



# **ORGANISATION FOR THE PROHIBITION OF CHEMICAL WEAPONS**

27 January 2012

## **ADMINISTRATIVE DIRECTIVE**

**AD/ADM/32**

---

### **SUBJECT: OPCW EVALUATION POLICY**

#### **Purpose**

1. This directive establishes the OPCW evaluation policy for setting up an efficient and comprehensive evaluation system aligned with international policies, standards and practices for the assessment of the economy, efficiency, effectiveness and impact of OPCW's policies, programmes and activities.
2. This evaluation policy has been developed taking into consideration the OPCW Financial Regulations and Rules, and the Administrative Directives issued thereunder and the norms and standards for evaluation in the United Nations System, developed and issued by the United Nations Evaluation Group (UNEG).

#### **Mandate of evaluation**

3. Evaluation is a part of the internal oversight mechanism in the OPCW which is managed by the Office of Internal Oversight (OIO). According to OPCW Financial Regulation 12.1, the internal oversight mechanism "will assist the Director-General in the management of the OPCW's resources through internal audit, inspection, evaluation, investigation and monitoring in order to enhance the efficiency, and economy of the operations of the OPCW". Financial Rule 12.2.01 recognises that "inspection, evaluation and monitoring are procedures to review the efficiency and effectiveness of the implementation of programmes and mandates of the OPCW and to allow for corrective action, if needed". It further states that "evaluation may also cover individual staff performance in instances where such performance has a major impact on the efficiency and effectiveness of a programme."
4. In accordance with Financial Regulation 12.3 and Financial Rule 12.3.01, the internal oversight mechanism shall have operational independence. The Director of OIO is responsible for ensuring that the evaluation activity is conducted objectively, independently and impartially, to manage the resources allocated to this activity, to supervise the conduct of the evaluation activity, to approve and issue reports on individual evaluation assignments and to prepare a summary report on internal oversight activities for each calendar year.

## Definition and objectives of evaluation

5. An evaluation is an assessment, as systematic and impartial as possible, of an activity, project, programme, strategy, policy, topic, theme, sector, operational area, institutional performance, etc. It focuses on expected and achieved accomplishments, examining the results chain, processes, contextual factors and causality, in order to understand achievements or the lack thereof. It aims at determining the relevance, impact, effectiveness, efficiency and sustainability of the interventions and contributions of the Organisation. Evaluation determines whether performance information is reliable, accurate, and adequate measures have been taken to prevent waste, abuse and mismanagement of resources. It should provide evidence-based information that is credible, reliable and useful, enabling the timely incorporation of findings, recommendations and lessons learned into the decision-making processes of the Organisation.
6. Results-Based Management (RBM) and evaluation are mutually supportive elements in improving organisation's systems and processes. A structured and systematic performance monitoring system<sup>⊗</sup> including key performance indicators shall allow an assessment and systematic reporting of progress towards achieving objectives and support meeting the objectives of RBM. In an RBM environment, evaluation shall provide the assessments on the efficient and effective use of resources for the achievement of organisation's objectives.
7. Evaluation supports in making accountability more visible and improving performance. It encourages organisational learning and innovation and contributes to build knowledge by drawing general lessons from specific cases and making those lessons available within the Organisation.
8. OIO conducts evaluations with the aim of achieving one or more of the following objectives:
  - (a) To assess economy and efficiency in the management of resources;
  - (b) To determine whether: the objective(s) of a policy, programme or an activity was (were) achieved; accountability requirements were met; policies, programmes and operations were of continued relevance and supporting to achieving the Organisation's objectives; and the lessons learned were translated into action to improve management.
  - (c) To assess the impact of a policy, programme or an activity.

## Principles of evaluation

9. The staff member of OIO or any other unit assigned to conduct self-evaluation (hereafter referred to as "the evaluator") shall respect the specific nature and requirements of a particular system or process related to the topic selected for evaluation and maintain the confidentiality and sensitivity of data and documents received in accordance with the OPCW Confidentiality Policy and the administrative directives issued thereunder and any other relevant documents. He/she shall also

---

<sup>⊗</sup> Performance monitoring system implies periodical review of performance to determine whether progress has been made towards meeting policy or programme objectives or lack thereof. It is an early warning system to prevent misuse, loss or waste of resources and initiate corrective actions in time.

ensure that those involved in the management of the policy, programme or activity are given an opportunity to know and comment on the findings, observations and potential recommendations of the evaluation.

10. In case an evaluation reveals reasonable grounds to suspect wrongdoing (fraudulent and corrupt practice or intentional negligence), the evaluator shall inform the Director of OIO without delay for further action. If the Director of OIO establishes that the suspicion is well founded, he/she shall inform the Director-General. Considering the case referred, the Director-General may, as appropriate, decide to initiate investigations in accordance with relevant administrative issuances including the Administrative Directive on Uniform Guidelines on Investigations (AD/ADM/26).
11. Consultation with the manager responsible for the management of the policy, programme or activity under evaluation shall take place at all stages of evaluation as a support in building the credibility and quality of evaluation, to ensure acceptance and ownership of the findings, conclusions and recommendations of the evaluation.
12. The evaluator shall observe objectivity, independence and impartiality in the whole cycle of evaluation to minimize the potential for conflict of interest. Objectivity implies establishing suitable and achievable objectives of evaluation. Independence means that the evaluator shall be free from influences that would bias the plan, conduct, findings, conclusions or recommendations of an evaluation. Impartiality implies follow of due process, methodological rigour, consideration and presentation of achievements and challenges. It also means that the views of stakeholders are taken into account.
13. The evaluator shall not have been directly responsible for the policy-setting, design or overall management of the subject of evaluation (nor expect to be so in the near future). The evaluator shall inform the Director of OIO in case of any conflict of interest.

### **Management of evaluation**

14. An efficient and effective evaluation implies that it encourages the use of evaluation findings, conclusions, and recommendations of the evaluation and the lessons learned. This requires that evaluation topics are selected carefully taking into consideration all programmes, projects and themes to address the main issues that are relevant and support the management in improving performance and in enhancing accountability. Evaluation shall be conducted in a logical manner. Its main processes include planning, implementation (review, collection of evidence and analysis), reporting and follow-up.
15. OIO shall invite senior officials to suggest/propose policy, programme, activity or thematic issues for evaluation. OIO shall consider the suggestions received while finalising its annual work programme (AWP). OIO shall ensure that the evaluation topics are selected following a risk-based approach which will assess various risks from the perspective of their likelihood and impact. The topics covered by evaluation shall be included in the AWP and approved by the Director-General. An evaluation topic may be a specific policy, programme, activity or a cross-organisational theme relevant to several units of the Technical Secretariat.

16. The Director, OIO shall review and approve the objectives and scope of each assignment and the methodologies to be applied to achieve evaluation objectives in the most cost-effective manner and also ensure that adequate supervision is carried out during the conduct of evaluation. Evaluation assignments shall be conducted by the evaluator with requisite competence and experience in evaluation under the authority of the Director of OIO taking into consideration the Norms for Evaluation in the United Nations System, Standards for Evaluation in the United Nations System and the Charter of the Office of Internal Oversight (OIO Charter).
17. OPCW line managers (division and office directors and/or branch heads) shall support evaluations by ensuring that all necessary information is provided in a timely manner, and staff members under their supervision cooperate fully during the conduct of evaluations. They shall be responsible for ensuring that management responses to evaluations are prepared and that recommendations and lessons learned are followed up in their respective areas of responsibility.

### **Reporting the evaluation findings**

18. Evaluation reports shall be prepared and issued in two stages i.e., draft and final. Draft reports are issued to the concerned programme managers for comments. Final reports are prepared taking into consideration the comments received on draft reports and are addressed to the Director-General.
19. Evaluation reports shall present logically and in a complete, concise, clear and objective manner the overall assessment, findings, observations and recommendations of the evaluation. Reports shall explain the methodology followed and highlight the methodological limitations of the evaluation, key concerns and evidence-based findings and dissenting views, if any. The recommendations and lessons learned shall be presented in a clear and concise manner that corresponds to the needs of the different target groups and stakeholders of the Organisation. Evaluation reports may provide recommendations to the OPCW managers at different levels considering the responsibility to implement them.
20. The evaluator shall conduct necessary meetings with the concerned officers of the TS to inform them about overall assessment, findings, observations, and potential recommendations of the evaluation. The views expressed and information provided should be reviewed and analysed before incorporating them in the final evaluation reports. The evaluator shall be responsible for ensuring the reliability and quality of the information contained in the report and to reflect any factual corrections brought to his/her attention prior to finalising the report. The evaluation reports shall be the output of OIO.
21. The annual report on the internal oversight activities to be prepared by OIO in accordance with Financial Regulation 12.5, shall contain a summary of final evaluation reports as other oversight activities (internal audits, confidentiality audits and quality management system) and the implementation status of recommendations. This report shall be submitted through the Executive Council (EC) to the Conference of the States Parties (CSP) by the Director-General with such comments as the Director-General and the EC may deem appropriate.

### **Follow-up of evaluation**

22. Once the Director-General has taken a final decision on a recommendation contained in an evaluation report, the Director-General shall ensure that the relevant division or office director acts in an appropriate manner on this recommendation. Accepted recommendations shall be implemented without delay by the responsible division or office director and compliance with them shall be evaluated by OIO in a quarterly follow-up report presented to the Management Board as well as in its summary report referred to in paragraph 4 above.
23. Division or office directors shall ensure that those responsible for follow-up action keep information in the management response sheet provided by the OIO up-to-date. OIO shall review the information in the management response sheets and compile periodic reports on the implementation status of the follow-up activities.

### **Use of evaluation findings**

24. The evaluation findings shall be used to improve the services of the Technical Secretariat and to make informed decisions. Depending upon the subject matter covered by evaluation, the findings, observations and recommendations of evaluation shall be used for one or more purposes that include: to make policies and programmes relevant to the changed needs and developments; to improve management systems and procedures; to introduce a new system; to widen the coverage of performance report and make it user-friendly; to strengthen accountability and transparency and to improve the allocation of resources.

### **Self-evaluation**

25. Self-evaluations are periodic progress reviews of policies, programmes and activities carried out by those responsible for implementation. Programme managers are advised to conduct self-evaluations of policies, programmes and activities under their areas of responsibility in addition to the evaluation performed by OIO.
26. Self-evaluations follow the same principles and approaches as the evaluations conducted by OIO. These self-evaluations shall not limit the work programme of OIO for evaluation; they are conducted with the purpose of facilitating timely corrective actions by line managers and are building upon monitoring and reporting system established in the Technical Secretariat.

### **Quality assurance**

27. OIO shall maintain sufficient reference of all evaluation assignments within its internal quality assurance system. Such system shall identify processes and products of key importance to the quality of its work and define the rules for evaluation reports.
28. OIO shall enhance the competence of its staff members by fostering the exchange of experiences and identifying good evaluation practices at the international level including through active participation in UNEG. OIO shall act as the focal point of evaluation know-how in the Technical Secretariat.

**Implementation of the OPCW evaluation policy**

29. The OIO shall develop and update tools, guidelines and methodologies for evaluation as required to support effective implementation of this policy.

**Effective date**

30. This administrative directive was approved on 27 January 2012 and is effective as of 1 February 2012.

[Signed]  
Ahmet Üzümcü  
Director-General

- - - 0 - - -