



UNITED NATIONS
INDUSTRIAL DEVELOPMENT ORGANIZATION

eio

evaluation
and internal
oversight

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Welcome to the UNIDO Office of Evaluation and Internal Oversight!

What is oversight in UNIDO?
What are its various functions?
Why are they important?
How does oversight provide assurance to internal and external stakeholders?

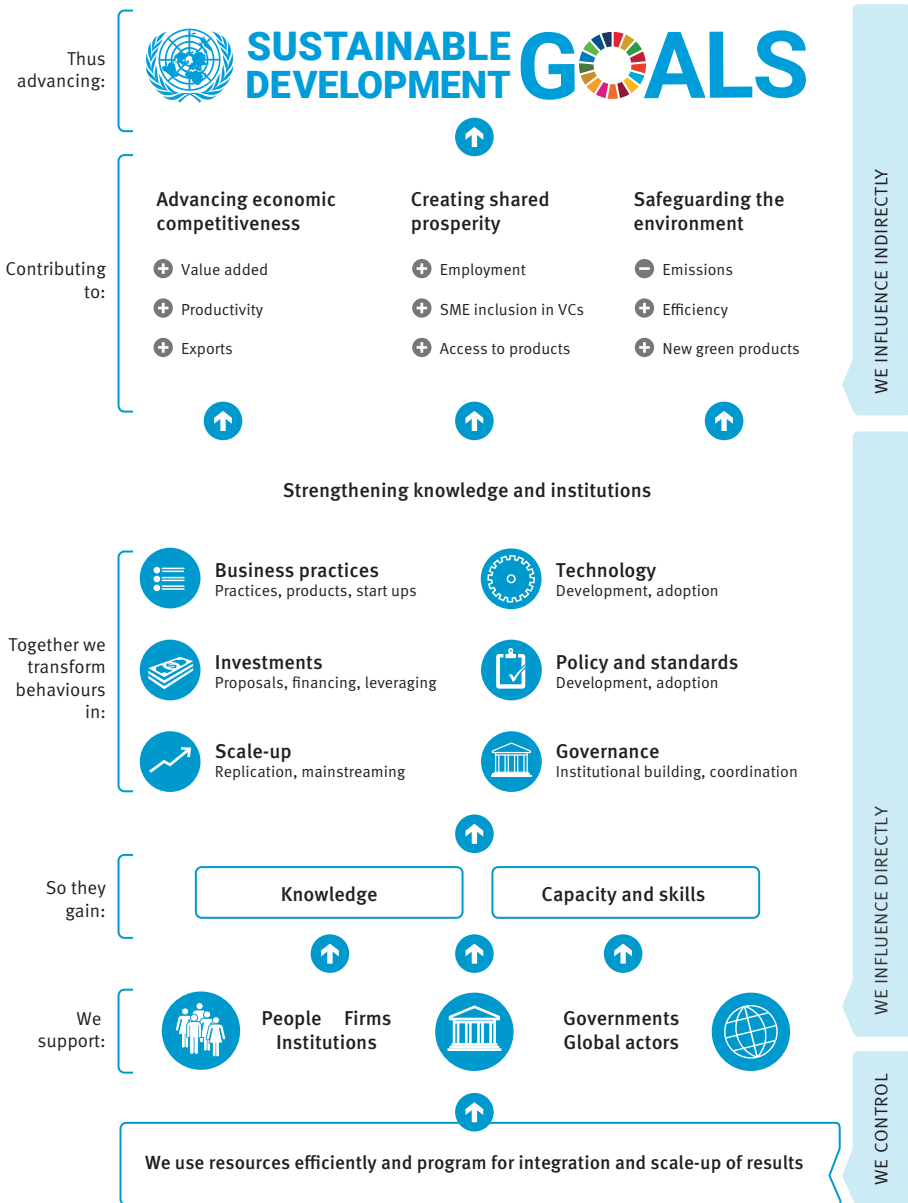
Several questions revolve around the role and functions of this office and the purpose of our work. With this brochure, we would like to give you an insight into our activities and explain our functions, and why they matter. Through evaluation, internal audit, and investigation, we learn and progress, and we enhance the trust and confidence of our partners in the work of UNIDO.

Our aim is to support and work with you throughout our shared journey of steady improvement and transformation towards a more effective and impactful Organization.

We invite you to further engage with us and look forward to our continued collaboration!

Javier Guarnizo
Director
Office of Evaluation and Internal Oversight

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Source: The UNIDO integrated results and performance framework (IRPF). UNIDO ANNUAL REPORT 2019

Office of Evaluation and Internal Oversight

The Office of Evaluation and Internal Oversight (EIO) is governed by the EIO Charter, as well as the Evaluation, Internal Audit, and Investigation policies.

EIO enjoys operational independence relating to the performance of its evaluation and internal oversight functions. It reports to the Director General and to the Industrial Development Board.

Our vision



A strong and impactful Organization



Recognized and trusted by all stakeholders



Working towards a more just, equitable and sustainable world

Our mission

Provide top-class oversight assessment and assurance services to enhance the efficiency and effectiveness of UNIDO, and to contribute to inclusive and sustainable industrial development and the 2030 Agenda for Sustainable Development.

Our key principles are

INDEPENDENCE • OBJECTIVITY • CREDIBILITY • UTILITY

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Strategy 2020-2024

A roadmap for EIO's contribution to enhanced organizational performance and governance, and to the achievement of organizational goals and objectives.

The **EIO Strategy 2020-2024** is a key management and accountability framework to establish where we are and to define where we see ourselves in the mid- and long-term. It has **two strategic goals**:

1 Increased effectiveness of EIO functions and value added to UNIDO

2 Sustained high quality of EIO processes and products through a resilient, flexible and innovative approach



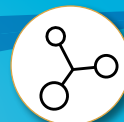
The work of EIO is aligned with strategic risks and evidence gaps



EIO preserves and strengthens its independence



EIO staff is skilled, trained, and competent



EIO fosters synergies between the three functions



EIO delivers its products in time



EIO assures high quality of its products and processes



EIO stays actively engaged with UN & other professional Oversight Networks



EIO strengthens its operational funding model



EIO develops strong reporting and communication plans and an effective outreach strategy



EIO promotes innovation

MONITORING AND REVIEW OF THE EIO STRATEGY 2020-2024 THROUGH:

REGULAR MONITORING OF EIO PROGRESS against key performance indicators and the implementation of its work plans

EIO ANNUAL REPORTING to the Director General and the Oversight Advisory Committee (OAC)

A FORWARD-LOOKING REVIEW undertaken during the fourth year of implementation

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Three Oversight Functions

Independent
Evaluation

Internal
Audit

Investigation

Independent Evaluation

The primary purpose of the **independent evaluation function** is to provide, credible and useful assessment of the relevance, efficiency, effectiveness, coherence, sustainability and impact of UNIDO operations and interventions, projects, programmes, thematic areas and strategies, in order to:

- Contribute to evidence-based planning and programming and informed decision-making
- Add value and improve the work of the Organization
- Drive innovation and foster organizational learning from experience
- Strengthen national evaluation capacity in our partner countries
- Contribute to greater results accountability and build trust

The independent evaluation function is aligned with the United Nations Evaluation Group (UNEG) Norms and Standards for Evaluation and is responsible for UNIDO independent evaluations, which fall into two main categories:

STRATEGIC EVALUATIONS

- Thematic evaluations
- Country level evaluations
- Corporate level evaluations

PROJECT EVALUATIONS

- Independent terminal evaluations
- Independent mid-term evaluations



Evaluations aim to answer the following key questions:

1

Are we doing the right things?



2

Are we doing things right?

EIO manages and conducts independent evaluations, develops and provides evaluation guidelines, methodology and training tools to support full evaluation processes and to ensure that quality standards are met. For self-evaluations and mid-term reviews, which are under responsibility of project managers, EIO provides ad-hoc support when requested.

Internal Audit

The **internal audit function** has the primary purpose to provide independent and objective assurance and advice on services, systems, processes, procedures and operations from all sources of funds, both at Headquarters and in the field, in order to:

- Add value to UNIDO's operations to improve the effectiveness of governance and risk management, as well as to emphasize transparency
- Provide assurance on the adequacy of internal control systems and compliance with UNIDO regulatory framework
- Assess efficiency of resources usage
- Provide assurance on early implementation of new processes and input for course correction before processes are fully established

The internal audit function performs its services in conformity with the Core Principles for the Professional Practice of Internal Auditing of the Institute of Internal Auditors (IIA), and in conformance with the provisions of the IIA's International Standards for the Professional Practice of Internal Auditing, Code of Ethics and Definition of Internal Auditing.

Investigation

“Be aware, prevent wrongdoing, and protect UNIDO's interest.”

The **investigation function**, as part of the broader justice system of the Organization, has the primary responsibility to establish the existence (proving) or non-existence (disproving) of the elements that constitute a wrongdoing.

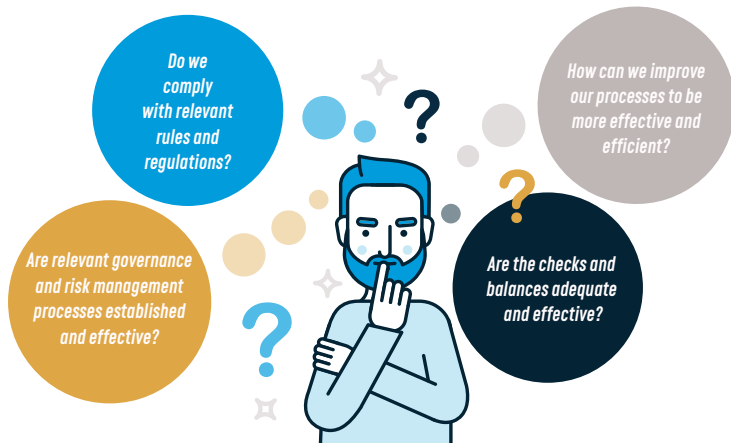
Investigation contributes to the accountability, culture of ethics and integrity, and good governance within the Organization.

What and how we investigate?

In cases of allegations of misconduct, such as fraud, corruption, workplace harassment, sexual exploitation and abuse, retaliation, waste of resources, and/or violation of UNIDO regulations, rules and procedures, and other wrongdoing, the investigation function conducts fact-finding inquiries to determine if they occurred and if so, the persons or entities responsible.

Investigations are conducted in line with the Uniform Principles and Guidelines for Investigations endorsed by the Conference of International Investigators, which is reflected in UNIDO's Investigation Guidelines. Investigations are conducted with due professional care, objectivity, impartiality, and with strict regard for confidentiality.

? *Audits aim to answer various questions, including:*



! *“If you see something that seems ‘wrong’, please say something!”*

How to report a suspicious wrongdoing? You can contact us:

in person	by telephone	by fax	by e-mail	web-reporting tool
to room D2161	+43 1 26026 3666	+43 1 26026 6831	OVERSIGHT-HOTLINE@UNIDO.ORG	QR-CODE

EIO complementary services

The Office of Evaluation and Internal Oversight also provides advisory services in order to:

- Support Management in the identification of inefficiencies.
- Provide unbiased and objective views and advice on procedures and policies, on internal controls or risks in newly established processes, in view of improvement and to support the Organization reach its goals.
- Raise awareness and strengthen the capacities in aspects related to all EIO functional areas.

Other EIO activities

- Evaluation capacity-building for Government counterparts
- Training sessions and/or workshops on evaluation for UNIDO staff/project managers
- Regular update of EIO-related policies and guidelines
- Training and capacity building of EIO staff to keep abreast of latest developments and state of the art practices in evaluation, internal audit, and investigation communities

EIO as part of the UN system and International professional networks

Our office is engaged in various networks globally, to strengthen the coherence, quality and innovation of evaluation and internal oversight across the UN system:

- For the evaluation function, EIO actively participates in the **United Nations Evaluation Group (UNEG)**
- For the internal audit function, EIO is an active member of the **United Nations Representatives of Internal Audit Services (UN-RIAS)**
- For the investigation function, EIO engages actively in the **United Nations Representatives of Investigation Services (UN-RIS)**

EIO as part of the overall governance system of UNIDO

- EIO acts as focal point within **UNIDO for the United Nations Joint Inspection Unit (JIU)**
- EIO is the Secretariat for the **UNIDO Independent Oversight Advisory Committee (OAC)**

Key documents

- Charter of the Office of Evaluation and Internal Oversight
 - Strategy 2020-2024 for The Office of Evaluation and Internal Oversight
 - Evaluation Policy
 - Internal Audit Policy
 - Investigation Policy
 - Evaluation Manual
 - Internal Audit Manual
 - Investigation Guidelines
 - Terms of reference of the Oversight Advisory Committee
-
- Code of Ethical Conduct
 - Prohibition, prevention and resolution of harassment, including sexual harassment, discrimination and abuse of authority
 - Policy on Fraud Awareness Prevention
 - Protection against retaliation for reporting misconduct or cooperating with audits or investigations
 - Standards of Conduct for the International Civil Service
 - Accountability Framework
 - Internal Control Framework
 - Enterprise risk management policy
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- UNEG Norms and Standards for Evaluation
 - International Standards for the Professional Practice of Internal Auditing
 - CII Uniform Principles and Guidelines for Investigations

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EIO Contacts

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EIO/IOD

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OAC

UNIDO Oversight Advisory Committee

oac@unido.org

For more information, visit our website:

<https://www.unido.org/resources/evaluation-and-internal-oversight>





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