

# Independent Oversight

**EB Induction Session**  
**27<sup>th</sup> September 2017**

**Andrea Cook**, Director, Office of Evaluation  
**Patricia Harvey**, Inspector General, Inspector  
General and Oversight Office



**World Food Programme**

# Overview of presentation

## Areas of discussion

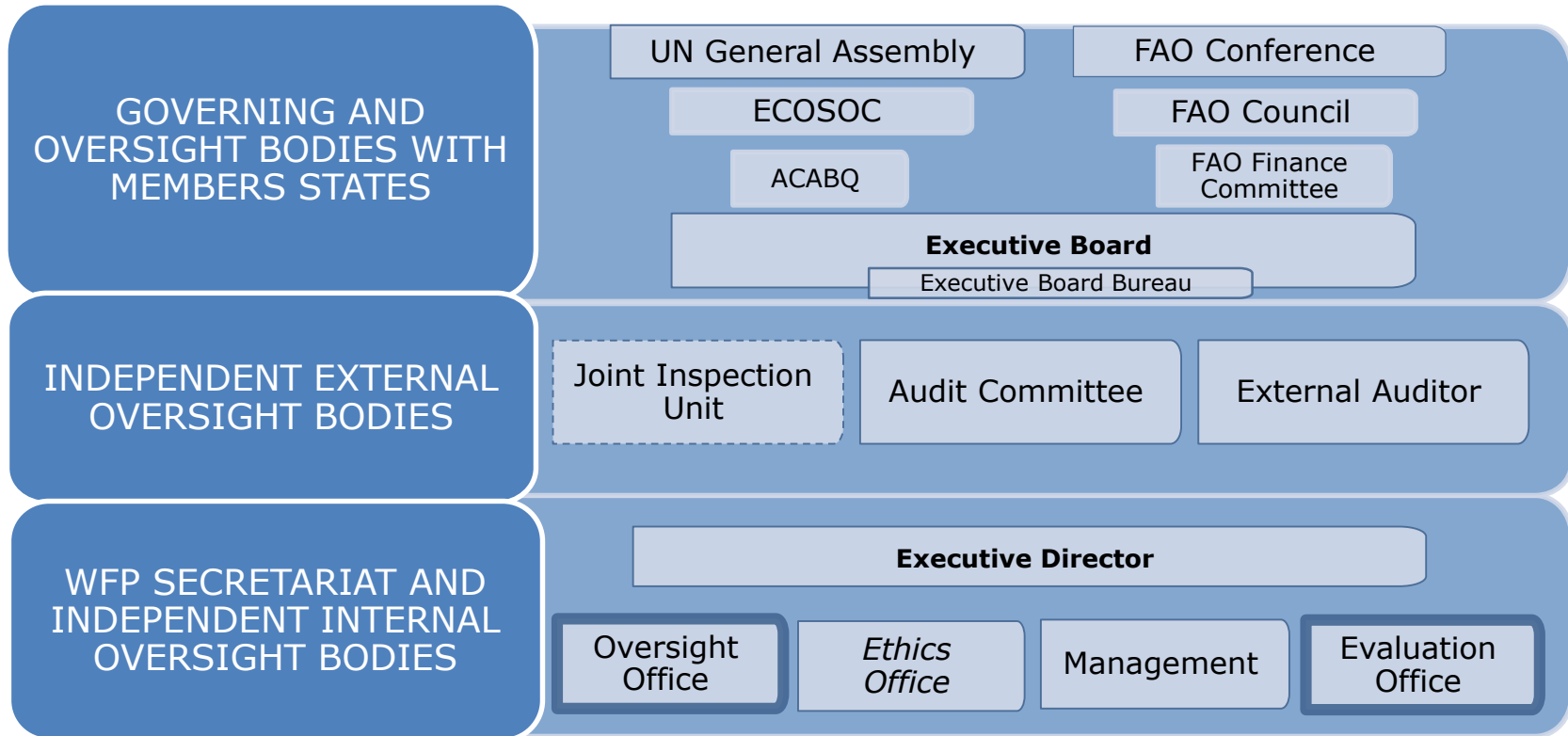
Oversight framework

Evaluation Office

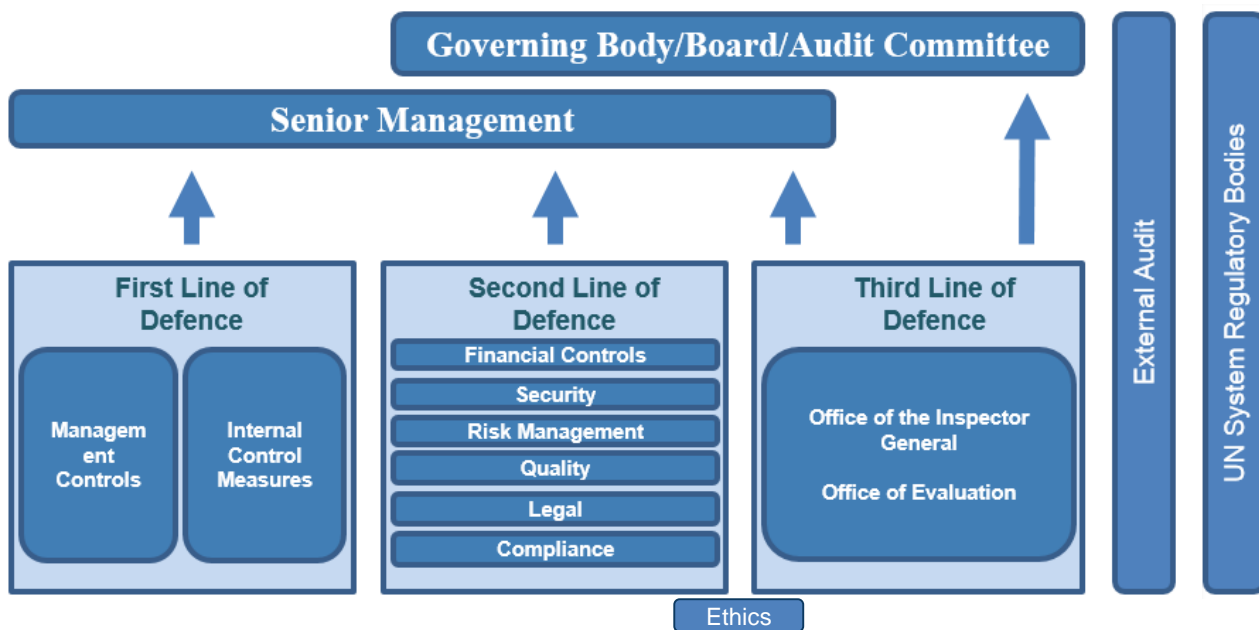
Office of the Inspector General

# Oversight Framework

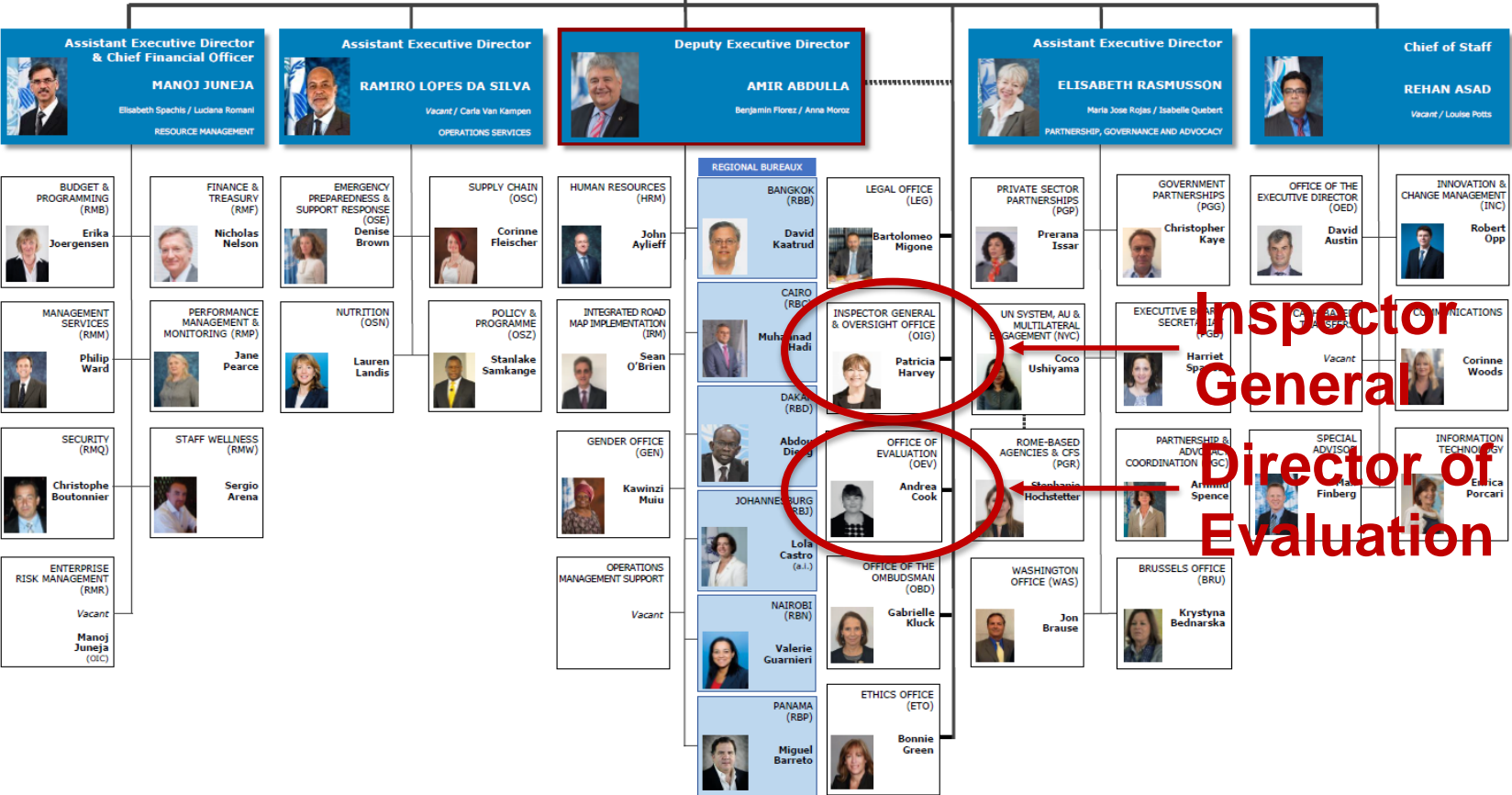
# 2011 Oversight Framework & Reports Disclosure Policy



# WFP's Three Lines of Defence model



Adapted from: 'Leveraging COSO Across the Three Lines of Defence', Institute of Internal Auditors, July 2015



**Inspector General**

**Director of Evaluation**

# Office of Evaluation

# WFP evaluation function: Vision

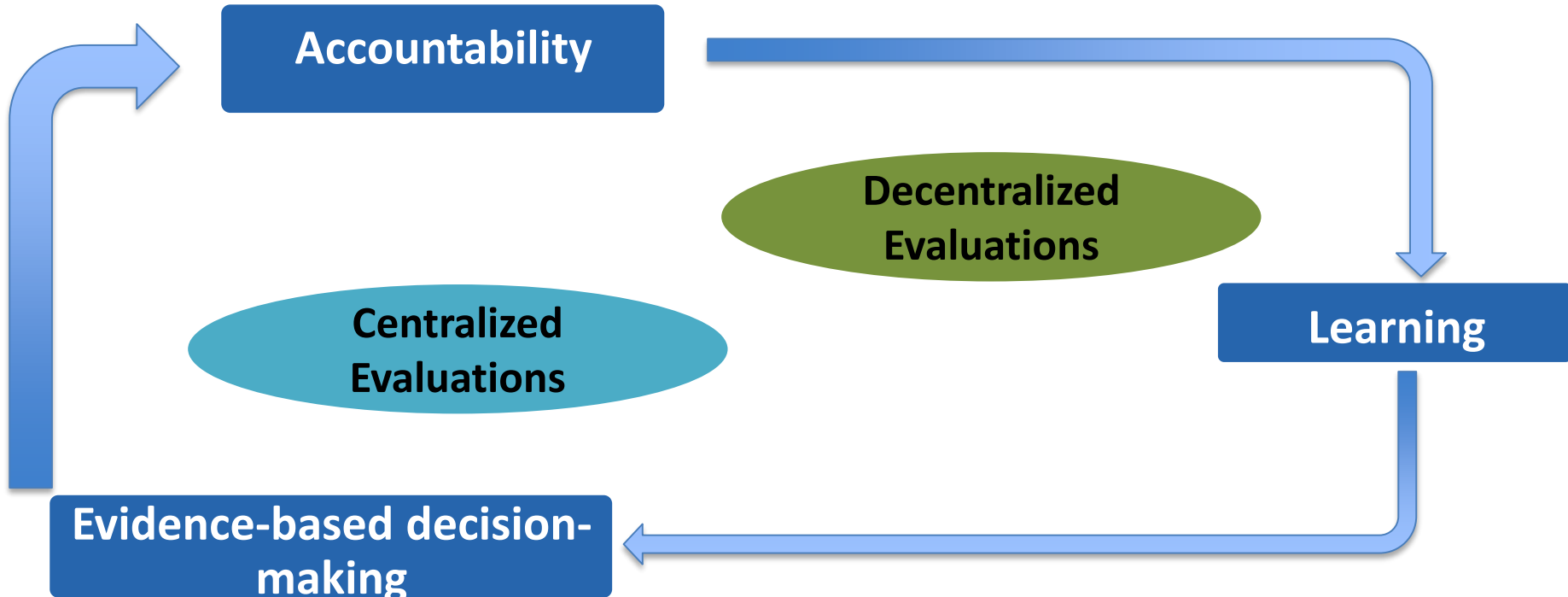




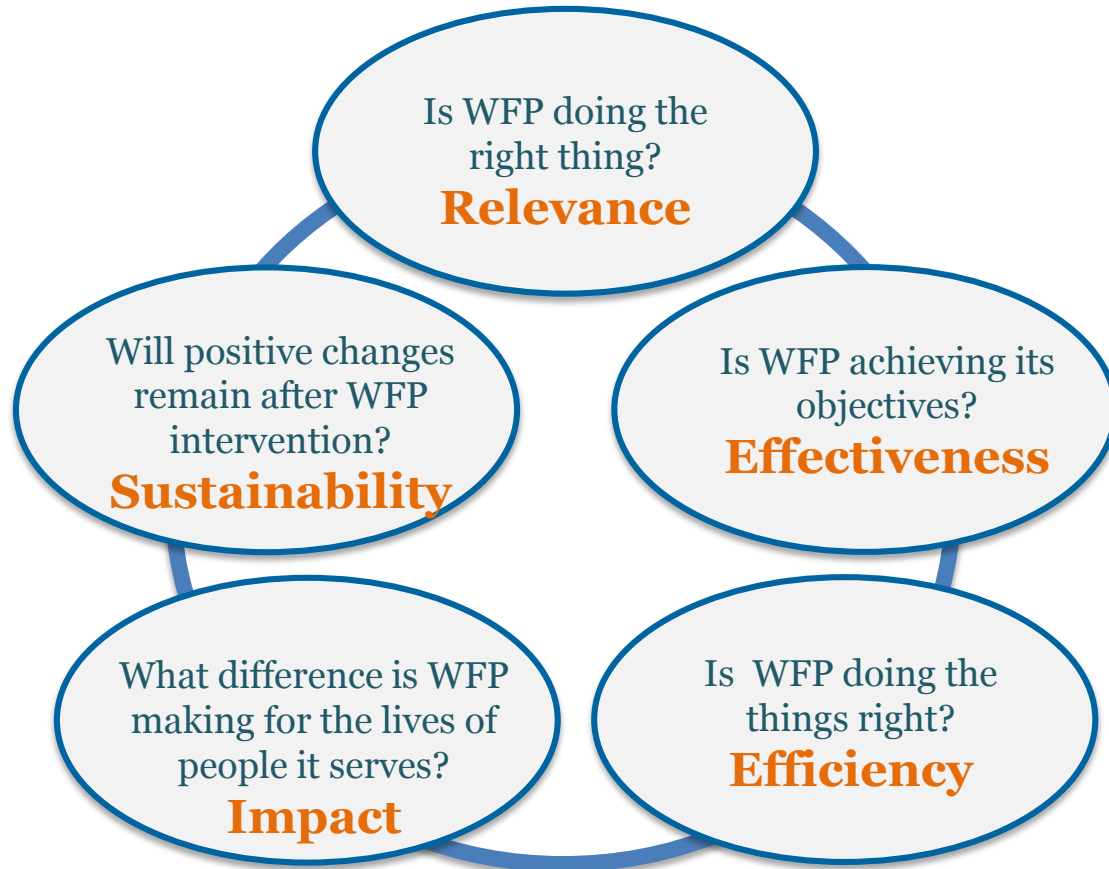
# What is evaluation in WFP?

The **systematic & impartial, periodic assessment** of the performance of WFP's activities, operations, strategies and policies.

*(UN Evaluation Group/WFP 2016-2021 Evaluation Policy)*



# Evaluation Questions & Criteria



**... and 3 extra criteria for humanitarian evaluations:**

- **Coverage**
- **Connectedness**
- **Coherence**

# WFP's Evaluation Function framing documents

## Policy 2016-2021

Vision & strategic direction for WFP's evaluation function Centralized (CE) and Decentralized (DE)

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Coverage norms for CE and DE established

**Strategy**  
Work-streams for  
phased implementation



**Charter**  
Governance  
framework &  
institutional  
arrangements

# WFP evaluation function: alignment with the Integrated Road Map



1. Country Portfolio Evaluations
2. Decentralized Evaluations
3. Improved performance
4. Lessons learning

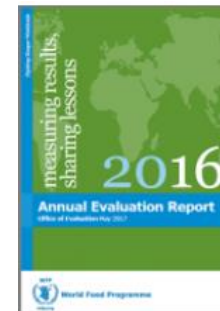


# Evaluation coverage, planning and reporting

Evaluation Policy 2016-2021  
Corporate Evaluation Strategy  
Annual Consultation on Evaluation with EB



OEV WorkPlan



Annual Evaluation Report

Planning

Implementing

Reporting

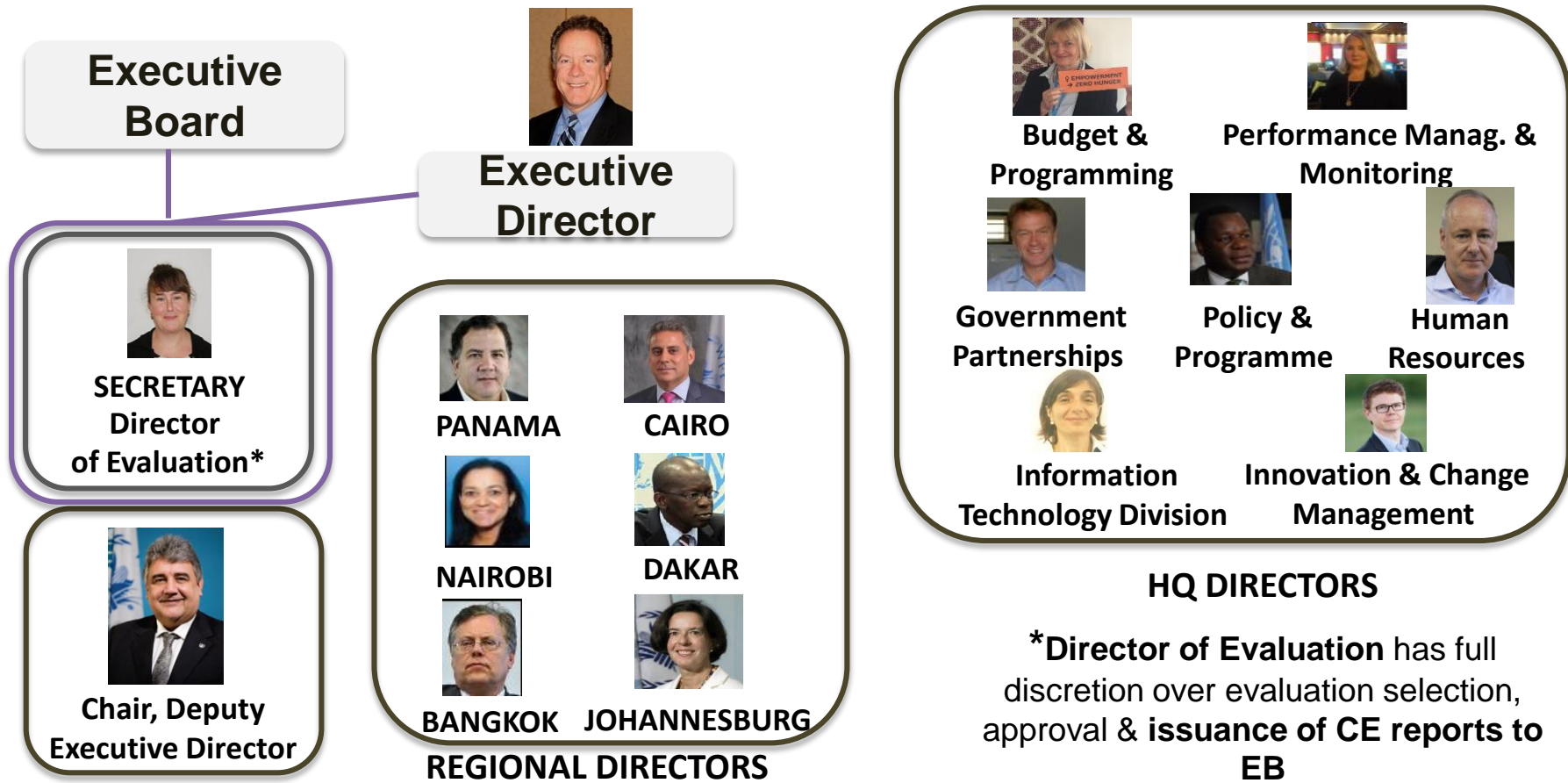
WFP Management Plan



Evaluation Reports

<http://www.wfp.org/evaluation/list>

# WFP Evaluation function oversight: Evaluation Function Governance



\***Director of Evaluation** has full discretion over evaluation selection, approval & **issuance of CE reports to EB**

# Executive Board Role in evaluation

## Oversight

- Exercise oversight of evaluation function
- Guide management in policy implementation
- Consider AER & all centralized evaluation reports
- Consider mgt. responses & follow-up action reports

## Normative Framework

- Approve evaluation policy and safeguard provisions
- Approve appointment, made by the ED, of Director of Evaluation
- Provide strategic guidance through Annual Consultation on Evaluation
- Foster evaluation culture as members of WFP Governing Body

## Resourcing

- Approve OEV's budget
- Review trends in human & financial resources dedicated to evaluation

## Planning

- Review OEV's work plan & priorities within WFP's Management Plan

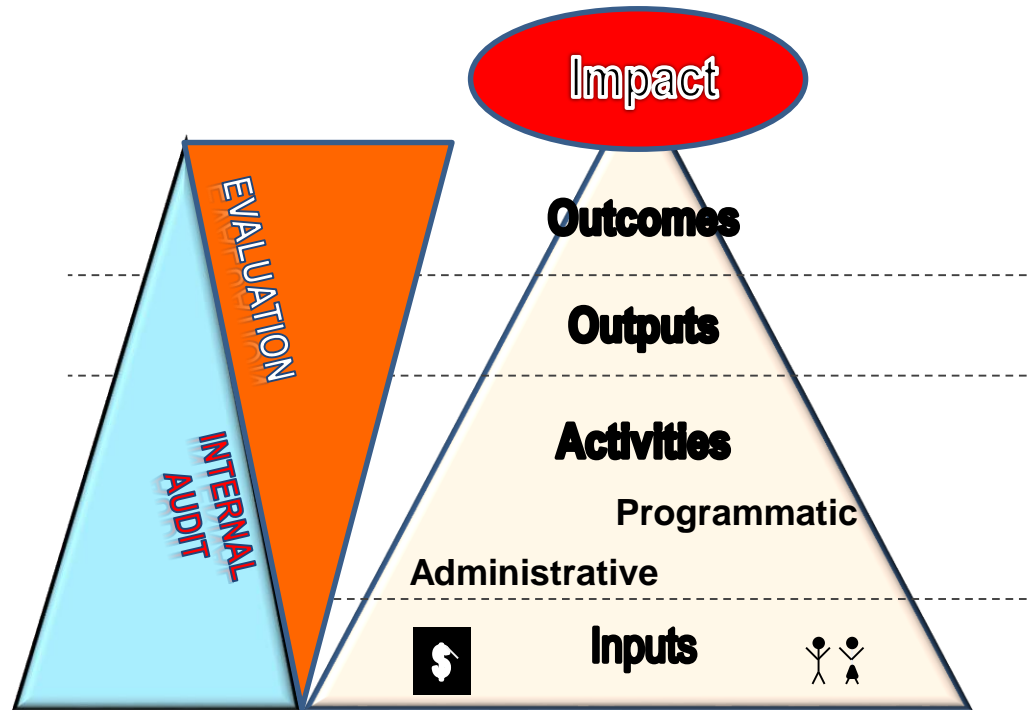
## Use

- Consider use of evaluation evidence when approving new policies, strategies, programmes, Management Plans, etc.
- Use evidence generated by evaluations in its decision-making

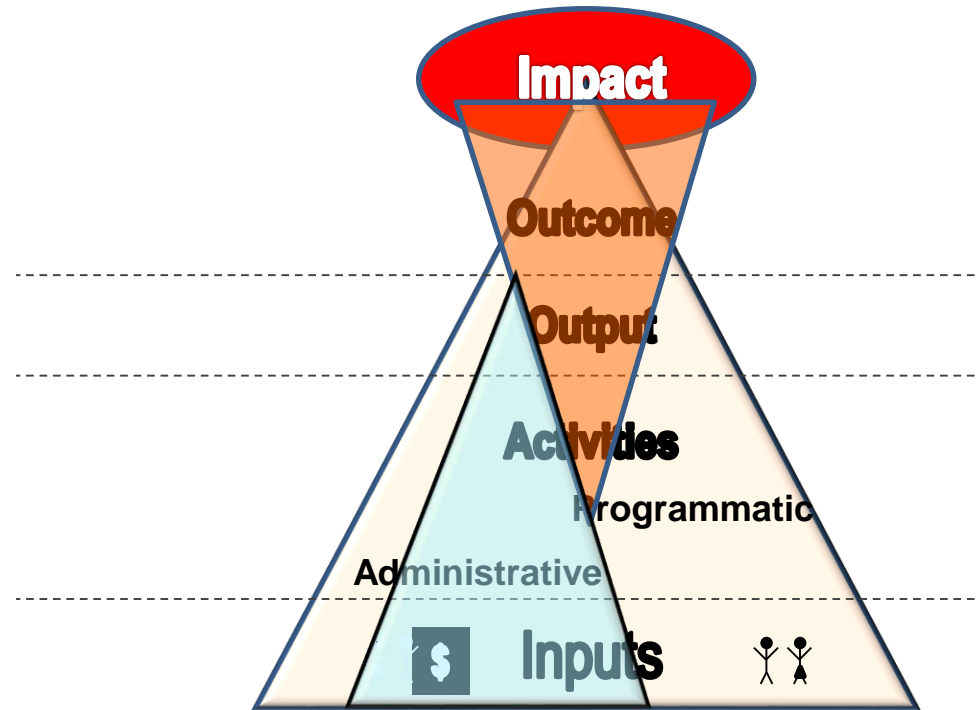
# Evaluation and Internal Audit – complementary yet different fiduciary oversight functions



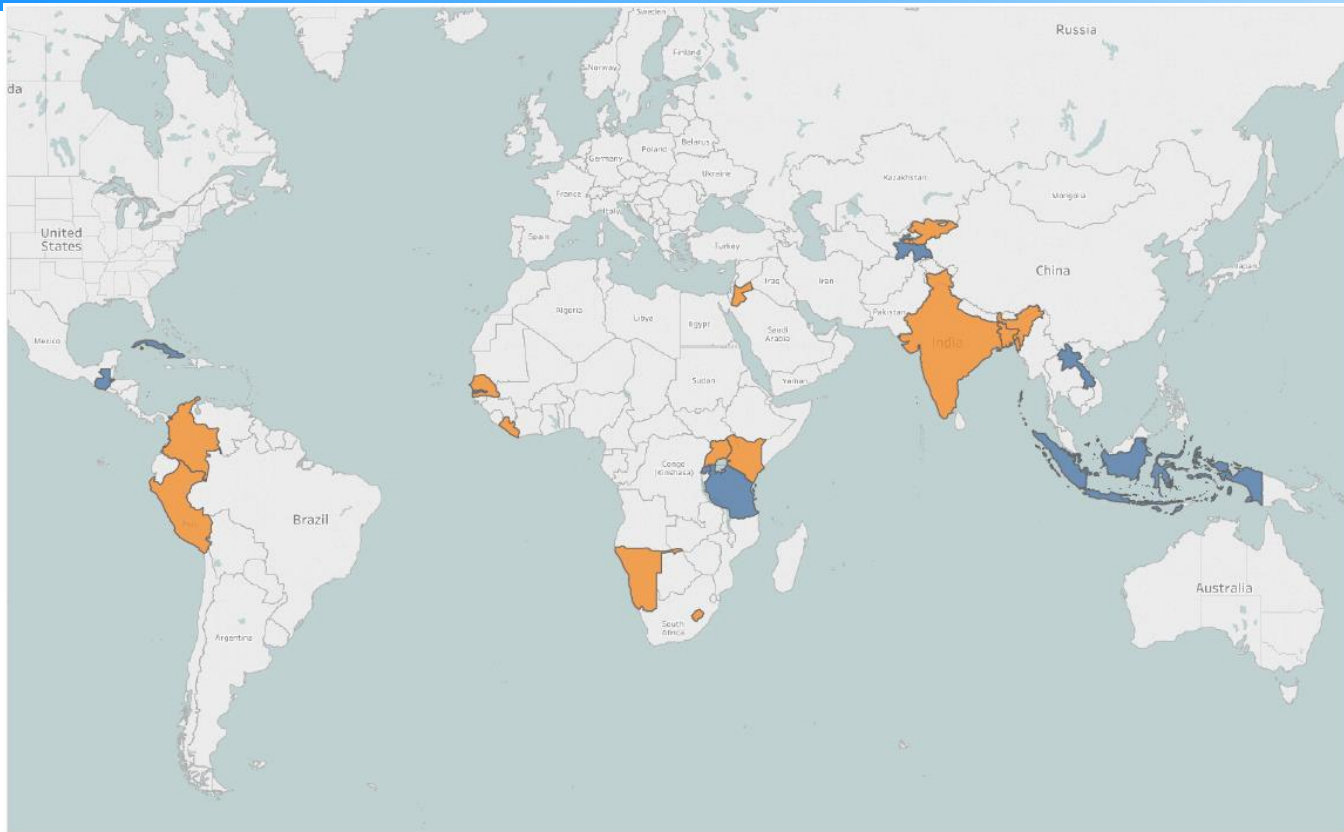
# Evaluation and Internal Audit



# Evaluation and Internal Audit



# Planning coordination: sharing good practices



Internal Audit of WFP's Country Capacity Strengthening  
Office of the Inspector General  
Internal Audit Report AR/16/14



measuring results, sharing lessons

## POLICY EVALUATION

WFP Policy on Capacity Development:  
An Update on Implementation (2009)  
Evaluation Report

August 2017  
Prepared by Chemonics Management Group, Hiram Shihab Adnan (Team Leader),  
Shahar Khan, John VanDer, Cole Thompson, Kate Smith, Anne Wiedeman  
Commissioned by the  
WFP Office of Evaluation  
Report number: OER/2017/08



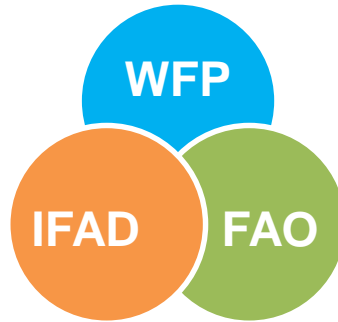
AUDIT

EVALUATION

# Office of Evaluation and Audit engagement in the international system



**UN-RIAS**  
**UNRIS**



**Rome-based agencies**



**UNEG**  
United Nations Evaluation Group



**Inter-Agency Humanitarian Evaluations (IAHE) Steering Group**

# Office of the Inspector General

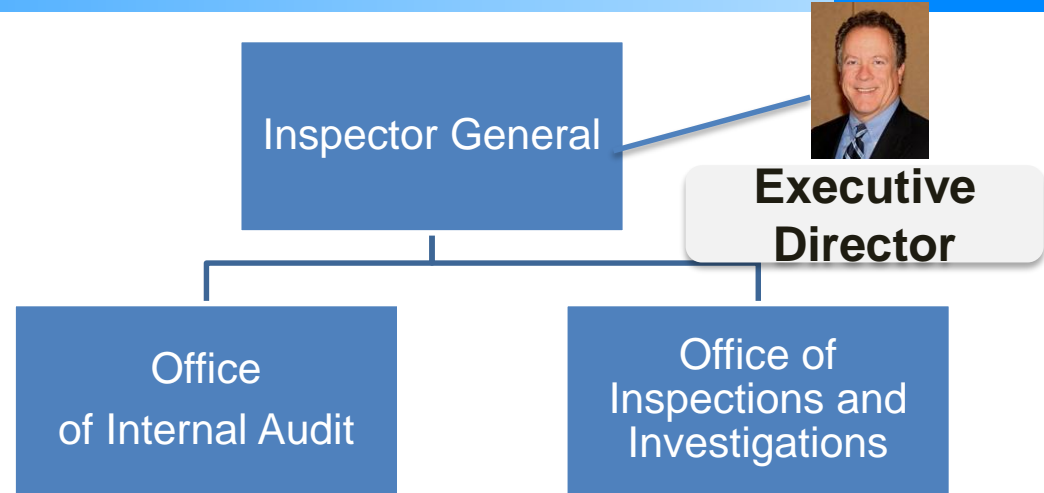


# Office of the Inspector General



## Charter of the Office of the Inspector General :

- Provide assurance to the Executive Director;
- Conduct objective and independent oversight activities to protect the integrity and improve the efficiency and effectiveness of WFP's programmes and operations;
- Detect and deter fraud, waste and abuse; and
- Facilitate WFP's adoption and implementation of best UN and private sector practices



- Full, free and unrestricted access to any and all WFP records, physical properties and personnel;
- Access to vendors, cooperating partners and other third parties in a contractual agreement

The Annual report of the Inspector General includes a Statement of Independence.

# Internal audit – Matrix of areas and types

AREAS / AUDIT TYPES	COMPLIANCE	PERFORMANCE / VALUE FOR MONEY	FINANCIAL	INFORMATION/ REPORTING	IT CONTROLS	ADVISORY SERVICES
▪ Field/HQ entities						
▪ Thematic areas						
▪ Processes						
▪ Projects						
▪ IT systems and apps						





# Internal audit – Key audit steps



Approved workplan



# Office of Inspections and Investigations -3 Main missions: Investigations, PIRs and Inspections




*OIGI has responsibility to conduct any and all investigations into allegations of misconduct including alleged fraud and corruption against the Organisation and its programmes as well as other violations of the Staff Rules and Regulations, policies, procedures, and other administrative issuance.*

## **Scope of investigation covers:**

- **Internal investigations:** all types of staff misconduct (fraud, corruption, SEA, HSHAP, violation of UN and WFP rules...)
- **External investigations:** Wrongdoing by vendors, cooperating partners, contractors, particularly on fraud and corruption


**Investigations can result into referral to national authorities for prosecution.**



**Investigations:** determine whether specific allegations can be substantiated.



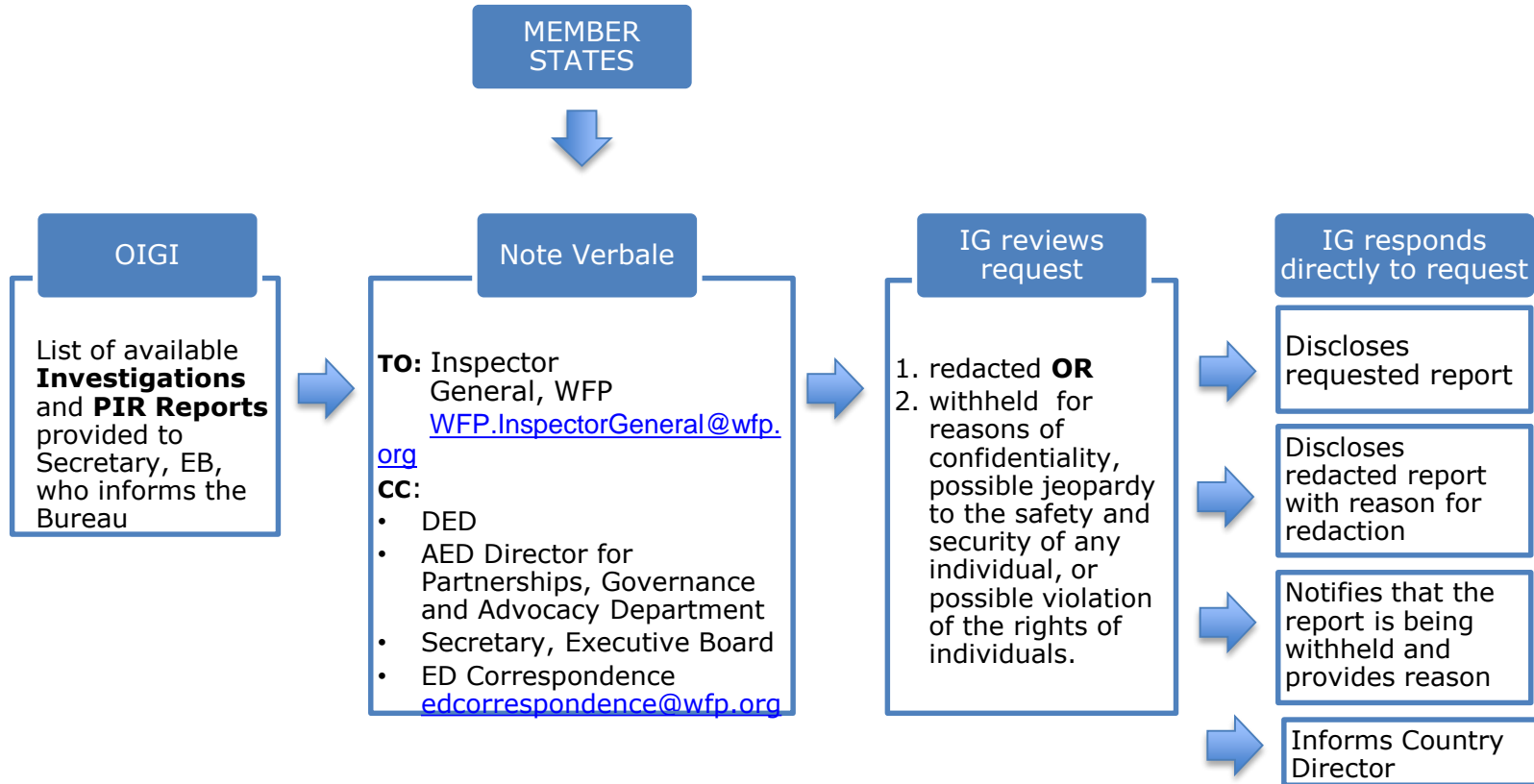
**Proactive Integrity Reviews (PIRs):** detect potential fraudulent, corrupt and collusive practices in WFP business processes or operations, including WFP financed programmes.



**Inspections:** provide objective information to management about field offices, units in Headquarters and processes with no predetermined focus on fraud risk.

# Disclosure process

## Investigation and PIR Reports



**World Food Programme**



**World Food Programme**