following standards shall be observed in any JIU investigation:
 - a. Objectivity, operational independence, impartiality and fairness throughout the investigative process as well as timely disclosure of appearance of any conflict or appearance of conflict of interest to the JIU;
 - b. Abidance by mandate provisions, regulations and rules, code of conduct and administrative instructions of the organization concerned as well as laws of the relevant national jurisdictions;
 - c. Investigative findings and conclusions based on valid, substantiated facts and related analysis, and not on personal opinions or assumptions;
 - d. Promptness and transparency;
 - e. Due process and presumption of innocence;
 - f. Due consideration given to all findings.
- 20. Concealing allegations or evidence as well as any other interference during the investigation process shall amount to serious misconduct and subsequently to disciplinary measures.
- 21. The members of the Investigative component of the JIU shall be accountable for any violation of the present standards.
- 22. In case of a conflict of interest arising, the Inspectors concerned shall recuse themselves and shall not participate in any stage of the investigative process.
- 23. In accordance with the JIU mandate for investigations, on their own initiative or at the request of the JIU Investigative component, the organizations shall require their staff to cooperate with JIU investigations, fully answer questions and comply with all requests for assistance and information.

24. An organization's staff member who qualifies as a "whistleblower" under the organization's regulations and rules, policies and procedures, shall not be subjected to retaliation. Its executive head will treat retaliation as a separate act of misconduct.

B. INVESTIGATION PROCESS

25. All allegations received by the JIU shall be handed over to the Vice-Chair, who will brief the Chair.
26. The JIU Investigative component will register and acknowledge receipt of the allegations received.
27. All allegations shall be reviewed by the JIU Investigative component to determine whether they fall within the mandate and scope of the JIU investigations.
28. Supported by a professional investigator, the Vice-Chair shall conduct a preliminary assessment and make a recommendation on whether the case justifies a full investigation, whether it should be closed or whether it should be referred to the appropriate competent authorities.
29. The Vice-Chair shall inform the Chair of the results of the preliminary assessment at a formal meeting of the Bureau. In the case of agreement between the Chair and the Vice-Chair on closing or referring the case, the Inspectors will be informed and requested to give their consent usually through silent procedure. In case of disagreement between the Chair and the Vice-Chair both views shall be submitted to a formal meeting of the Inspectors.
30. If the Bureau recommends initiating a full-fledged investigation, it will convene an Inspectors' meeting. If the JIU approves a full-fledged investigation, it shall assign two Inspectors for the task, assisted by a professional investigator, and decide on resources (staff and travel) necessary for the proper conduct of the investigation.
31. The JIU may request relevant authorities for the funding of some investigation-related expenses.
32. The Chair and the Vice-Chair of the JIU shall be kept informed of the ongoing investigations and their progress and ensure full independence of the investigation process. The Executive Secretary of the JIU shall receive the information required on the ongoing investigations in order to allow investigations be provided with the necessary financial and human resources.
33. The Investigative component of the JIU shall conduct each investigation following a detailed work plan. One of the main work plan's objectives is to identify sources of information and ways to preserve and protect evidence. An investigation work plan is subject to adjustments as new facts and sources of evidence may emerge.
34. The Investigative component of the JIU shall conduct the investigation expeditiously.
35. Under some circumstances, at the request of the Investigative component, the JIU will determine whether it is necessary to involve experts with the appropriate background and expertise to provide advice and assistance.
36. If additional special investigative skills are required, the Unit may upon the request of the Investigative component engage the services of outside professional investigators, investigative offices or units

within or outside the United Nations system to assist the Investigative component with the investigation.

37. The JIU investigative activity shall be fully documented including the collection and analysis of documentary, video, audio, photographic and electronic information or other material, interviews of witnesses, observations of the members of the Investigative component (or other professional investigators hired to assist them) and such other investigative techniques required to conduct a thorough investigation.
38. The Investigative component of the JIU shall examine both inculpatory and exculpatory information.
39. Audio or video recording of the interviews should be the norm for the interviews conducted by members of the Investigative component of the JIU. If this is not possible, interviews should be performed by two persons, either members of the Investigative component or hired to assist the Investigative component.

C. CONFIDENTIALITY

40. The Inspectors and all involved in and/or informed of an investigation shall be bound by professional secrecy as regards all confidential information that they receive (article 6.3 of the JIU statute). It is critical to ensure that the confidentiality of information be secured so that, among other things, whistleblowers and others remain confident in their ability to communicate with JIU.
41. The members of the Investigative component shall take appropriate measures to prevent any leakage or disclosure of investigative information to any third party.
42. The number of persons involved in an investigation should be kept to a minimum.

III. INVESTIGATION OUTCOME

43. After the conclusion of the JIU investigation the Investigative component reports back to the JIU on the investigation results as well as the suggested course of action to be followed.
44. If the Investigative component of the JIU does not find sufficient evidence during the investigation to substantiate the reported allegations, it will document such findings and recommend to the Unit to close the investigation and to notify the parties concerned.
45. If the Investigative component of the JIU finds sufficient evidence to substantiate the reported allegations, it will document its investigative findings and recommend to the Unit to communicate the investigation results to the relevant organs/authorities of the organization concerned consistent with its regulations and rules, policies and procedures.
46. The JIU investigation results shall be made in a confidential letter accompanied by a detailed investigation report on its findings and conclusions. The draft of such a letter shall be submitted to the JIU for consideration.

47. JIU confidential letters on investigation results are addressed to the executive head of the organization concerned. JIU confidential letters on investigation results concerning the officials listed in subparagraph 9 (a) and (c) of the present General Principles and Guidelines shall be communicated to the chair of the legislative/governing body concerned. A summary of investigations conducted shall be included in the annual report of the JIU, in a way ensuring that the rights of the subject of investigation are not infringed and with due regard to confidentiality.
 48. Supported by a professional investigator, the Vice-Chair is the JIU Focal Point assigned to monitoring the response of the organizations to the JIU confidential letters and investigations reports substantiating investigated allegations.
 49. After the completion of any JIU investigation, the Bureau shall maintain and secure the full and complete record of the investigation, namely investigation activities, evidence collected, findings, conclusions and decisions taken.
 50. Where the JIU finds that a complaint or allegations were intentionally false, it shall refer the matter to the relevant authority in the organization concerned.
 51. Where the findings of the Investigative component of the JIU indicate that there was a failure to comply with an obligation existing under the investigative process by a witness or subject, the JIU may refer the matter to the relevant authority in the organization concerned.
 52. The JIU may consider whether it is appropriate to refer information related to the investigated case to the relevant national authorities.
 53. The Investigative component of the JIU shall fully apply the present General Principles and Guidelines to any investigation process and shall be accountable for any violation of them.
 54. Once the investigation is concluded, the draft investigation report of the Investigative component will be shared with the subject of investigation. The subject of investigation can comment on the findings of the draft investigation report and may submit a complaint for any violation of the present General Principles and Guidelines, namely the set standards and provisions on the investigation process, if he/she wishes to do so. The comments of the subject of investigation along with his/her possible complaint will be submitted to the Unit and will be considered together with the draft investigation report, as well as adequately reflected in the confidential letter.
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