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**Executive Board  
Second Regular Session**

**Rome, 17 - 19 May 2000**

# **REPORTS BY THE JOINT INSPECTION UNIT**

**Agenda item 8**

***For consideration and  
approval***

# **E**

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## **REPORTS BY THE JOINT INSPECTION UNIT RELEVANT TO THE WORK OF WFP AND THE EXECUTIVE BOARD**

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## NOTE TO THE EXECUTIVE BOARD

**This document is submitted for consideration and approval to the Executive Board.**

The Secretariat invites members of the Board who may have questions of a technical nature with regard to this document, to contact the WFP staff focal point indicated below, preferably well in advance of the Board's meeting.

Officer, Inter-Agency Affairs Service, RECI: Mr S. Green tel.: 066513-2908

Should you have any questions regarding matters of dispatch of documentation for the Executive Board, please contact the Documentation and Meetings Clerk (tel.: 066513-2645).



## BACKGROUND

1. The Joint Inspection Unit (JIU) was established by United Nations General Assembly resolution 2150 (XXI) in 1966. The Unit is composed of 11 inspectors with broad powers of investigation in all matters bearing on the efficiency of services and the proper use of funds by the United Nations system. The JIU evaluates whether activities undertaken by “participating organizations” are carried out in the most economical manner and ensures that optimum use is made of resources available for carrying out these activities.
2. The participating organizations of the JIU are the United Nations, its affiliated bodies and 14 specialized agencies which accept the JIU Statute. With its constitutional ties to both the United Nations and FAO, WFP is a “participating organization”. Reports of the Unit are addressed to the Executive Heads of participating organizations for subsequent transmission to the respective legislative bodies.
3. At its 54th session in 1999, the General Assembly adopted a resolution endorsing a strengthened system of follow up to JIU reports and recommendations (Annex I to this report). The resolution requests, among other things, that governing bodies of participating organizations review more closely recommendations and ensure a follow-up system is put in place. The Secretariat proposed to the Bureau, and the Bureau endorses a cost-effective, efficient and prudent response to the resolution. The Secretariat will: i) continue with the practice regarding the distribution of JIU reports; ii) continue to present to the Bureau a draft report addressing each relevant recommendation; iii) propose an appropriate course of action through the Bureau for the Board to endorse, modify or reject; and iv) prepare a matrix on follow-up actions taken which will be attached to next year’s report to the Board. The Bureau will in turn review the draft report, amend as necessary, and forward to the Board with the Bureau’s recommendation for action. The proposed approach is detailed in Annex II.
4. The Bureau hereby forwards to the Board the Secretariat’s report and requests that the Board endorse the response on all recommendations.

## REPORTS RELEVANT TO THE WORK OF WFP AND THE EXECUTIVE BOARD

5. Of the eight reports issued in 1999, four were found to be relevant to the work of WFP and the Executive Board.

### JIU/REP/99/1: Review of the Administrative Committee on Coordination and its Machinery

6. The stated objective of the report is to contribute to ongoing initiatives aimed at enhancing the effectiveness and impact of the Administrative Committee on Coordination (ACC) and its machinery, and at reinforcing the ACC’s interaction with intergovernmental bodies in general and with those having a mandate for system-wide coordination in particular.
7. The report presents a brief historical background on the evolution of the ACC since its creation by the Economic and Social Council (ECOSOC) in its resolution 13 (III) of 21 September 1946. It highlights the changes that have occurred in the scope of the work of the Committee, from the initial emphasis on the implementation of the relationship



agreements entered into by the United Nations with specialized agencies, to its current role of addressing the whole range of substantive and management issues facing the United Nations system. It highlights the unique role of the ACC as the only forum bringing together the Executive Heads of all organizations in the United Nations system in order to further inter-secretariat cooperation and coordination.

8. The report outlines the reviews and reforms undertaken by the ACC over the years and the lessons learned in the process. It goes on to assess the reforms the ACC carried out in 1993, highlighting the guiding principles and new working methods for the functioning of the ACC that emerged from that exercise. It notes that these led to the approval by the Executive Heads in 1998 of a new “operational plan” for the ACC, which details requirements for a further qualitative strengthening of the effectiveness and impact of the ACC.
9. The current functioning of the ACC and of its subsidiary machinery is then reviewed, as are issues regarding secretariat support to the Committee and issues pertaining to its management of information. The report ends with a review of the interaction between the ACC and inter-governmental bodies.
10. The report draws a number of conclusions and recommendations which highlight the need to continue the efforts under way to further mutually reinforcing interactions between the ACC and inter-governmental bodies, particularly ECOSOC; strengthen a sense of “ownership” of the ACC processes within the system; enhance the relevance and impact of the work of the ACC; further streamline the working methods of its subsidiary machinery; facilitate the exchange of information among its members; and make information on the work of the ACC available more systematically to the general public.
11. The report makes 12 recommendations, four of which are relevant to WFP. These are outlined below, together with the proposed response by the Secretariat.
  - i) **Executive Heads are encouraged to continue to abide by the guiding principles which have set conditions for improving the effectiveness and impact of the ACC by reinforcing their unity of purpose. Within the framework of these guiding principles, and in order to further enhance the coherence of United Nations system-wide plans and activities, Executive Heads should reinforce the leadership role of the Secretary-General as Chairman of the ACC, and the lead role of other Executive Heads and their respective organizations as lead agencies in their specific mandates and competencies.**

Proposed response: Endorse.

- ii) **Legislative bodies which have not yet done so, may wish to request the Executive Head to submit, under a specific agenda item on system-wide coordination, a periodic report focusing on decisions and recommendations by central coordinating bodies or by other governing bodies, which have implications for the organization’s programme and budget, and measures taken or envisaged to ensure appropriate coordination and reinforce the unity of purpose of the system as a whole.**

Proposed response: Endorse. The Secretariat already submits annually to the Executive Board an information paper highlighting all the relevant ECOSOC and General Assembly resolutions on which the Board needs to take action. This document will be broadened to include decisions of central coordinating bodies and Governing Bodies as necessary. At the first regular session, every year, the Secretariat, will make an oral statement, for information, under an agenda item on United Nations system-wide coordination.



**iii) Legislative bodies may wish to request from Executive Heads a more complete and transparent submission of financial implications related to the inter-agency coordination process, along with cost-saving or efficiency measures taken.**

Proposed response: Endorse with modification. The recommendation can generally be endorsed with regard to the underlying intention of enhancing efficiency and transparency. Isolating coordination costs, however, is a more difficult and time-consuming task which may not yield accurate results. Travel for inter-agency coordination, which is often the most significant cost factor involved, is usually scheduled in connection with other inter-governmental or substantive meetings as a cost-saving measure. WFP will continue to implement and report on such economy measures wherever feasible, especially as this relates to inter-agency coordination costs.

**iv) The General Assembly may wish to reaffirm, as a matter of principle, its own role in approving on behalf of the system, the total budgets of all jointly-financed secretariats, which should be submitted through the Advisory Committee on Administrative and Budgetary Questions (ACABQ) along with either the related cost-sharing formulas or expected contributions from participating organizations.**

Proposed response: Endorse. WFP welcomes a more legislatively-oriented budgetary process.

### JIU/REP/99/3: Results-based Budgeting: the Experience of United Nations System Organizations

12. United Nations General Assembly resolution 53/205 of 18 December 1998, entitled "Results-based Budgeting" requested the JIU to undertake an analytical and comparative study of the experience of the bodies of the United Nations system that were implementing an approach similar to Results-based Budgeting (RBB) and to submit its report no later than 31 August 1999. The primary objective of the JIU review was to document and learn from the experience of other United Nations organizations with RBB for assisting Member States in considering the proposal on RBB for the United Nations.
13. The scope of the JIU review was restricted to the regular budget experience with RBB techniques of the specialized agencies and the International Atomic Energy Agency (IAEA), since the proposal before the United Nations General Assembly primarily relates to the use of RBB for the regular budget of the United Nations. However, since a number of United Nations funds and programmes continue to contemplate budgetary initiatives based on a results framework and corporate goals, their experiences were of interest to the JIU review as well.
14. The JIU report confirmed that adopting an RBB framework in many organizations in the United Nations system is very much at the development stage, and that much remains to be done before the full measure of expected dividends can be realized. The leadership and involvement of Executive Heads (including interaction of Member States) was deemed to be critically important in the preparation and implementation of RBB. On the whole, the review sensed considerable enthusiasm in organizations in terms of RBB being able to address their respective needs and characteristics. The potential of RBB for enhancing the governance function of Member States was stressed as well.
15. The review identified that RBB has yet to be used as a viable means of conducting budget/staff reduction exercises. RBB is being progressively seen as a crucial element in the formulation of medium-term plans as the principal policy instrument for strengthening the linkage of such plans to programme budgets.



16. The report makes six recommendations. These are presented below, together with the proposed response by the Secretariat.

- i)* **In order to assure appropriate guidance from Member States in resolving the problem of the lack of agreed definitions for key RBB terms, the Glossary of Financial and Budgetary Terms, currently being updated by the Consultative Committee on Administrative Questions (CCAQ) of the ACC, should be reviewed and commented upon by the appropriate bodies of the United Nations system organizations.**

Proposed response: WFP has made contributions to past CCAQ queries regarding terminology and definitions of financial and budgetary terms and will continue to do so within the much-needed initiative for compiling appropriate and common language of key RBB terms.

- ii)* **As a means of seeking to resolve existing concerns about the possible adaptation of RBB to the United Nations, and in order to assure an appropriate participatory role of Member States in adapting RBB to the United Nations, an open-ended working group should be established at the level of the Fifth Committee, to meet during the 54<sup>th</sup> session of the General Assembly and off-session as needed, within existing resource levels, at which Secretariat officials, including from Secretariats of other organizations to the extent possible, would provide briefings and respond to questions on all aspects of RBB.**

Proposed response: WFP, particularly in the context of its commitment to participate in issues of United Nations reform, stands ready and willing to provide such briefings to the Working Group, should it be called upon to do so. In addition, it would be WFP's intention to watch closely the contributions of other United Nations organizations whose experiences may be taken into consideration as WFP moves towards the implementation of a foundation to support a Results-based Management model.

- iii)* **Subject to a General Assembly decision to use RBB for the United Nations, the United Nations Staff College and the United Nations Institute for Training and Research (UNITAR) should be invited to conduct seminars and workshops to help familiarize staff and representatives of Member States with RBB.**

Proposed response: WFP was a participant at the first CCAQ-sponsored RBB workshop held in the second half of 1998. The workshop was found to be informative, and WFP would be eager to make contributions to other such initiatives and share experiences within the aim of moving with Members of the Executive Board towards an RBM environment.

- iv)* **Future reporting by the Secretary-General of the United Nations on RBB should include a comprehensive assessment of changes that would be required to assure the readiness of the organization for RBB regarding areas such as regulations, procedures, management information systems and training.**

Proposed response: WFP is prepared to make such contributions within the sphere of its own General and Financial Rules and Regulations, coupled with due attention paid to the inclusion of benchmark indicators in information systems and, understandably, the need for an appropriate training strategy to prepare staff for the shift towards RBM.

- v)* **Reflecting the uncertainty about how to reflect external factors in the accountability of programme managers under RBB, the Secretary-General of the United Nations should submit to the General Assembly as soon possible a report with**



**recommendations on this matter, accompanied by the comments of the Advisory Committee on Administrative and Budgetary Questions (ACABQ) and the Committee for Programme and Coordination (CPC).**

Proposed response: External factors and unforeseen circumstances, such as considerations regarding security and lack of infrastructure, are day-to-day realities in WFP's work in its to struggle to reduce hunger, be it through relief or development interventions. It would follow that in a climate of RBM, such elements that can significantly and unexpectedly affect programme delivery, ought to be viewed as legitimate and additional elements with which WFP would have to contend.

**vi) In view of their roles in the current programme budget process, the CPC and the ACABQ should be invited to comment on their respective roles under RBB.**

Proposed response: Under WFP's current General Regulations, the Programme's Executive Board is obliged to draw upon the advice of the ACABQ and the FAO Finance Committee on all WFP matters that have financial implications. From the standpoint of incorporating RBB techniques into the overall WFP budget process, WFP would want to continue to call upon the advice of the two advisory bodies.

### JIU/REP/99/6: Private Sector Involvement and Cooperation with the United Nations System

17. The report describes the increasing frequency and breadth of collaboration between the United Nations system and the private sector, defined as members of the business community, from small and medium-sized enterprises to multinational corporations, including the informal sector and associations such as Chambers of Commerce or corporate foundations. It states that the objective of partnerships between the United Nations and the private sector should not be limited to the mobilization of resources; they should also encourage the private sector to integrate the values of the United Nations, channelling investments towards least developed countries and building a strong new constituency for the Organization as a whole.
18. Notable, however, is the diversity of regulations, approaches and practices of the various agencies of the United Nations system to private sector entities. Some degree of inconsistency exists in the way the funds, programmes and agencies interact with the private sector in order to maximize the benefits while protecting themselves from the inherent risks. The report makes a series of recommendations to ensure greater transparency and accountability, and avoid undue influence of special interest groups while promoting further links between the United Nations and private sector entities.
19. WFP welcomes the report, and its helpful summary of the opportunities and risks involved in private sector cooperation with the United Nations system. Particularly useful is the comparative table of guidelines of the various funds and programmes for relations with the private sector and the United Nations regulations applicable to the same.
20. WFP has been actively pursuing partnerships with the private sector in the areas of resource mobilization, joint projects and outreach to the business community. It is committed to ensuring a presence at relevant business events such as industry/sector conferences and meetings, as well as engaging in regular dialogue with food producers.
21. The following recommendations are considered relevant:
  - i) **that the “participating organizations set realistic objectives and expectations for their partnership with the private sector. These objectives and expectations should be clearly enunciated and publicized, possibly through the adoption of a strategic**



**document on this issue to be prepared by respective Secretariats and endorsed by Governing Bodies.”**

Proposed response: Endorse. The Resource Mobilization Strategy, which refers to private sector fund-raising, may provide the basis for such objectives.

- ii)* **that the “Secretariats of the participating organizations should: a) carry out outreach programmes targeting the private sector; b) each designate a focal point, or at least identify easily accessible units, to serve the needs for information and assistance of the business community.”**

Proposed response: Endorse. WFP has already begun this outreach, particularly through activities and "Friends of WFP" associations in Japan and the United States, and a focal point for the business community has already been identified in the Resources and External Relations Division.

- iii)* **that "participating organizations should: a) ensure the presence of United Nations representatives at relevant business events and organize joint encounters; b) encourage as wide as possible a participation from the private sector in their relevant activities..."**

Proposed response: Endorse. WFP will continue to attend and convoke relevant business meetings. In 1999, the Executive Director spoke at a number of meetings and conferences where the private sector was represented. In addition, WFP also organized a major shipping conference, bringing together the Programme and its partners in the shipping industry.

- iv)* **that the "working group established by the Secretary-General's Senior Management Group should proceed with drafting guidelines on relations with the private sector".**

Proposed response: Not endorse. The Secretariat notes the report's emphasis on the fact that these general guidelines can only serve as a reference, since the diversity of each Programme's mandate and activities will require it to determine its own guidelines.

- v)* **that "United Nations agencies that have not yet done so should also adopt a set of guidelines, taking into consideration the work carried out by the working group mentioned in Recommendation iv)".**

Proposed response: Endorse. The Secretariat has carried out some preliminary work on the drafting of guidelines for its relations with the private sector, and will complete the final document following approval of the Resource Mobilization Strategy.

- vi)* **that "participating organizations should ... examine whether their respective staff rules and regulations are sufficient to guarantee that staff members do not hold a financial interest in commercial enterprises with which a partnership is envisaged."**

Proposed response: Endorse.

- vii)* **that "participating organizations should speed up internal processes and establish specific time-frames, within the framework of existing rules and regulations, to ensure that bureaucratic procedures and lengthy time response do not discourage initiatives from the private sector."**

Proposed response: Endorse. The Programme is addressing this issue as part of the ongoing organizational change initiative, through increased delegation of authority, decentralization and local resource mobilization.





*viii) that "suitable mechanisms for the sharing of information and best practices with regard to relations with the private sector should be established, using the ACC structure as appropriate, to ensure consistency of policy and harmonization of relevant procedures throughout the United Nations system."*

Proposed response: Endorse. The Secretariat welcomes the initiative.

### JIU/REP/99/7: Policies and Practices in the Use of the Services of Private Management Consulting Firms in the Organizations of the United Nations

22. The report provides conclusions and recommendations on the use of management consulting firms in the United Nations system. Inspectors have concluded that it is a sound practice for organizations to use outside expertise in support of their mandated programmes when such expertise is not available in-house. Their contribution is especially important in the context of such issues as participation, consultation, centralization versus decentralization and the management of change. The report further concludes that management consulting firms produce best results when they are engaged to carry out a specific piece of work where their clients lack expertise or want a breadth of views. And further, clients who are unable to formulate their needs and requirements in clear, exact terms may not get what they need and certainly not at the most desirable price.
23. WFP welcomes the comprehensive overview on the use of management consulting firms in the United Nations system. The information contained in this report will be used by WFP to strengthen its collaboration with other United Nations agencies. It may be noted, however, that several inaccuracies in the information and analysis contained in the WFP-specific section have not been remedied despite WFP's formal request to do so. The requested changes would have significantly strengthened the final report. Finally, several of the recommendations put forward by the JIU are not shared by WFP, as they are not an immediate and direct consequence of the information gathered and the analysis performed by the JIU.
24. The Secretariat proposes the following responses to the report's key recommendations:
- i) The participating organizations should elaborate policies, standards and procedures concerning the utilization of management consulting firms, together with explicit and rational assessment criteria, for submission to their legislative organs. The organizations should, in particular, develop flexible guidelines for subcontracting, feasibility studies, procedures and checklists for the call for bids, methods for evaluating potential consulting firms and procedures for overseeing control and follow-up. The following elements should be reflected in the guidelines:*
- **alternatives to hiring external management consulting firms should be sufficiently considered, including reliance on appropriate internal specialist bodies, ad hoc task forces, inter-departmental committees, or recourse to appropriate United Nations system entities, such as the International Computing Centre (ICC) and the Information Systems Coordination Committee (ISCC) in the area of information technologies and the United Nations Staff College or the JIU in broad management areas;**
  - **a prior cost benefit analysis of the objectives to be attained by the organization, including new expertise to be acquired by its staff, should be drawn up when engaging management consulting firms;**



- **the need for case-by-case legislative authority for hiring management consulting firms should be ascertained; and**
- **the need for strict terms of reference defining, among other things, the level and range of new skills to be transferred to the organization, should be borne in mind.**

Proposed response: Not endorse. WFP's Financial Rules and the Non-food Item Manual, which came into effect on 1 January 2000, adequately describe the policy and discipline the process for the selection and award of large value contracts. The development of a policy framework specific to the appointment of management consulting firms would be redundant, as these provisions also govern the appointment of management consulting firms. Appropriate cost benefit analyses are carried out at the evaluation stage; review and recommendation for award is granted by the Purchase and Contract Committee and the final award rests with the appropriate procurement authority, which in cases of contracts above US\$2 million is the Deputy Executive Director.

- ii) **The organizations should ensure that they count with adequate internal expertise and means to monitor as closely as possible the performance of management consulting firms, including their transfer of new management skills to the organization at all stages of contract delivery, so as to ensure the creation and preservation of institutional memory.**

Proposed response: Endorse. In WFP the monitoring and control of project implementation has been a good business practice.

- iii) **The organizations should conduct *ex post facto* evaluations of the performance and extent of implementation of the recommendations of management consulting firms, including, especially, cost-effective benefits and the impact of their work within the organization, and should share with other organizations, as appropriate, the results of such evaluations (see also recommendation iv) below).**

Proposed response: Endorse. The subject recommendation has already been implemented in WFP. Enhancing WFP's monitoring and evaluation culture is among the priorities for the year 2000 established by the Executive Director.

- iv) **The organizations should reinforce system-wide cooperation and coordination in the use of management consulting firms by, among other things:**

- **developing and sharing rosters of cost-effective management consulting firms that possess United Nations system experience and originate in as wide a range of countries as possible; and**
- **sharing experience and information on the use of management consulting firms under an appropriate agenda item at ACC meetings.**

Proposed response: Endorse with modification. WFP agrees on the necessity to reinforce system-wide cooperation and coordination among the United Nations agencies. The Inter-Agency Working Group (IAWG) on Common Services, in which WFP participates also in the area of procurement, has initiated an effective information sharing on several other procurement areas. This Group may expand its coordination role also to the area of management consulting firms as a more appropriate forum.

- v) **The organizations should guard against possible conflicts of interest when awarding contracts to management consulting firms or when hiring former agents or**



**personnel of these firms, especially when they have been involved in the negotiation or execution of specific contracts.**

Proposed response: Endorse. Avoidance of conflict of interest in awarding any contract is among the principles applied by WFP. The Programme has already established formal evaluation panels and a Headquarters Purchase and Contract Committee, which both shall ensure compliance with this principle.

*vi)* **As a cost-saving measure, preference should be given to regionally-based firms with the required expertise and qualifications, when available.**

Proposed response: Not endorse. Giving preference to regionally-based firms does not necessarily result in cost-saving measures. In WFP, best value is achieved through a two step process whereby the technical merits of a proposal are evaluated and then a cost benefit analysis is carried out. Cost-saving measures have to be assessed on a case-by-case basis for each single contract; preference to regionally-based firms must also be assessed on a case-by-case basis.

*vii)* **Without prejudice to recommendation vi) above and to other cost-effective considerations, the organizations should adopt a policy of rotating management consulting firms to ensure that they derive the broadest possible benefits from their relations with such firms.**

Proposed response: Endorse. As such, a policy of rotating management consulting firms does not ensure that an organization derives the broadest possible benefits from its relation with these firms. WFP will continue to ensure maximum flexibility and the broadest selection base possible by undertaking market research as a matter of routine, with the objective of deriving the maximum benefits from its contractors adhering to its Financial Rules and the Procurement Manual.

*viii)* **The organizations are urged to advertise for international biddings in as many official languages and in as many countries as possible, with a view to broadening the range of firms from all regions and countries becoming aware of opportunities for contracts with United Nations system organizations and actively participating in such bidding.**

Proposed response: Endorse with modification. WFP intends to make public its prospective service requirements through the corporate web site. When appropriate for services which require advertising, WFP may either submit requests for information from a broad range of institutions or advertise in specialised media in the languages.

25. In 1999, the following additional reports were issued by JIU:

- **JIU/REP/99/2—An Evaluation of the United Nations International Research and Training Institute for the Advancement of Women (INSTRAW)**
- **JIU/REP/99/4—Review of Management and Administration in the International Labour Office**
- **JIU/REP/99/5—Use of Contractual Services to Support Established Staff Resources in the International Civil Aviation Organization (ICAO)**

26. The following report is scheduled for imminent publication:

- **JIU/REP/2000/1—Administration of Justice at the United Nations**



## ANNEX I

A

UNITED  
NATIONS



## General Assembly

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19 November 1999

Fifty-fourth session

Agenda item 123

### RESOLUTION ADOPTED BY THE GENERAL ASSEMBLY

[on the report of the Fifth Main Committee (A/54/507)]

#### 54/16. Joint Inspection Unit

*The General Assembly,*

*Reaffirming* its previous resolutions on the Joint Inspection Unit, hereafter referred to as the Unit, in particular resolution 50/233 of 7 June 1996,

*Having considered* the annual reports of the Unit for the periods 1 July 1995 to 30 June 1996<sup>1</sup> and 1 July 1996 to 30 June 1997,<sup>2</sup> its programme of work for 1996-1997<sup>3</sup> and for 1997-1998,<sup>4</sup> the note by the Secretary-General transmitting the note by the Unit regarding the cycle for its

<sup>1</sup> *Official Records of the General Assembly, Fifty-first Session, Supplement No. 34 (A/51/34).*

<sup>2</sup> *Ibid., Fifty-second Session, Supplement No. 34 (A/52/34).*

<sup>3</sup> See A/51/559 and Corr.1.

<sup>4</sup> See A/52/267.



programme of work<sup>5</sup> and the report of the Secretary-General on the implementation of the recommendations of the Unit,<sup>6</sup>

*Reaffirming* the statute of the Unit, the only independent system-wide inspection, evaluation and investigation body,

*Stressing again* that the impact of the Unit on the cost-effectiveness of activities within the United Nations system is a shared responsibility of the Member States, the Unit and the secretariats of the participating organizations,

1. *Takes note with appreciation* of the annual reports of the Unit for the periods from 1 July 1995 to 30 June 1996<sup>1</sup> and 1 July 1996 to 30 June 1997,<sup>2</sup> of its programme of work for 1996-1997,<sup>3</sup> for 1997-1998,<sup>4</sup> and for 1999,<sup>7</sup> of the note by the Secretary-General transmitting the note by the Unit regarding the cycle for its programme of work<sup>5</sup> and of the report of the Secretary-General on the implementation of the recommendations of the Unit;<sup>6</sup>

2. *Invites* the Unit, while preparing its annual programme of work, to give priority to the reports requested by the participating organizations;

3. *Recognizes* the improvements made in the functioning of the Unit, encourages the Unit to continue its efforts in this respect, and decides to revert to the issue of the functioning of the Unit at its fifty-sixth session;

4. *Endorses* the system of follow-up to the reports of the Unit, as contained in annex I to the annual report of the Unit for the period from 1 July 1996 to 30 June 1997,<sup>2</sup> and, in this connection, invites the Unit:

(a) To send reminders/notices for the implementation of recommendations to the executive heads of the participating organizations;

(b) To include in its annual reports approved recommendations that have not been implemented;

5. *Requests* that the system be implemented expeditiously;

6. *Requests* the Unit to report on experience with the system, including action taken and comments made by participating organizations, to the General Assembly at its fifty-sixth session.

*43rd plenary meeting*

*29 October 1999*

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<sup>5</sup> See A/53/180.

<sup>6</sup> A/52/206.

<sup>7</sup> See A/53/841.



Annex I  
TOWARDS A MORE EFFECTIVE SYSTEM OF FOLLOW-UP ON REPORTS  
OF THE JOINT INSPECTION UNIT

A. Introduction

1. The value of a JIU report depends on effective follow-up. Effective follow-up requires (a) that the reports be given active and serious consideration by the legislative organs of the participating organizations, with the benefit of specific and timely comments on them by the secretariats, and (b) that there is expeditious implementation of the approved recommendations contained in them, with full reporting on the implementation measures taken and analysis of the resulting impact.

2. This system of follow-up is based on the JIU statute, which has been accepted by all JIU participating organizations, and on General Assembly resolution 50/233 of 7 June 1996, including the resolutions reaffirmed therein.

B. Necessary conditions for effective follow-up

3. The General Assembly, in resolution 50/233, stressed that the impact of the Unit on the cost-effectiveness of activities within the United Nations system was a shared responsibility of the Member States, the Unit and the secretariats of participating organizations.

1. Joint Inspection Unit

4. In order for the JIU reports to be thoroughly and effectively utilized by the legislative organs of participating organizations, as called for by the General Assembly in paragraph 13 of resolution 50/233, the recommendations included in JIU reports must be (a) directed at correcting clear deficiencies with practical, action-oriented measures to solve significant problems; (b) convincing and well-supported by the facts and analysis in the report; (c) realistic in terms of implied resource commitments and technical capabilities; (d) cost-effective; and (e) specific regarding actions to be taken, and those responsible for taking actions, so that implementation and resulting impact can be clearly tracked.

5. The Unit should submit its reports to the executive heads of its participating organizations sufficiently in advance of the meetings of legislative organs to be thoroughly and effectively utilized at the meetings.

2. Executive heads of the participating organizations

6. Upon receipt of reports, the executive heads concerned will distribute them immediately, with or without their comments, to the member States of their organizations, as called for in article 11, paragraph 4 (c), of the JIU statute.

7. The executive heads concerned with a report will assure that the report, with their comments, will be submitted to the appropriate legislative organs within the time-frames specified in article 11, paragraphs 4 (d) and (e), of the JIU statute, that is, for a report concerning only one organization, not later than three months after receipt of the report for consideration at the next meeting of the competent organ, and for reports concerning more than one organization, not later than six months after receipt of the Unit's report for consideration at the next meeting of the competent organs concerned.

8. The executive heads, in addition to assuring that their comments on reports are timely, will also assure that their comments are specific in addressing the recommendations of the report and well supported.

9. As called for by the General Assembly in paragraph 4 of its resolution 50/233, the executive heads will take the necessary measures to ensure that the thematic reports of the Unit are listed under the appropriate substantive agenda items of the work programme of the appropriate legislative organs of the participating organizations.



10. The executive heads should assist the appropriate legislative organs in planning their work programmes to assure that sufficient time is allocated for active and serious consideration of JIU reports.

### 3. Legislative organs

11. With the assistance of the executive heads, the legislative organs should plan their work programmes so that sufficient time is allocated to allow for active and serious consideration of the relevant JIU reports.

12. The legislative organs should take concrete action on each recommendation of a JIU report under consideration, as called for in paragraph 8 of General Assembly resolution 50/233, rather than just taking note of the report as a whole. This is a necessary requirement for JIU reports to have impact, in view of article 5, paragraph 5, of the JIU statute, which provides that the Inspectors of the Unit may make recommendations but have no power of decision.

### C. Follow-up procedures

13. Procedures to assure effective follow-up would involve tracking and reporting on (a) steps taken to assure active and serious consideration of the JIU reports after they have been issued by the Unit and (b) measures taken to implement approved/accepted recommendations and determine their impact.

#### 1. Consideration of JIU reports

14. The Unit will establish a systematic process for tracking each step taken towards consideration of a report by the appropriate legislative organs, including measures taken by secretariat officials, in accordance with article 11, paragraph 4, of the JIU statute. This tracking system will be updated to reflect each step as it is taken, and reports in the form of a matrix will be issued quarterly for the information of Member States. This continually updated matrix will also be made available on-line.

15. To the extent that the matrix indicates that the reporting time-frames specified in article 11 of the JIU statute are not being met, reminder notices will be sent, initially to the JIU focal points in the appropriate organizations, and later to the executive heads if the delays are not corrected, with copies sent to the presiding officers of the concerned legislative organs. The sending of such reminder notices will be included in the matrix.

16. The JIU annual report will include consideration of problems experienced in having reports given active and serious consideration by appropriate legislative organs.

#### 2. Implementation of approved/accepted recommendations

17. Once a report is considered by the legislative organs and decisions taken on the report as a whole and on specific recommendations, the executive heads of the concerned organizations will ensure expeditious implementation of approved/accepted recommendations (see para. 19 below) and full reporting on measures taken to the appropriate legislative organs. JIU will monitor actions taken.

18. Recommendations accepted by the executive heads of concerned organizations, even if not acted upon by the appropriate legislative organs, will be subject to follow-up and compliance.

19. At the conclusion of the meetings of the legislative organs, the executive heads of the participating organizations will send to the Unit a list of JIU reports given consideration at those meetings and indicate those recommendations within each report that were approved, including, with explanation, those recommendations the organizations believe have already been implemented.

20. The executive heads of concerned organizations, following a format developed by JIU, will prepare a chart (matrix) for each report given consideration at a meeting of a legislative organ, indicating:

- (a) Recommendation;
- (b) Unit responsible for implementation;



(c) Official in charge of implementation;

(d) Timetable for implementation;

(e) Initial impact of implementation.

21. The completed chart will be sent to JIU and to the bureau of the appropriate legislative organ.

22. Executive heads will submit reports on the implementation of JIU recommendations and their impact to their appropriate legislative organs in accordance with the established meeting schedules of the legislative organs, with copies sent to the JIU sufficiently in advance to allow for comments as the Unit considers appropriate.

23. In accordance with article 12 of the JIU statute, the legislative organs should systematically verify the implementation of approved recommendations and request the Unit to issue follow-up reports as they deem appropriate.

24. JIU will include in its annual report information and analysis on the implementation of JIU recommendations and their impact. This section of the report will note the extent to which established timetables for implementation of recommendations are being maintained. It will also indicate the status of action on specific recommendations, such as no action yet taken, action under way, action completed, or no action intended.

25. The legislative organs will examine these reports and give appropriate guidance to the executive heads concerned and the Unit.





**ANNEX II**







FOLLOW-UP REQUIRED BY JIU (ANNEX I TO THE ANNUAL REPORT OF THE JIU JULY 96 – JUNE 97  
 ENDORSED BY GA RESOLUTION 54/16) AND THE HANDLING OF JIU REPORTS BY WFP  
 (as of 17 February 2000)

Follow-up measures required by the Joint Inspection Unit	Current actions taken by WFP and its Executive Board	Possible changes to WFP's current procedures
<p>Para.6: Upon receipt of reports, the executive heads concerned will distribute them immediately, with or without their comments, to the member States of their organizations, as called for in article 11, paragraph 4 (c), of the JIU statute.</p>	<p>By the Board's recommendation at its Annual Session of 1998, the Bureau reviews JIU reports including WFP's comments. These are then presented to the Board at the Second Regular Session in the form of a summary report on JIU reports for the previous year.</p>	<p>No changes proposed.</p>
<p>Para.7: The executive heads concerned with a report will assure that the report, with their comments, will be submitted to the appropriate legislative organs within the time-frames specified in article 11, paragraphs 4 (d) and (e), of the JIU statute, that is, for a report concerning only one organization, not later than three months after receipt of the report for consideration at the next meeting of the competent organ, and for reports concerning more than one organization, not later than six months after receipt of the Unit's report for consideration at the next meeting of the competent organs concerned.</p>	<p>All JIU reports are made available at the first Bureau meeting early in the year and then at the Annual Session of the Board.</p>	<p>No changes proposed.</p>
<p>Para.8: The executive heads, in addition to assuring that their comments on reports are timely, will also assure that their comments are specific in addressing the recommendations of the report and well supported.</p>	<p>WFP's comments are not always systematically focused on each recommendations of the JIU. Comments cleared by Deputy Executive Director.</p>	<p>WFP comments could in the future address each relevant recommendation.</p>
<p>Para.9: As called for by the General Assembly in paragraph 4 of its resolution 50/233, the executive heads will take the necessary measures to ensure that the thematic reports of the Unit are listed under the appropriate substantive agenda items of the work programme of the appropriate legislative organs of the participating organizations.</p>	<p>Titles of JIU reports are not listed on EB agenda.</p>	<p>If a JIU report is directly relevant to a specific WFP EB agenda item, then the WFP document under that item should make reference to the relevant JIU report and/or recommendations.</p>

FOLLOW-UP REQUIRED BY JIU (ANNEX I TO THE ANNUAL REPORT OF THE JIU JULY 96 – JUNE 97  
 ENDORSED BY GA RESOLUTION 54/16) AND THE HANDLING OF JIU REPORTS BY WFP  
 (as of 17 February 2000)

<b>Follow-up measures required by the Joint Inspection Unit</b>	<b>Current actions taken by WFP and its Executive Board</b>	<b>Possible changes to WFP's current procedures</b>
<p>Para.11: With the assistance of the executive heads, the legislative organs should plan their work programmes so that sufficient time is allocated to allow for active and serious consideration of the relevant JIU reports.</p>	<p>One entire agenda item is devoted to JIU reports at the Second Regular Session each year.</p>	<p>No further action needed.</p>
<p>Para.12: The legislative organs should take concrete action on each recommendation of a JIU report under consideration, as called for in paragraph 8 of General Assembly resolution 50/233, rather than just taking note of the report as a whole. This is a necessary requirement for JIU reports to have impact, in view of article 5, paragraph 5, of the JIU statute, which provides that the Inspectors of the Unit may make recommendations but have no power of decision.</p>	<p>The Board considers the paper prepared by the Secretariat on JIU reports and takes note only.</p>	<p>We would suggest that in the case of reports deemed relevant to WFP, the Board take concrete action on each JIU recommendation by:</p> <ul style="list-style-type: none"> <li>i) endorsing</li> <li>ii) endorsing with modification</li> <li>iii) rejecting stating the reasons</li> </ul>
<p>Para.17. Once a report is considered by the legislative organs and decisions taken on the report as a whole and on specific recommendations, the executive heads of the concerned organizations will ensure expeditious implementation of approved/accepted recommendations (see para. 19 below) and full reporting on measures taken to the appropriate legislative organs. JIU will monitor actions taken.</p>	<p>The Board takes notes of the recommendations.</p>	<p>Concerned with the need to reduce documentation going to the Board, reporting back to the Board on WFP follow-up to JIU recommendations would be limited to appropriate references in other reports already going to the Board as well as a short matrix attached to the Annual Report to the Board on the JIU. The matrix used provides information on follow-up actions taken over the previous year. No additional or separate report would be put forward to the Board.</p>

FOLLOW-UP REQUIRED BY JIU (ANNEX I TO THE ANNUAL REPORT OF THE JIU JULY 96 – JUNE 97  
 ENDORSED BY GA RESOLUTION 54/16) AND THE HANDLING OF JIU REPORTS BY WFP  
 (as of 17 February 2000)

Follow-up measures required by the Joint Inspection Unit	Current actions taken by WFP and its Executive Board	Possible changes to WFP's current procedures
<p>Para.19. At the conclusion of the meetings of the legislative organs, the executive heads of the participating organizations will send to the Unit a list of JIU reports given consideration at those meetings and indicate those recommendations within each report that were approved, including, with explanation, those recommendations the organizations believe have already been implemented.</p>	<p>WFP provides to the JIU copies of decisions and recommendations and a summary of discussion of the agenda item dealing with the JIU.</p>	<p>WFP will continue to send to the JIU all of the pertinent documentation arising from the Board's discussion of JIU report.</p>
<p>Para.20. The executive heads of concerned organizations, following a format developed by JIU, will prepare a chart (matrix) for each report given consideration at a meeting of a legislative organ, indicating:</p> <ul style="list-style-type: none"> <li>(a) Recommendation;</li> <li>(b) Unit responsible for implementation;</li> <li>(c) Official in charge of implementation;</li> <li>(d) Timetable for implementation;</li> <li>(e) Initial impact of implementation.</li> </ul>	<p>No formal tracking system in place.</p>	<p>Follow-up would be limited to:</p> <ul style="list-style-type: none"> <li>i) attaching to the yearly Report to the Board a short table advising of the status of / actions taken with regard to previous year reports</li> <li>ii) sharing with JIU Board reports where JIU reports and recommendations are referred to.</li> </ul>
<p>Para.21. The completed chart will be sent to JIU and to the bureau of the appropriate legislative organ.</p>	<p>No chart prepared.</p>	<p>Follow-up Matrix will be attached to Annual Report.</p>
<p>Para.22. Executive heads will submit reports on the implementation of JIU recommendations and their impact to their appropriate legislative organs in accordance with the established meeting schedules of the legislative organs, with copies sent to the JIU sufficiently in advance to allow for comments as the Unit considers appropriate.</p>	<p>Currently, there is no systematic follow-up on implementation of recommendations.</p>	<p>Due to capacity constraints, actions limited to those proposed above.</p>
<p>Para.23. In accordance with article 12 of the JIU statute, the legislative organs should systematically verify the implementation of approved recommendations and request the Unit to issue follow-up reports as they deem appropriate.</p>	<p>Currently, there is no systematic follow-up on implementation of recommendations.</p>	<p>Board will do this through the new annex to be attached to Annual Report.</p>
<p>Para.25. The legislative organs will examine these reports and give appropriate guidance to the executive heads concerned and the Unit.</p>	<p>Currently, there is no systematic examination of follow-up to JIU recommendations.</p>	<p>Board will now examine the annex giving follow-up actions, and give guidance, if appropriate.</p>