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JIU Reviews 2013-2016 Status of Implementation of Recommendations

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1. Introduction

1. This document provides details of the progress made in implementing the recommendations to executive heads of United Nations system organizations of reviews of the Joint Inspection Unit of the United Nations System (JIU) issued during the period January 2013 to September 2016 that are of direct relevance to the Organization and call for specific action at this stage.

1.1. The Secretariat has specific responsibilities with regard to tracking the actions taken on the JIU recommendations addressed to the executive heads and the legislative/governing bodies.

1.2. The Secretariat uses the web-based tracking system of the JIU to track the implementation of recommendations from the reviews, which is updated every six months. This template includes the recommendations copied verbatim from each JIU review report and details of the action taken and the status of implementation as extracted from the web-based tracking system in April 2017.

2. Update on progress in the implementation of recommendations from recent JIU reviews issued during the period January 2015 to September 2016 that are of relevance to WHO¹

2.1 Fraud prevention, detection and response in United Nations system organizations (document JIU/REP/2016/4)²

This report addresses concerns that have been voiced by Member States and oversight bodies alike regarding the status of anti-fraud efforts in the United Nations system. It examines fraud prevention, detection and response in the United Nations system at the conceptual and operational levels, and advocates the adoption of a fraud management framework that seeks to provide guidance on ways of dealing with fraud. The report builds on the significant work done by the oversight bodies of the United Nations system in recent years, particularly by the Board of Auditors (BOA), the Independent Audit Advisory Committee (IAAC), the Office of Internal Oversight Services (OIOS) of the United Nations, and other internal and external audit bodies. JIU reports on the United Nations system also dealt in part with certain aspects of fraud, most notably the reports on the resource mobilization function (JIU/REP/2014/1), the management of implementing partners (JIU/REP/2013/4), the investigations function (JIU/REP/2011/7 and JIU/REP/2000/9), and the accountability framework (JIU/REP/2011/5).

The approach and intensity of managing the risk of fraud differ from one organization to another. Also, the nature of fraudulent activities varies widely and the levels of fraud committed by staff members and/or by external parties differ considerably among organizations. As such, the report does not advocate a “one-size fits-all” approach to tackling fraud in the United Nations system; rather, it stresses the need to adapt the proposed fraud management framework to the requirements and specificities of each organization. While the report does not examine in detail cases of actual fraud, it looks at the subject of fraud holistically and provides information on the approaches taken by organizations to address fraud. Special attention was paid to most fraud-prone activities and high risk environments. This includes fraud related to procurement, contract management, staff recruitment, entitlements, project management, and the selection and management of third parties such as implementing partners. Thus, the report identifies areas of common challenges and makes recommendations based on leading practices in the public and private sectors and the experiences of the multilateral organizations reviewed.

In addition to addressing fraud practices across the United Nations system, the report is designed to be used as a reference for organizations to draw on information that best suits their needs and provide a roadmap for moving in the desired direction. The report contains 16 formal recommendations, one of which is addressed to the legislative and governing bodies of the United Nations system organizations and 15 to their

¹ As reported to the Programme, Budget and Administration Committee of the Executive Board in May 2017 (document EBPBAC26/4).

² https://www.unjiu.org/en/reports-notes/JIU%20Products/JIU_REP_2016_4_English.pdf

executive heads. In addition, it contains 20 informal or “soft” recommendations, in the form of suggestions to improve policies and practices in dealing with fraud. However, 14 recommendations are directly relevant to WHO, as recommendation 1 is addressed to the Secretary-General.

| Recommendation | Acceptance | Implementation status | Remarks |
|--|------------|-----------------------|--|
| Recommendation 2 The executive heads of the United Nations system organizations, if they have not already done so, shall develop a corporate anti-fraud policy for their respective organizations or update an existing one, taking into account leading practices in the public and private sectors. The policy should be presented to the legislative and governing bodies for information, adoption and/or endorsement and should be reviewed and updated regularly. | Accepted | Implemented | WHO Fraud Prevention Policy & Fraud Awareness Guidelines policy and guidelines (effective April 2005), a stand-alone corporate anti-fraud policy, as well as myriad other anti-fraud related policies. WHO’s policy defines fraud as “misappropriation, irregularities and illegal acts characterized by deceit, concealment or violation of trust” and provides concrete examples of such behaviours or actions. Primary focal point: Joint Inspections Unit |
| Recommendation 3 The executive heads of the United Nations system organizations should take expeditious action to designate an overall corporate manager or entity at senior level to be the custodian of the anti-fraud policy and be responsible for the implementation, monitoring and periodic review of the policy. | Accepted | Implemented | WHO Fraud Prevention Policy & Fraud Awareness Guidelines policy and guidelines (effective April 2005) states that the Director-General has overall responsibility for the prevention and detection of fraud, misappropriations and other inappropriate conduct Primary focal point: Joint Inspections Unit |
| Recommendation 4 On the basis of a comprehensive needs assessment, the executive heads of the United Nations system organizations should establish a dedicated anti-fraud training and fraud awareness strategy for all members of the organization. At a minimum, anti-fraud training should be mandatory for staff in functional areas most prone to fraud and staff operating in fragile and high-risk field environments. | Accepted | Implemented | Annual training for newly-appointed Heads of Offices in countries, territories and areas (HWOs), as well as all staff in Headquarters, provides information on ethical behaviour, whistleblowing, protection from retaliation and fraud as it relates to audit. Following the finalization of the CEB document defining fraud and implementing partners within the UN system, there would be value in all UN agencies, funds and programmes sharing existing training material, and in the CEB/HLCM-HR network developing a joint e-training. WHO would support such a response. Primary focal point: Office of Compliance, Risk Management and Ethics |

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| Recommendation 5 The executive heads of the United Nations system organizations should, if they have not already done so, conduct a comprehensive corporate fraud risk assessment, as an integral part of their enterprise risk management system or as a separate exercise, addressing fraud risks at all levels of their respective organization, including headquarters and field offices, as well as internal and external fraud risks. Such assessments shall be conducted at least biennially at the corporate level, and more frequently, based on need, at the operational level. | Accepted | Implemented | WHO's organization-wide risk management approach was rolled out in 2014, and fraud risks are specifically considered as part of the exercise. Top corporate risks are reported to the Executive Board on an annual basis, including fraud risks. Additionally, Internal Oversight Services undertakes a specific fraud risk assessment as part of its standard planning process for each compliance and integrated audit undertaken at the country office level. Primary focal points: Office of Compliance, Risk Management and Ethics; Joint Inspections Unit |
| Recommendation 6 The executive heads of the United Nations system organizations, if they have not already done so, should develop organization-specific comprehensive anti-fraud strategies and action plans for implementing their respective fraud policies. Such anti-fraud strategies should be based on the organization's corporate fraud risk assessments and shall be an integral part of the overall organizational strategies and operational objectives. Based on the level of fraud risk, proportionate resources should be dedicated to operationalize the strategies and action plans. | Accepted | In progress | WHO Fraud Awareness Guidelines (issued June 2005), which may be updated following the finalization of the CEB common definition of fraud, implementing partners, etc., following discussions at the Fifth Committee meeting of the UN in March 2017. Primary focal point: Joint Inspections Unit |
| Recommendation 7 The executive heads of the United Nations system organizations, if they have not already done so, should initiate a review of their internal control framework to ensure that proportionate anti-fraud controls do exist and that fraud risks identified in the fraud risk assessments are adequately addressed in the internal control frameworks. | Accepted | Implemented | The WHO Internal Control Framework and Internal Control Framework Self-Assessment Checklist (2013 and 2016) are reviewed annually and filled by all budget centres biannually. The ICF explicitly mentions the need to safeguard resources against loss due to waste, abuse, mismanagement, errors and fraud, and fraud is included within the risk assessment component of the Framework. Primary focal point: Office of Compliance, Risk Management and Ethics |
| Recommendation 8 When introducing or updating statements of internal controls, the executive heads of the United Nations system organizations should ensure that the statements address the adequacy of organization-wide anti-fraud controls, in accordance with good practices and applicable international standards. In the absence of a formal statement of internal controls, executive heads should certify in their annual reports to legislative and governing bodies that their organization has in place proportionate anti-fraud controls based on fraud risk assessments, and that appropriate fraud prevention, detection, response and data collection procedures and processes exist. | Accepted | Implemented | WHO prepares an annual Statement on Internal Control on the effectiveness of internal controls, appended to the annual financial statement, which responds to, among others, issues related to fraud. Primary focal points: Department of Finance, with support from Office of Compliance, Risk Management and Ethics |

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| Recommendation 9 The executive heads of the United Nations system organizations should instruct their legal offices to review and update the legal instruments for engaging third parties, such as vendors and implementing partners, with particular attention to anti-fraud clauses and provisions. | Accepted | Implemented | Document A69/6 “Framework of engagement with non-State actors” is the organizational reference for how WHO engages with non-State actors, including vendors and implementing partners. Primary focal points: Office of the Legal Counsel, supported by the Department of Partnerships and non-State Actors and Office of Compliance, Risk Management and Ethics |
| Recommendation 10 The executive heads of the United Nations system organizations should ensure that proportionate fraud prevention and detection capabilities are an integral part of automation systems’ functionalities, including automated activity reports and data-mining modules in their respective enterprise resource planning systems (ERPs). | Accepted | In progress | Business Intelligence – an organization-wide optimization of data collection and analysis - is in the process of being rolled out, with the aim to transform raw data (finance, procurement, HR, programme planning, IT, technical health units, DGO, etc.) into meaningful and useful information presented in an easy manner for business analysis purposes. Additionally, dashboards in different regions allow for monitoring of information related to compliance/fraud. Primary focal points: BI Workstream Governance stakeholders |
| Recommendation 11 The executive heads of the United Nations system organizations, if they have not already done so, should revise their whistleblower policies with a view to adopting good practices, and extend the duty to report fraud and other misconduct to contract employees, United Nations volunteers, interns and other non-staff, as well as to third parties, including vendors, suppliers, and implementing partners. | Accepted | Implemented | WHO’s policy on “Whistleblowing and protection against retaliation” (2015) applies to all those (staff or other) who report, in good faith, suspected wrongdoing of corporate significance to WHO and may be subject to retaliatory action as a result. The policy includes an explicit reference to reporting of fraud, and references WHO eManual Section XII.14.1 Fraud policies and reporting of suspected fraud. Primary focal point: Office of Compliance, Risk Management and Ethics |
| Recommendation 12 The executive heads of the United Nations system organization, if they have not already done so, should implement the good practice of establishing a central intake mechanism for all fraud allegations in their respective organizations. In the interim, for organizations with decentralized intake mechanisms, immediate action should be taken to: (a) establish an obligation for decentralized intake units to report to a central authority any allegations received, ongoing cases under investigation and closed cases, indicating the action taken; and (b) establish formal intake procedures and guidelines, including: clear criteria for the preliminary assessment, the official, office or function authorized to make the assessment, the process to be followed and the arrangements for reporting on the results of the preliminary assessments. | Accepted | Implemented | WHO’s Integrity Hotline (managed by an external provider) acts as a centralized reporting mechanism, and it is widely publicized on the global public website and regional intranet sites. Related to the investigation function, WHO conducts a formal intake screening of reports of suspected misconduct and is entrusted to do preliminary assessments and subsequent investigations. The Organization has standard procedures and guidelines for the conduct of investigations – including tools and templates – as well as a repository for investigation case files and related administrative documentation. Primary focal points: Office of Compliance, Risk Management and Ethics; Joint Inspections Unit |

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| <p>Recommendation 13</p> <p>The executive heads of the United Nations system organizations, in consultation with the audit advisory committees, should ensure that the investigation function of their respective organizations establishes key performance indicators for the conduct and completion of investigations, and has adequate capacity to investigate, based on a risk categorization and the type and complexity of the investigations.</p> | Accepted | In progress | <p>WHO has an Investigations Log for recording all reports of concern received in relation to allegations of suspected wrongdoing. This Log also serves as the basis for recording information on investigation timelines for all phases of the investigation and provides statistics that are periodically reported to the WHO audit advisory committee (the Independent Expert Oversight Advisory Committee - IEOAC). As part of the quality control programme of the Office, IOS is planning to conduct an independent Peer Review of the investigations function in 2017.</p> <p>Primary focal point: Joint Inspections Unit</p> |
| <p>Recommendation 14</p> <p>The executive heads of the United Nations system organizations, in consultation with the Office of Legal Affairs (OLA) of the United Nations, and their respective legal offices, should strengthen existing protocols and procedures for referrals of fraud cases (and other misconduct) to national enforcement authorities and courts for criminal and civil proceedings, as well as for asset recovery, and ensure that referrals are done in a timely and effective manner.</p> | Accepted | Implemented | <p>WHO systematically attempts to recover “defrauded” resources and ensures that referrals are done in a timely and effective manner on a case-by-case basis. WHO eManual Section XII.14.1 Fraud policies and reporting of suspected fraud states that: “Where it has been concluded that misconduct has occurred resulting in financial loss to the Organization, the Director-General may decide to make use of all means available to the Organization in order to recover misappropriated funds, including by taking civil action before national courts.”</p> <p>Primary focal points: Department of Human Resources; Office of the Legal Counsel</p> |
| <p>Recommendation 15</p> <p>The executive heads of the United Nations system organizations should present to their legislative and governing bodies on an annual basis a consolidated and comprehensive management report on the performance of anti-fraud activities, based on key performance indicators. The report shall include, inter alia, the level of fraud exposure, status of compliance with anti-fraud policies, fraud statistics, sanctions imposed, fraud losses and recovery of assets, and lessons learned.</p> | Accepted | In progress | <p>The annual report of the Independent Expert Oversight Advisory Committee (IEOAC) presents a review of WHO’s financial statements, financial reporting and accounting policies; provision of advice on the adequacy of internal control and risk management; and review of the effectiveness of the Organization’s internal and external audit functions, and monitoring on the implementation of audit findings and recommendations. This report is presented to the PBAC and considered by the WHA. Additionally, the IOS Annual report to the WHA includes statistics on the types of alleged misconduct reported to the Office. Further, summaries of all investigation reports are included with details of the related loss estimates, recommendations for recovery of losses, and the relevant disciplinary measures applied, if available.</p> <p>Following the finalization of the CEB document defining fraud and implementing partners within the UN system, and based on collective decisions by all CEB members regarding the need for</p> |

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| | | | <p>and language of key performance indicators on fraud, WHO will report to the IEOAC.</p> <p>Primary focal points: Office of Compliance, Risk Management and Ethics; Joint Inspections Unit</p> |
| <p>Recommendation 16</p> <p>The legislative and governing bodies of the United Nations system organizations should: place on their respective agendas a permanent or standing item relating to fraud prevention, detection and response; review on an annual basis the consolidated and comprehensive management report presented by the executive head on anti-fraud policy and activities; and provide high-level guidance and oversight on fraud-related matters.</p> | Under consideration | | <p>Submitted for consideration of legislative/governing bodies in document EBPBAC26/4.</p> <p>The Report of the Executive Board includes the information from the annual report of the Independent Expert Oversight Advisory Committee, and this report is a standing item. Following the finalization of the CEB document defining fraud and implementing partners within the UN system, and based on collective decisions by all CEB members regarding the need for and language of key performance indicators on fraud, WHO will report to the IEOAC, whose report is presented to WHO's governing bodies.</p> <p>Primary focal points: Office of Compliance, Risk Management and Ethics; Joint Inspections Unit</p> |

2.2 Succession planning in the United Nations system organizations (document JIU/REP/2016/2)³

The objectives of this system-wide review were to: (a) follow up and assess the progress made in developing a framework for a succession planning strategy and implementing relevant policies; (b) identify succession planning challenges and propose solutions; (c) identify and disseminate best/good practices; and (d) propose benchmarks for succession planning.

For the proper implementation of succession planning, the Inspector suggests the application of five benchmarks based on leading practices in the private and public sectors (see below, included in the table).

The report has 4 recommendations, of which 2 are addressed to executive heads of United Nations system organizations, one to their legislative/governing bodies, and one to the Secretary-General.

| Recommendation | Acceptance | Implementation status | Remarks |
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| Recommendation 1 : The legislative/governing bodies of the United Nations system organizations should exercise their oversight role and examine the causes for the lack of, and/or the delay in, the introduction of formal succession planning in their respective organizations, including the adequacy of current funding; and request the executive heads of these organizations to develop formal succession planning without any further delay, by the end of 2017. | Under consideration | | Submitted for consideration of legislative/governing bodies in document EBPBAC26/4. |
| Recommendation 2 : The executive heads of the United Nations system organizations, who have not yet done so, should instruct their human resources management offices to develop and implement appropriate frameworks for succession planning strategies, and devise appropriate guidelines on the succession planning process without any further delay, by the end of 2017. | Accepted | In progress | <p>The Human Resources Management Department was instructed to develop such strategies, and is working on it.</p> <ul style="list-style-type: none"> - An annual Organisation-wide exercise for retiring staff has been conducted since 2014. It allows for a better alignment of the staffing structure with WHO's evolving needs as some positions vacated by retiring staff were proposed for abolition and other advertised with different post descriptions. - Succession planning will be enhanced when Mobility becomes mandatory (2019), and will allow to reassess the need for positions vacated by staff reaching their standard duration of appointment. <p>Likewise, since 2009, WHO has in place succession planning for Heads of WHO Offices in Countries, Territories and Areas Offices (HWO) using a pre-</p> |

³ https://www.unjiu.org/en/reports-notes/JIU%20Products/JIU_REP_2016_2_English.pdf

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| | | | qualified roster as its basis. Since 2014, the development needs of internal candidates interested in this senior role have increased in focus and are closely followed by the HWO project team within the Human Resources Management department.” |
| Recommendation 3 : The executive heads of the United Nations system organizations should instruct their human resources management offices to adopt the benchmarks* set out in the present report with a view to ensuring that their organizations have a sound succession planning process, and should report on the progress made to their legislative/governing bodies. | Accepted | In progress | See WHO’s comments in benchmarks below. |
| Benchmarks* | | Comments | |
| 1. Formal succession planning is instituted with due regard to the organization’s needs, taking into consideration its mission, its mandate and the nature of its work. | | See comments on recommendation 2. | |
| 2. The organization adopts a holistic approach, integrating its formal succession planning and management into its overall human resources management activities. | | See comments on recommendation 2. | |
| 3. The organization establishes by the best means at its disposal its current critical roles and positions, as well as the competencies required for those key roles and positions, and plans for their future revision/identification with more sophisticated means, requesting the appropriate funding. | | <p>- WHO is decentralized, which means that there is a common process, but the Major Offices (Regional Offices and Headquarters) take their own decisions regarding positions and organizational design. No holistic approach.</p> <p>- The Member States’ priorities change to address the most salient public health issues: it has been Polio for some time, and we are now developing a new programme for Emergencies to “expand [WHO’s] emergency risk management mandate, and in particular its operational role in emergency response” (ref. EBSS/3/3 – EB136/49). This also has consequences on available funding. Concretely, it means that no role can be considered “critical” on a period of time that would allow the implementation of succession planning “as per the book”.</p> <p>The competencies are detailed in each position description.</p> | |
| 4. The organization reviews by the best means at its disposal its current talent to identify staff members who have the potential to be considered for and take over key roles and positions immediately or shortly after some additional preparation. | | <p>WHO has been implementing tools to support a successful planning process:</p> <p>-> Career pathways (a first exercise was conducted for the Tuberculosis area, others are under preparation);</p> <p>-> Career development workshops;</p> <p>-> Skills inventory;</p> <p>-> Training for staff to take the next folds.</p> | |
| 5. The organization communicates in a transparent way the staff development and career path requirements for staff members to be considered as potential candidates for succession to critical roles and positions; the organization provides staff members who are identified as potential talent with learning and development opportunities that will allow them to fulfil the responsibilities of those roles and positions. | | <p>WHO has been implementing tools to support a successful planning process:</p> <p>-> Career pathways (a first exercise was conducted for the Tuberculosis area, others are under preparation);</p> <p>-> Career development workshops;</p> <p>-> Skills inventory;</p> <p>-> Training for staff to take the next folds.</p> | |

2.3 Review of the organizational ombudsman services across the United Nations system (document JIU/REP/2015/6)⁴

This review focused on ombudsman offices in United Nations system organizations with the objective of independently assessing their functioning by mapping their mandate and practices, identifying their enabling environment, intention to adhere to the principles set out in international standards, assessing their contribution to identifying systemic issues, identifying good practices, including cooperation with other ombudsman practitioners, and capturing and analysing the perceptions and satisfaction of the main groups of clients.

Of the 8 recommendations, recommendation 5 is addressed to the legislative/governing bodies of the United Nations system organizations.

| Recommendation | Acceptance | Implementation status | Remarks |
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| Recommendation 1: The executive heads of the United Nations system organizations, in consultation with staff representatives and the existing Ombudsmen, should review, update and disseminate across their respective organizations the terms of reference of the ombudsman, giving due consideration to the direction provided by the present report and using a staff-management consultation mechanism. | Accepted | In progress | The Secretariat has drafted revised terms of reference which are currently being reviewed by relevant in-house stakeholders. |
| Recommendation 2: The executive heads of the United Nations system organizations, in cooperation with the ombudsman offices, should include questions relating to the ombudsman service in staff surveys and responses should be used by management, staff associations and the ombudsman office to increase staff awareness and promote a better understanding of the ombudsman function in the organization. | Accepted | In progress | Discussions are currently underway with the stakeholders responsible for staff surveys in WHO, namely the Staff Association and the stakeholders involved in the Respectful Workplace Initiative (RWI) |
| Recommendation 3: The executive heads of the United Nations system organizations should request their respective ombudsmen to ensure that their field staff have the option of an in-person consultation with the ombudsman of another United Nations system organization in the same location (for example, the regional ombudsman of UNOMS or the visiting ombudsman of another United Nations system organization). | Under consideration | | |
| Recommendation 4: The executive heads of the United Nations system organizations should request their ombudsman offices to include in their work programme the development of a case management manual and to seek the cooperation of other United Nations system ombudsmen with a view to achieving a certain level of harmonization across the system. | Accepted | In progress | Work on a case management manual was discussed in the last UNARIO meeting in July 2016, and all participants agreed to set up a working group to elaborate a draft. Discussions on the content of the document are currently underway. |

⁴ https://www.unjiu.org/en/reports-notes/JIU%20Products/JIU_REP_2015_6_English.pdf

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| Recommendation 5: The legislative bodies of the United Nations system organizations should make it possible for the ombudsman to report to them on systemic issues identified on a regular basis. | Under consideration | | Submitted for consideration of legislative/governing bodies in document EBPBAC26/4. |
| Recommendation 6: The executive heads of the United Nations system organizations should request the ombudsman to include continuous training and certification of ombudsman practitioners in the strategic workplans of their ombudsman offices. | Accepted | Implemented | Training and certification are relevant aspects of OMB compacts, including that for 2017. In that endeavor, the Ombudsman seeks to maintain an active understanding of professional developments in his area of work by continuing professional membership, most notably in the International Ombudsman Association (IOA), and to participate in relevant international meetings, in particular those organized by the Network of Ombudsmen and Mediators in the United Nations and Related International Organizations (UNARIO). |
| Recommendation 7: The executive heads of the United Nations system organizations should establish an accountability and appraisal system for the ombudsman services and include the relevant provisions in the ombudsman's terms of reference. The system and the provisions should reflect the specific requirements of the ombudsman function by making accountability and the appraisal process inclusive and participatory for all stakeholders. | Accepted | Implemented | <p>Recognizing the specific nature of the role of the Ombudsman, and taking account of the fundamental tenets of his work, most notably independence and neutrality, the WHO Director-General agreed to assess the performance of the Ombudsman through the so-called "compact" mechanism. Accordingly, in each year's compact, the Ombudsman, in agreement with the Director-General, sets forth a number of general objectives which he undertakes to meet at the end of the cycle. The Ombudsman should review compliance with those objectives in the context of the OMB Annual Report.</p> <p>As part of the Ombudsman's accountability to all staff, and as a means to show transparency within the Organization, the compacts for the Ombudsman are posted on the OMB intranet.</p> <p>The Ombudsman compact for 2017 was signed on 16 February 2017.</p> |
| Recommendation 8: The executive heads of the United Nations system organizations should request their ombudsmen to discuss the findings and recommendations of the present review at the UNARIO meeting to be held in 2016 and to decide on the course of actions they intend to reflect in their programmes of work, either individually or collectively. | Accepted | Implemented | All UNARIO members have discussed individual recommendations and are working collaboratively on them. |

2.4 Review of activities and resources devoted to address climate change in the United Nations system organizations (document JIU/REP/2015/5)⁵

The objective of this review was to provide an overview of existing resources and activities devoted to addressing climate change across the organizations of the United Nations system, considering also the role of the environmental conventions, in particular the United Nations Framework Convention on Climate Change (UNFCCC).

The analysis of the compilation of system-wide information has resulted in findings as well as recommendations, two of them addressed to legislative bodies that are expected to contribute to enhanced coordination and increased effectiveness of the work of the organizations regarding climate change. However, recommendation 5 is specific to the UNEP, and not relevant to WHO.

| Recommendation | Acceptance | Implementation status | Remarks |
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| Recommendation 1: The executive heads of United Nations system organizations should present a long-term United Nations system climate change strategy, responsive to the outcome of COP 21 in Paris December 2015, to the governing bodies of their organizations to ensure its endorsement and the necessary support for its effective implementation, to achieve measurable interim results by 2020. | Accepted | Implemented | <p>At the COP22 in Marrakesh, a special session was convened on “Health Actions for the Implementation of the Paris Agreement”. The action day took as its basis that the Paris climate treaty is also a public health treaty, as “the right to health”, will be central to the actions taken.</p> <p>The event followed the “Health Action Agenda” approved at the 2nd Global Conference on Health and Climate, held in Paris from 7-8 July 2016. The Health Action Day provided a global overview, and examples of 10 concrete initiatives through which the public health community at country, regional and global level is currently supporting actions to implement the Paris agreement, for a healthier and more sustainable society, and its plans to scale up ambition and action. These were presented in alignment with the objectives of the Paris Health Action agenda:</p> <ul style="list-style-type: none"> • Health adaptation to climate change: Increasing climate resilience of health systems, and health determinants. <i>To at least double annual investment in health adaptation to climate change from by 2020, with a focus on surveillance for climate sensitive health outcomes, and climate resilience & sustainable energy in healthcare facilities.</i> • Gaining the health “co-benefits” of climate mitigation, particularly reducing 6.5 million annual air pollution deaths. <i>To assess the number of deaths from air pollution at global, regional and national level; the expected health gains from Nationally Determined</i> |

⁵ https://www.unjiu.org/en/reports-notes/JIU%20Products/JIU_REP_2015_5_English.pdf

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| | | | <p><i>Contributions to the UNFCCC; and the potential for larger gains through more ambitious action.</i></p> <ul style="list-style-type: none"> • Ensuring support for health and climate action, through a new economic approach, and scale up of financial investments. <i>To define a coherent approach to link the economics of climate, environment and health, and how to value and promote climate and energy policies that are in the national health interest.</i> • Engaging the health community and civil society in mitigation and adaptation. <i>By 2020, to triple the number of countries in which health professional organizations engage strongly on this issue, and ensure commitments from health organizations representing 30 million health professionals.</i> • Measuring national progress and reporting through the WHO/UNFCCC country profiles and SDG indicators. <i>By 2020, to double the number of countries with national evidence and progress tracking through climate and health country profiles, and to support reporting and tracking of indicators relevant to climate change and health, both under the SDGs, and by independent initiatives.</i> |
| Recommendation 2: The governing bodies of the organizations of the United Nations system should support and endorse the participation of their respective organizations, when they are involved in cross-cutting areas directly or indirectly related to climate change, in a system-wide United Nations strategy to combat climate change, in a consistent manner with the outcome of the UNFCCC COP 21 in Paris (December 2015). | Under consideration | | Submitted for consideration of legislative/governing bodies in document EBPBAC26/4. |
| Recommendation 3: The executive heads of organizations involved in areas with clear cross-linkages with climate change should elaborate and agree upon a common methodology to establish criteria to ensure additionality of funding for climate change adaptation and mitigation, seeking for consistency and coherence in the context of the climate change regime methodologies. | Accepted | In progress | WHO is preparing an application to become implementing agency of the Green Climate Fund (GCF). GCF was established by 194 governments to limit or reduce greenhouse gas emissions in developing countries. It is guided by the principles and provisions of the UN Framework Convention on Climate Change (UNFCCC). It is governed by a Board of 24 members, comprising an equal number of members from developing and developed countries. Its headquarter is in Songdo, Republic of Korea where it was established in December 2013. |

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| <p>Recommendation 4: Executive heads of the member organizations of the CEB, under the leadership of the Secretary-General in his capacity as Chair of the CEB, should promote the development of a common information-sharing system for the measurement and monitoring of the United Nations system activities and resources aimed at addressing climate change, by sector and type of funding, so as to ensure the most cost-efficient and effective delivery of activities to tackle climate change.</p> | Accepted | Implemented | <p>WHO and UNFCCC Climate and Health are jointly producing Country Profiles. The Project aims to provide Ministers of Health, health decision-makers and advocates with country-specific, evidence-based snapshots of the climate hazards and health risks facing countries. They present opportunities for health co-benefits through mitigation actions and provide a global platform to track national progress in policy response and implementation. The project has strengthened the linkages between climate and health communities; promoted innovative research on national climate hazard and health impact modeling; and engaged an inter-ministerial network of climate and health focal points to develop, advance and disseminate the findings. See more info at: http://www.who.int/globalchange/resources/countries/en/</p> |
| <p>Recommendation 6: The executive heads of the United Nations system organizations involved in country activities in the UNDAF, should ensure that their organizations follow the UNDG guidance on Integrating Climate Change in the UNDAF and build on existing good practices of engagement with the UNFCCC related bodies, for climate change assistance at the country and regional level, in close cooperation with the Resident Coordinators, to enhance and strengthen capacity-building assistance to developing countries through CCA/UNDAF.</p> | Accepted | In progress | <p>WHO actively participates in the development of the new UNDAF guidance and its companion pieces (currently being developed by the UNDG). WHO disseminated the interim UNDAF guidance to all its regional offices and offices in countries, territories and areas and posted it on WHO Intranet. WHO will develop internal guidance once the new package of UNDAF guidance and its companion pieces is finalized.</p> <p>The new 2016 Guide for the formulation of the WHO Country Cooperation Strategy(CCS) strengthens the interlinkages of the CCS with UNDAF and the SDGs: “The CCS informs and reinforces the health dimension of the United Nations Development Assistance Framework (UNDAF) and acts as the main instrument for harmonizing WHO’s cooperation in a country with the work of other United Nations agencies and development partners towards achieving the SDGs.”</p> |

2.5 Public information and communications policies and practices in the United Nations system (document JIU/REP/2015/4)⁶

Public information and communications is of continuous interest to Member States, since it is an essential function for explaining the objectives, values and challenges of the United Nations family and is expected to create global support for its work. The present report suggests that public information and communications has a role to play in reaffirming the relevance of the United Nations system organizations and in invigorating their credibility, their image and their reputation, provided that it is approached in a strategic manner.

The report identifies nine benchmarks for a strategic public information and communication function, and makes six recommendations. Five of the recommendations (recommendations 2 to 6) are addressed to the executive heads of the United Nations system organizations, and recommendation 1 is addressed to their legislative/governing bodies.

| Recommendation | Acceptance | Implementation status | Remarks |
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| Recommendation 1: The legislative/governing bodies of the United Nations system organizations should request the executive heads to embrace the nine benchmarks proposed in this report in order to enhance the strategic role of the public information and communication function in contributing to the achievements of organizational goals and priorities, thus promoting global support. | Under consideration | | Submitted for consideration of legislative/governing bodies in document EBPBAC26/4. The nine benchmarks are already in place with staff and funding established to sustain efforts. |
| Recommendation 2: Starting with the forthcoming programme and budget cycle, the executive heads of the United Nations system organizations should reinforce in a sustainable manner the strategic role of the public information and communication function within their organization, by adhering to the nine benchmarks proposed in this report, as applicable. | Accepted | Implemented | The nine benchmarks are already in place with staff and funding established to sustain efforts. |
| Recommendation 3: The executive heads of the United Nations system organizations should encourage their representatives in the UNCG at principals' level and in the undg Communications and Advocacy Working Group to develop strong complementarities and synergies between the two Groups in order to further strengthen the public information and communications capacity in the United Nations system. | Accepted | In progress | WHO Department of Communications has regular contact with UNCG colleagues through regular emergency communication meetings hosted by UNDPI and attendance of NY based communications officer at UNCG weekly meetings. Geneva based staff have not been regularly attending UNCG meetings due to time differences. |

⁶ https://www.unjiu.org/en/reports-notes/JIU%20Products/JIU_REP_2015_4_English.pdf

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| Recommendation 4: The executive heads of the United Nations system organizations should take concrete measures to strengthen the public information and communications capacity at the field level within their organizations, when applicable. This in turn would enable local UNCGs to conduct joint activities with due attention to local circumstances and organizations' mandated priorities, and reinforce the effectiveness and impact of these activities. | Accepted | In progress | WHO Department of Communications works collaboratively with communications officers at 6 Regional offices and with one-third of country offices who have communications officers. We are actively working to build capacity through a proactive training program in regions and countries. |
| Recommendation 5: The executive heads of the United Nations system organizations which have not yet done so should develop an effective social media strategy based on updated guidelines and properly aligned to the other respective policies and frameworks/strategies of public information and communications. | Accepted | Implemented | WHO Department of Communications integrates social media into communication campaigns, initiatives, and other activities to leverage its audiences and interactivity. |
| Recommendation 6: The executive heads of the United Nations system organizations should strengthen the in-house capacity for social media management with a view to creating specific content and maintaining organizational accounts, as well as to providing advice on the proper use of social media. | Accepted | In progress | WHO Department of Communications has policies posted and training to build and ensure quality control of Organizational social media use. The social media policy is currently under revision. |

2.6 Evaluation of mainstreaming of full and productive employment and decent work by the United Nations system organizations - summary report (document JIU/REP/2015/1)⁷

As part of its programme of work for 2014, the JIU conducted an evaluation of mainstreaming of full and productive employment and decent work in United Nations system organizations. The purpose of the evaluation was to provide information to the General Assembly/Economic and Social Council and to the legislative and governing bodies of the participating organizations and to the members of United Nations Chief Executive Board for Coordination on how the United Nations system organizations have implemented the resolutions aimed at mainstreaming or supporting the decent work agenda with a view to using the lessons learned in the finalization of the post-2015 agenda.

The report identifies a number of lessons learned, and has 7 recommendations, of which only one recommendation was directly addressed to the executive heads of United Nations system organizations. Four recommendations were addressed to the Secretary-General, one to the ILO governing body, and another one to the ECOSOC.

| Recommendation | Acceptance | Implementation status | Remarks |
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| Recommendation 6: Executive heads should instruct their respective technical units to re-examine their work to identify if there are areas where the decent work agenda can be linked to their activities and to make existing linkages more explicit | Accepted | In progress | WHO, together with ILO and OECD, embarked on developing a Five-Year Action Plan on Health Employment and Economic Growth ⁸ to implement the recommendations of the High-Level Commission on Health Employment and Economic Growth to create 40 million decent jobs in health and social services and to improve gender equality and working conditions in health care facilities. Collaboration with the ILO has further advanced to implement the global plan of action on workers' health (Resolution WHA 60.26 "Workers' Health: Global Plan of Action ⁹), in particular regarding the occupational health and safety of health workers and the development of a joint methodology for monitoring the health of workers. The progress on workers' health will be reported to WHO's governing bodies in 2018 and WHO is developing a road map for health systems in implementing SDG 8 on decent work and economic growth. The new WHO Gender Equality in Staffing Policy, which entered into force in January 2017, applies to international staff members holding fixed-term and continuing appointments in the professional and higher categories. The policy commits WHO to achieving at least a 1.5% increase in the percentage of female staff holding fixed-term and continuing appointments at P4 and higher level in the Organization, every year for the next five years, taking into account and monitoring the different levels of progress made by HQ and Regional Offices. The policy will be evaluated after two years. |

⁷ https://www.unjiu.org/en/reports-notes/JIU%20Products/JIU_REP_2015_1_English.pdf

⁸ http://www.who.int/hrh/com-heeg/hrh_heeg_3rdcall/en/

⁹ http://www.who.int/occupational_health/publications/global_plan/en/

3. Update on progress in the implementation of recommendations from the 2013 and 2014 JIU reviews that are of relevance to WHO

3.1 Contract management and administration in the United Nations system (document JIU/REP/2014/9)¹⁰

The JIU conducted this review to analyse how the organizations of the United Nations system manage contracts for goods and services after award, with a view to identifying good practices and lessons learned, exploring areas for further improvement and enhancing coherence system-wide.

The review found that contract-management practices are deficient in a number of fronts, and this reinforces similar findings of internal and external auditors of United Nations system organizations. The similarity of contract-management shortcomings across the United Nations system, combined with the magnitude and volume of procurement, demonstrates that a concerted effort by all stakeholders is needed to address this systemic challenge.

The report has 12 recommendations, of which two are addressed to the legislative bodies of the United Nations system organizations (recommendations 1 & 3), and one is addressed to the Secretary-General in his capacity as the Chair of the CEB (recommendation 12). The rest are addressed to the executive heads of the United Nations system organizations.

| Recommendation | Acceptance | Implementation status | Remarks |
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| Recommendation 1: The legislative bodies of the United Nations system organizations should direct the executive heads of their organizations to update and, when necessary, develop specific policies, procedures, guidance and follow-up systems to ensure effective and efficient management of post-award contract activities. | Accepted | In progress | Post-award contract management activities are already conducted by WHO in part. A specific contract management policy will be developed in 2017. The implementation of the policy is planned for 2018. |
| Recommendation 2: The executive heads of the United Nations system organizations should incorporate in their annual statements of internal controls certifications, by individuals with procurement and contracts management | Accepted | Implemented | As part of WHO's internal control framework, which serves as a self-assessment check list that is completed by all managers on an annual basis, the different aspects of the procurement process including post-award activities are highlighted. |

¹⁰ https://www.unjiu.org/en/reports-notes/JIU%20Products/JIU_REP_2014_9_English.pdf

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| authority, that the execution of contracts has been in full compliance with the organization's policies, procedures and rules. | | | At senior level, DG, RDs and ADGs sign annual Representation Letters which contain this piece of information. |
| Recommendation 3: The legislative bodies of the United Nations system organizations should direct the executive heads of their organizations to put in place a system whereby the persons designated to manage contracts after award are notified in writing about their accountability and responsibilities when managing a contract, and possess the required qualifications to manage the contract. | Accepted | In progress | The contract management policy will include the provision to designate the contract management responsibilities and accountability in writing. Furthermore the implementation of the contract management policy will include the aspect of training, in particular for services contract where the post-award activities are done de-centrally. |
| Recommendation 4: The executive heads of the United Nations system organizations should re-assess the financial and human-resource needs for post-award contract management in terms of current and projected contract volume, value, complexity and type and decide on the best support structures required (e.g. centralized or decentralized) to ensure best value for money and the achievement of the organization's objectives. | Accepted | In progress | Recently, the corporate procurement structure has been modified and WHO just created a new team in Budapest that will be responsible for the establishment and management of global Long Term Agreements. The position descriptions reflect the responsibilities and qualifications for contract management. The recruitment of the staff is being finalized. |
| Recommendation 5: The executive heads of the United Nations system organizations should develop a specific contract-management training programme in their organizations that would include courses offered as a requirement for all persons managing contracts of a certain size, value and complexity. | Accepted | In progress | As indicated in Recommendation 4, the team that is being established will consist of staff that are qualified to conduct contract management. With respect to services, where the post-award activities are done de-centrally, the implementation of the contract management policy will include training on contract management (ref. Recommendation 1). |
| Recommendation 6: The executive heads of the United Nations system organizations should ensure that supervisors of persons managing contracts incorporate contract-management criteria in these persons' annual performance evaluations | Accepted | In progress | With respect to services, where the post-award activities are done de-centrally, those responsibilities are not always explicitly indicated in the staff members' performance evaluation. However, it is implicitly taken into account in the overall performance assessment. For the global Long Term Agreements, which will be managed by the dedicated team, the contracting management responsibilities will be reflected in the annual performance objectives. (ref. Recommendation 4) |
| Recommendation 7: The executive heads of the United Nations system organizations should ensure that for contracts of a certain value and complexity risk-management plans are in place covering post-award contract activities. These plans should include risk-mitigation measures and also clear designation of responsibility to those persons executing such measures. | Accepted | In progress | The contract management policy, which will be developed in 2017 will include the aspect of risk-management. The implementation of the policy is planned for 2018. |

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| Recommendation 8: The executive heads of the United Nations system organizations should ensure that a system exists in their organizations for documenting and reporting on a contractor's performance in meeting contract requirements, and assign responsibility and management accountability for completeness of the contractor's performance reporting. | Accepted | In progress | A procedure for supplier performance evaluation has been created and will be implemented in the first quarter of 2017. |
| Recommendation 9: The executive heads of the United Nations system organizations should conduct a study in their organizations to analyse the causes of modifications in contracts above certain thresholds and identify systemic deficiencies contributing to cost increases and delays. Remedial action should follow to address such deficiencies. | Under consideration | | Contract modifications over a certain threshold (e.g. Contract Review Committee) appear to be rather rare occurrences. WHO will however review this recommendation in the light of the contract management policy that is being drafted. |
| Recommendation 10: The executive heads of the United Nations system organizations should ensure that, when applicable, appropriate levels of liquidated damages and other remedies are included in the standard clauses of contracts and are judiciously enforced to protect the interests and rights of their organizations. | Not accepted | | <p>WHO does not consider it in the interest of the Organization to include a liquidated damages clause in its procurement contracts. The reason for this is that liquidated damages are a fixed amount in lieu of (rather than in addition to) damages actually sustained.</p> <p>Under the WHO Purchase Order (and other procurement contracts), WHO is always entitled to seek damages for default by the supplier.</p> <p>A liquidated damages clause would take away this right, and would thus make it impossible for WHO to seek redress for the prejudice it has actually sustained. Considering furthermore that WHO's suppliers are unlikely to accept any significant amount as liquidated damages, a liquidated damages clause could - in WHO's view - clearly be to the Organization's financial disadvantage. This opinion seems to be shared by certain other UN agencies.</p> |
| Recommendation 11: The executive heads of the United Nations system organizations should augment the capabilities of their existing information technology systems such as Enterprise Resource Planning systems, or consider other specialized contract-management systems, to support the management of post-award contract activities based on a cost/benefit analysis and taking into account the level of need for such functionality. | Under consideration | | WHO will conduct an analysis to review whether to augment the capabilities of existing systems or to consider other specialized post-award contract management systems. |

3.2 Use of non-staff personnel and related contractual modalities in the United Nations system organizations – country case studies: Democratic Republic of the Congo, Haiti and India (document JIU/REP/2014/8)¹¹

The objective of this report is to provide an assessment from a system-wide perspective of the use of non-staff personnel, including relevant policies, regulations, contractual practices and associated managerial processes in the United Nations system organizations, with a special emphasis on field office practices. It includes quantitative and qualitative information, trends on the use of non-staff personnel and a comparative analysis of current organizational policies and practices.

The report contains 13 recommendations: one addressed to the Secretary-General in his capacity as Chair of the CEB, one for the consideration of legislative/governing bodies and 11 addressed to executive heads of the United Nations system organizations.

| Recommendation | Acceptance | Implementation status | Remarks |
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| Recommendation 1: The executive heads of the United Nations system organizations should revise their non-staff policies, including the definition of non-staff and the criteria for the use of non-staff personnel, by using the employment relationship principle in accordance with relevant labour recommendations of the International Labour Organization. | Accepted | In progress | The first draft of changes has been completed, We expect consultations across the Organization in the coming months. Updates will be provided in due course. |
| Recommendation 2: The legislative/governing bodies of the United Nations system organizations should systematically exercise their oversight functions on the use of non-staff personnel through regular reviews of non-staff personnel information/data provided by the respective executive heads. | Accepted | Implemented | Data on non-staff is reported to the Governing bodies regularly via the HR Annual Report, provided for the Governing Bodies meetings (most recent A68/44 para. 22) Workforce data available online on: http://www.who.int/about/finances-accountability/budget/EB140_HRTables_2016.pdf?ua=1 |
| Recommendation 3: The executive heads of the United Nations system organizations should review the use of non-staff personnel with a view to identifying long-serving non-staff personnel under a de facto employment relationship and establish a plan (short- to medium-term) to terminate the | Accepted | Implemented | A review of the non-staff contracts has confirmed that the use of such contracts is appropriate for the functions required of the “employees”. That said, WHO is exploring other non-staff contractual arrangements, preferably outsourced, that could replace the current ones. |

¹¹ https://www.unjiu.org/en/reports-notes/JIU%20Products/JIU_REP_2014_8_Final.pdf

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| inappropriate prolonged use of non-staff personnel. The plan, including resources required, should be presented to the legislative/governing bodies for endorsement and provision of the necessary financial support. | | | |
| Recommendation 4: The executive heads of the United Nations system organizations should strengthen their internal monitoring, control and oversight of the use of non-staff personnel, through the sustained application of effective internal control mechanisms, systematic corporate monitoring and information/data collection, analysis and audits. They should ensure that a central department/unit at the corporate level is held responsible for global monitoring, analysis and reporting on the issue. | Accepted | Implemented | Transferred internal control from Procurement to HR. This is being implemented in a phased manner based on the identification of resources to implement the certification process |
| Recommendation 5: The executive heads of the United Nations system organizations should ensure periodic analytical reporting both internally (to senior management) and externally (to the respective governing body) on the use of non-staff personnel in their organizations. Such reports should include detailed data and analysis on the use of non-staff, including the number of non-staff and associated expenditure, their weight in the total workforce, the breakdown of contractual modalities and the areas and locations used, the developing trends and the potential risks and corresponding measures. | Accepted | Implemented | Most data are published via the HR Annual Report, provided for the Governing Bodies meetings (A69/52: https://fus.unjlu.org/UNFollowupSystem/spring/document?execution=e4s1). It report provides data on the number of contracts and the total cost to the organization for non-staff contractual arrangements. Most Recent EB Report: EB140/46 http://apps.who.int/gb/ebwha/pdf_files/EB140/B140_46-en.pdf |
| Recommendation 6: The executive heads of the United Nations system organizations should ensure that updated and consolidated practical guidelines on the use of non-staff personnel are in place to guide managers involved in decision-making on the use of non-staff contractual modalities. | Accepted | In progress | The policy on non-staff contracts is being revised. Practical guidelines to guide managers on the use of non-staff contracts will follow. |
| Recommendation 7: The executive heads of the United Nations system organizations should ensure that individuals working for the organization under third-party/outsourcing contracts have decent working conditions, including a fair salary and social benefits and entitlements. | Accepted | In progress | Work is in progress, as these arrangements are being reviewed and other alternatives are being pursued. |

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| Recommendation 8: The executive heads of the United Nations system organizations should ensure that the gender balance policy and related measures include non-staff personnel, including United Nations Volunteers (UNVs). Gender balance in non-staff personnel recruitment should be promoted and monitored as part of the overall gender equality policy. | Accepted | In progress | Implementation is ongoing |
| Recommendation 9: The executive heads of the United Nations system organizations should allow long-serving non-staff (including UNVs) to apply as internal candidates for vacant staff positions, with a view to ensuring fairness and providing a measure to reduce long-serving non-staff in the organizations. | Under consideration | Not yet started | Not yet implemented, as this will require further consultation with senior management. |
| Recommendation 10: The executive heads of the United Nations system organizations should ensure that there is a clear, fair and rational mechanism for the determination and adjustment of remuneration levels of non-staff personnel, particularly in respect of long-serving non-staff. | Accepted | In progress | A new remuneration scale for Consultants was recently issued. All other contractual arrangements are being reviewed. |
| Recommendation 11: The executive heads of the United Nations system organizations should ensure that long-serving non-staff personnel (including UNVs) have access to appropriate formal internal justice mechanisms. To that end, the executive heads should consider allowing them access to existing mechanisms or establish another practical system for their use. | Accepted | In progress | Internal discussions are ongoing. |
| Recommendation 12: The executive heads of the United Nations system organizations, as a matter of priority, should ensure and formalize the access of non-staff personnel (including UNVs) to mediation, the ethics office, the office of the ombudsman and other informal conflict-resolution mechanisms, and ensure that such personnel have recourse to the policies on the prevention of harassment. | Accepted | In progress | Access is already available to all supporting measures. |

3.3 Analysis of the evaluation function in the United Nations system (document JIU/REP/2014/6)¹²

This report contains the results of a JIU system-wide study of the evolution, development and advancement of the evaluation function in the United Nations system conducted in 2013. The study addressed the following questions: Has there been progression in the growth and development of the evaluation function in the United Nations system? What is the level of development of the evaluation function? What is its capacity to support United Nations system organizations and its response to demands, changes and challenges? How has it added value? What alternative approaches exist for an effective evaluation function that serves the United Nations system in the current context?

The report provides nine recommendations: five to executive heads of United Nations system organizations, two to their legislative bodies and two to the Secretary-General in his capacity as Chair of the CEB

| Recommendation | Acceptance | Implementation status | Remarks |
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| Recommendation 1: The executive heads of United Nations system organizations in which the central evaluation function is co-located and integrated with other oversight functions or integrated with the executive management functions should enhance the function and ensure its quality, integrity, visibility and added value. | Accepted | Implemented | <p>To accelerate progress and further support the continuing WHO reform process, the Secretariat has identified the strengthening of evaluation and organizational learning as an essential step. Accordingly, in August 2014 the evaluation function was moved from the Office of Internal Oversight Services (where it had been integrated with other functions) to become a separate unit within the Office of the Director-General in order to support independent evaluation. The Director-General has appointed a Representative for Evaluation and Organizational Learning, whose tasks included reviewing the evaluation function in WHO and identifying best practices and models in other entities, in order to propose a framework for strengthening evaluation function at the Organization.</p> <p>http://apps.who.int/gb/ebwha/pdf_files/EB136/B136_38-en.pdf</p> <p>The framework was reviewed by the EB and is being implemented.</p> <p>The WHO evaluation policy approved at the Governing body meetings requires that WHO will develop a biennial, Organization-wide evaluation workplan as part of the its planning and budgeting cycle. The biennial workplan ensures accountability and oversight of performance and results, and reinforces organizational learning in a way that informs policy and operational decisions.</p> <p>http://apps.who.int/gb/ebwha/pdf_files/EB138/B138_44-en.pdf</p> |
| Recommendation 2: The executive heads of United Nations system organizations should adopt a balanced approach in addressing the purpose of evaluation for accountability, and | Accepted | Implemented | <p>Managerial accountability, transparency and risk management are key aspects of the WHO reform agenda. A series of measures was introduced in the last biennium 2014-2015, which will continue to ensure that WHO is accountable and can manage risk effectively. Evaluation is one element in improving accountability and promoting</p> |

¹² https://www.unjiu.org/en/reports-notes/JIU%20Products/JIU_REP_2014_6_English.pdf

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| for the development of a learning organization that has the appropriate incentive systems for innovation, risk-taking and the use of multidisciplinary perspectives. | | | <p>Organizational learning. Therefore, the Secretariat provides a consolidated institutional framework for evaluation at the three Organizational levels, and facilitates conformity with best practice and the norms and standards of the United Nations Evaluation Group. (Ref: PB 2016-2017: http://apps.who.int/gb/ebwha/pdf_files/WHA68/A68_7-en.pdf)</p> <p>The WHO Evaluation Office is responsible for ensuring accountability, which is done through (a) independently commissioning corporate evaluations; (b) backstopping and quality assurance for decentralised evaluations; (c) following up on the implementation of recommendations from evaluations; and (d) regularly reporting to the Governing Bodies on the findings of the evaluations that are conducted, and management responses to the recommendations.</p> <p>With regard to organizational learning, WHO takes a broader approach. The objective is to develop a systematic approach to organizational learning that: defines and aligns all its elements and interfaces; is evidence-based; and informs policies and decisions that result in measurable changes. The Organizational Learning and Change Network, chaired by the Executive Director of the Director-General's Office and comprising Directors of Programme Management and of Administration and Finance from the regions and senior staff from headquarters, provides a mechanism to take this work forward and to ensure that the different activities are aligned and add value to the Organization. Organizational learning also takes place at different stages of the evaluation process: Policy processes and strategic/operational planning; development of evaluation workplan; development of ToRs; evaluation process; evaluation report phase; development of management responses; and dissemination of evaluation findings (Ref: Evaluation Newsletter, Issue 2, Sept. 2016).</p> |
| Recommendation 3: The legislative bodies should request the executive heads of United Nations system organizations to develop comprehensive budget frameworks and resource allocation plans for their respective evaluation functions, based on the cost of maintaining an effective and sustainable evaluation function that adds value to the organization. The plans should be submitted for consideration to the legislative bodies within existing budgetary and reporting mechanisms and processes. | Accepted | Implemented | <p>The budget framework and resource allocation plans for evaluation are undertaken during the time of biennium planning and approval processes. Budget for evaluation is earmarked under Output 6.2.2. Organizational learning through implementation of evaluation policy and plans . (Ref: PB 2016-2017: http://apps.who.int/gb/ebwha/pdf_files/WHA68/A68_7-en.pdf)</p> |
| Recommendation 4: The legislative bodies should direct the executive heads of United Nations system organizations to review and revise, as necessary, existing policies for the | Under consideration | | |

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| <p>appointment of the heads of evaluation offices, in order to enhance independence, integrity, ethics, credibility and inclusion, with due regard to the following criteria: Term limits should be established for a single non-renewable term of office of between five and seven years, with no possibility for the incumbent of re-entry into the organization; The head of evaluation should have qualifications and substantial experience in evaluation, complemented by experience in the related fields of strategic planning, basic and operational research and knowledge management, and should have excellent management and leadership attributes.</p> | | | |
| <p>Recommendation 6: The executive heads of United Nations system organizations should make the use of evaluation an organizational priority based on a well-defined vision, strategy and results framework for the evaluation function, and report to their legislative bodies on the level, nature and impact of use of evaluation.</p> | Accepted | Implemented | <p>In August 2014, The Director-General appointed a Representative for Evaluation and Organizational Learning, whose tasks include reviewing the evaluation function in WHO and identifying best practices and models in other entities, in order to propose a framework for strengthening the evaluation function in the Organization.</p> <p>The review and consultation process with internal and external stakeholders focused on the following essential elements of strengthening evaluation and organizational learning: (a) creating a culture of evaluation; (b) establishing an enabling environment; (c) defining modalities and the scope of evaluation; (d) facilitating organizational learning; (e) determining relationships between evaluation and other assessments; and (f) communicating evaluation work and findings. The framework was reviewed by the EB and is being implemented. http://apps.who.int/gb/ebwha/pdf_files/EB136/B136_38-en.pdf</p> <p>The WHO evaluation policy approved at the Governing Body meetings requires that WHO develop a biennial, Organization-wide evaluation workplan as part of the its planning and budgeting cycle. The biennial workplan ensures accountability and oversight of performance and results, and reinforces organizational learning in a way that informs policy and operational decisions. http://apps.who.int/gb/ebwha/pdf_files/EB138/B138_44-en.pdf</p> <p>Output 6.2.2. is related to Organizational learning through implementation of evaluation policy and plans, and has clearly defined indicators and deliverables at WHO HQ, Regional Offices and Country Offices. (PB 2016-2017: http://apps.who.int/gb/ebwha/pdf_files/WHA68/A68_7-en.pdf)</p> |

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| <p>Recommendation 7: The executive heads of United Nations system organizations should request evaluation offices to reassess the policies, strategies and priorities of the evaluation function. They should strategically position the evaluation function in their respective organizations so as to enhance its relevance in enabling the United Nations system to address current changes and challenges, and to achieve impact and sustainability.</p> | Accepted | Implemented | <p>In August 2014, The Director-General appointed a Representative for Evaluation and Organizational Learning, whose tasks included reviewing the evaluation function in WHO and identifying best practices and models in other entities, in order to propose a framework for strengthening the evaluation function at the Organization.</p> <p>In addition, the WHO Evaluation Office is the organizational point of contact for external evaluations, reviews and assessments such as United Nations Joint Inspection Unit (JIU) surveys, Multilateral Organization Performance Assessment Network reviews and other bilateral reviews. This was implemented on 30 March 2015, when the JIU liaison function was transferred to the Evaluation Office.</p> <p>http://apps.who.int/gb/ebwha/pdf_files/EB137/B137_7-en.pdf</p> |
| <p>Recommendation 9: The executive heads of United Nations system organizations should develop the institutional framework and necessary support systems to enhance the quality and added value of decentralized evaluation and the role it could play in supporting the United Nations system to address emerging challenges, including those of the post-2015 development agenda, and to enhance coherence and alignments in evaluation within and across United Nations system organizations, and with national institutions.</p> | Accepted | Implemented | <p>The evaluation work plan for the biennium 2016–2017, which incorporates both the corporate/centralized and decentralized planned evaluations, was reviewed by the Global Policy Group, discussed with the Independent Expert Oversight Advisory Committee and reviewed and approved by the Board at its 138th session.</p> <p>http://apps.who.int/gb/ebwha/pdf_files/EB139/B139_9-en.pdf</p> <p>The Global Network on Evaluation, an internal network of the Organization is an integral part of the institutionalization of evaluation in WHO. Currently the network is being strengthened, so that they can play a stronger role in future evaluation work in both corporate and decentralised evaluations.</p> <p>WHO is also an active member of the United Nations Evaluation Group (UNEG) and participates actively in the group of UNEG heads and the various UNEG task forces.</p> <p>http://apps.who.int/gb/ebwha/pdf_files/EB137/B137_7-en.pdf</p> |

3.4 Post Rio +20 review of environmental governance within the United Nations system (document JIU/REP/2014/4)¹³

The objective of this report is to strengthen the governance of, and programmatic and administrative support for, multilateral environmental agreements (MEAs) of the United Nations organizations, by identifying measures to promote enhanced coordination, coherence and synergies between MEAs and the United Nations system, thus increasing the contribution made by the United Nations system towards a more integrated approach to international environmental governance (IEG) and management at national, regional and international levels.

Of the 13 recommendations contained in the present report, only one was relevant for WHO.

| Recommendation | Acceptance | Implementation status | Remarks |
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| Recommendation 12: The executive heads of the United Nations system organizations involved in country activities in the UNDAF should: (a) Adopt outreach and training policy; support the establishment of capacity-building in the United Nations country team; and disseminate the UNDG guidance notes on mainstreaming environmental sustainability and the integration of the three dimensions of sustainable development into the UNDAF process; and (b) Support the operationalization of the above-mentioned policy and the attendant expertise within the framework of the United Nations country team with the effective participation and contribution of specialists and experts of UNEP and MEAs, when feasible, as well as with the active use of sector experts of specialized agencies, funds and programmes, who have environmental knowledge and expertise working under the guidance of the Resident Coordinator. | Accepted | In progress | i) WHO actively participated in the development of the SOPs for DaO countries (by the UNDG), co-signed by Heads of 18 UN agencies. WHO disseminated the SOPs to all its regional offices and offices in countries, territories and areas. WHO also developed internal guidance to facilitate implementation of the SOPs by all WHO regional offices and offices in countries, territories and areas. These documents are also available on WHO Intranet. ii) WHO actively participated in the development of the Mainstreaming the 2030 Agenda for Sustainable Development: Reference Guide to UN Country Teams, which was published in February 2016. WHO disseminated the Reference Guide to all its regional offices and offices in countries, territories and areas. WHO also developed internal guidance to facilitate implementation of the Reference Guide by all WHO regional offices and offices in countries, territories and areas. These documents are also available on WHO Intranet. iii) The Heads of WHO Offices in Countries, Territories and Areas, are well briefed on the 2030 Agenda for Sustainable Development, including the SDGs, and its relevance to health, through inter alia Information package for the roster of Heads of WHO Offices in Countries, Territories and Areas; WHO Handbook for the induction of Heads of WHO Offices in Countries, Territories and Areas; addressing the SDGs in regular biennial global meetings of all HWOs, etc. iv) WHO actively participates in the development of the new UNDAF guidance and its companion pieces (currently being developed by the UNDG). WHO disseminated the interim UNDAF guidance to all its regional offices and offices in countries, territories and areas and posted it on WHO Intranet. WHO will develop internal guidance once the new package of UNDAF guidance and its companion pieces is finalized. v) The new 2016 CCS Guide (Guide for the formulation of the WHO Country |

¹³ https://www.unjiu.org/en/reports-notes/JIU%20Products/JIU_REP_2014_4_English.pdf

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| | | <p>Cooperation Strategy) strengthens the interlinkages of the CCS with UNDAF and the SDGs: “The CCS informs and reinforces the health dimension of the United Nations Development Assistance Framework (UNDAF) and acts as the main instrument for harmonizing WHO’s cooperation in a country with the work of other United Nations agencies and development partners towards achieving the SDGs.”</p> <p>vi) The Department of Country Cooperation and Collaboration with the UN System (CCU) leads collaboration with the United Nations system across three levels of the Organizations, especially within main UN coordinating bodies; participates in the policy debates on UN operational activities for development; provides inputs on health issues for the SG reports; and maintains bilateral relations with UN funds, programmes and specialized agencies. CCU supports country offices in working as part of a United Nations Country Team (UNCT) both directly and through a network of regional focal points. The Country Cooperation Strategy (CCS), closely aligned with national health policies, strategies and plans, is the main instrument for harmonizing WHO’s cooperation in a country with that of other UN agencies and development partners. Its key components should be reflected in the United Nations Development Assistance Framework (UNDAF)/One Programme.</p> <p>vii) In addition, several programmes have prepared specific guidance to support on UNDAF processes at the country level, which also had specific sections on mainstreaming environmental sustainability. For example, in 2015, WHO and UNDP published a Guidance note on the integration of non-communicable diseases into the UNDAF Framework, which had a section on mainstreaming environmental sustainability (p.52): http://www.who.int/nmh/ncd-task-force/guidance-note.pdf . Similarly UNDP and WHO FCTC also had published a guidance specific to tobacco control and national planning processes, which also included components of mainstreaming of environmental sustainability into UNDAF processes in relation to tobacco control.</p> |
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3.5 Capital/refurbishment/construction projects across the United Nations system organizations (document JIU/REP/2014/3)¹⁴

This review presents key lessons learned from capital/refurbishment/construction projects across the United Nations system organizations, with the objective of disseminating best practices and providing recommendations that will enhance efficiency, effectiveness, control and accountability in project management as well as system-wide coordination and cooperation.

The present report includes four recommendations: two are addressed to the executive heads, one is addressed to the Secretary-General of the United Nations in his capacity as Chair of the CEB and one is addressed to the legislative/governing bodies of the United Nations system organizations.

| Recommendation | Acceptance | Implementation status | Remarks |
|--|------------|-----------------------|--|
| Recommendation 1: The executive heads of the United Nations system organizations should establish close monitoring and periodic reporting mechanisms for capital/refurbishment/ construction projects throughout all project phases. | Accepted | Implemented | Project Governance structure established and communicated to Member States in Document A69/56. Close monitoring established through the creation of a Project Board reporting to the Director-General and a Member State Advisory Board. Periodic progress reporting is made by the Secretariat to the WHA. |
| Recommendation 2: Taking into account the high cost and high risk of capital/refurbishment/construction projects, the legislative/governing bodies of the United Nations system organizations should exercise their monitoring and oversight role with regard to their respective projects on an ongoing basis, including during the pre-planning, planning, executing and completing phases, ensuring cost efficiency and the achievement of the overall goals of the projects. | Accepted | Implemented | Close monitoring established through the creation of a Project Board reporting to the Director General and a Member State Advisory Board. The Project Board receives regular updates on costs, cash flow, risk management, progress/planning, and decisions. |
| Recommendation 4: The executive heads of the United Nations system organizations should ensure that the 19 best practices presented in the present review are followed when undertaking | Accepted | Implemented | <ol style="list-style-type: none"> 1. Feasibility planning – WHO has engaged local, external, construction cost and risk managers to undertake feasibility analysis. 2. Risk Management - WHO has engaged local, external, construction cost and risk managers to undertake risk analysis and mitigation planning. 3. Project Governance – established in document A69/56 |

¹⁴ https://www.unjiu.org/en/reports-notes/JIU%20Products/JIU_REP_2014_3_English.pdf

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| capital/refurbishment/construction projects. | | | <ol style="list-style-type: none"> 4. In house project team should make transition planning – Project management has been outsourced to a local construction project management company to mitigate the risk of knowledge transfer within WHO. 5. Validation of preliminary budget estimates - WHO has engaged local, external, construction cost and risk managers to undertake cost management. 6. Indirect costs should be included in the project budget – WHO has engaged local, external, construction cost and risk managers to undertake cost management and the project budget has been updated to reflect all associated costs across the entire duration of the project. 7. Creation of a project charter – The external project managers are mandated to draft and update a project manual describing project operational procedures. 8. Use of a professional project management tool – various professional project management tools are used by the external Project Management Company to manage programme, costs and risks. 9. Risk plan – a detailed risk register and individual mitigation strategy has been prepared and is reviewed and updated by the project team and Project Board at each respective meeting. 10. Adequate expertise of project management team – WHO has engaged local professional construction project managers and the in-house team have also have at least 20 years experience of international construction project management. 11. Continuity of project management personnel – The external project management company have been contracted for the full duration of the project. 12. Independent technical advisor required – architects and engineers have been contracted for all phases of the project. 13. Quality assurance at all phases – quality control falls within the mandate of the external project managers. 14. Legal Services should review all construction contracts – a legal officer has been seconded to the in-house project team, specifically to assist with tender and contract preparations 15. Legal Services should ensure construction contracts contain all appropriate clauses - a legal officer has been seconded to the in-house project team, specifically to assist with tender and contract preparations 16. Development of a thorough procurement system – The contracting model chosen (main contractor) by WHO limits the volume of contracts, though close liaison is maintained with the procurement department. 17. Prior agreement on management of change orders – management of variations is included in the construction contract and the procedures are outlined in the project manual 18. Project managers should engage with the facilities management services – WHO has included a dedicated facilities engineer (renovation liaison), within |
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| | | | <p>the facilities management contract, to work with the project team and architects/engineers to ensure facilities management issues are addressed in the design and that life cycle costing and operational feasibility is included within the design.</p> <p>19. Lessons learned – WHO liaises with other UN Organizations in Geneva, undertaking large renovations or construction projects to share experiences and identify opportunities for synergies and efficiencies.</p> |
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3.6 An analysis of the resource mobilization function within the United Nations system (document JIU/ REP/2014/1)¹⁵

The objective of the review was to examine the status of resource mobilization in the United Nations system organizations and identify good practices. The aim was to: (a) map out the existing resource mobilization strategies/policies; (b) identify experience and good practices related to their implementation; (c) explore the coordination within and among entities in their headquarters locations and in the field; (d) review the functioning and staffing of resource mobilization units/offices; and (e) seek to understand the perspective of major member State contributors.

The report contains five recommendations, two of which are addressed to the legislative bodies of the United Nations system organizations and three to their executive heads.

| Recommendation | Acceptance | Implementation status | Remarks |
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| Recommendation 1: The legislative bodies of the United Nations system organizations should periodically review the resource mobilization strategy/policy, including by providing political guidance and oversight of the implementation of the resource mobilization strategy/policy and by ensuring monitoring and the review of regular updates. | Accepted | Implemented | In 2013 a new financing model was introduced at the request of WHA as a central element of the WHO reform through the approval of the programme budget 2014-15 by the Health Assembly in resolution WHA 66.2. WHO's financing model, encompassing the resource mobilisation efforts, is spread over three phases. It starts when Member States determine the budget and priorities of the organization up to the approval of the programme budget by the Health Assembly. The second phase has a Financing Dialogue meeting preceded and followed by bilateral meetings between the Secretariat and contributors. The third phase is the coordination of organization-wide resource mobilization efforts to fund the remaining gaps of funding. The model has been implemented successfully since and will continue to be further strengthened. |
| Recommendation 2: The General Assembly of the United Nations and the legislative bodies of the United Nations system organizations should request member States, when providing specified contributions, to make them predictable, long-term and in line with the core mandate and priorities of the organizations. | Accepted | In progress | WHO's Financing Dialogue is guided by a number of principles including predictability and alignment. Since the introduction of the new financing model and the financing dialogue the level of predictability in the financing of the Programme Budget in advance of implementation has improved. At the start of the biennium 2012–2013, 62% of the base budget was assured. This figure increased to 77% for the biennium 2014–2015 and 83% for the biennium 2016–2017. However the fact that this figure has not increased beyond 84% nine months into the current 2016-2017 biennium is concerning. In the 2014-15 biennium the alignment of funding to categories and programme areas improved mainly due to the strategic distribution of flexible resources, although these have been insufficient to cover all the gaps resulting from the earmarking of voluntary contributions. |

¹⁵ https://www.unjiu.org/en/reports-notes/JIU%20Products/JIU_REP_2014_1_English.pdf

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| Recommendation 3: The executive heads of the United Nations system organizations should put in place clearly identifiable structures and arrangements, as applicable, with primary responsibility for resource mobilization, for the systematic implementation and coordination of the resource mobilization strategy/policy, monitoring and regular updates. | Not relevant | | WHO had already completed this before the report was released, and hence this recommendation is not relevant for WHO. |
| Recommendation 4: The executive heads of the United Nations system organizations should put in place, if they have not already done so, risk management and due diligence processes for resource mobilization; this should include, inter alia, ensuring that due diligence is not performed by the same individuals responsible for fundraising. | Accepted | Implemented | <p>On improved risk management and due diligence processes for resource mobilization, the introduction of the newly created programme budget web portal has significantly increased the transparency of WHO's funding situation and its needs by programme area and major office. It now incorporates reporting on results, and is regularly updated to facilitate and improve the coordination of financial and programmatic reporting. Further improvements are expected from the continuing efforts of the Office of Compliance, Risk Management and Ethics, which has created and implemented a robust risk register for all aspects of WHO's work, and through the draft framework of engagement with non-State actors, which should further strengthen the existing due diligence for funding received from non-State actors.</p> <p>In addition to the web-portal, robust risk register has been developed to capture additional risks for the entire organization and including the resource mobilisation function. Lastly a framework of engagement with non-State actors has now been adopted by the WHA. Its implementation will further strengthen the existing due diligence for funding received from non-State actors.</p> |
| Recommendation 5: The executive heads of the United Nations system organizations should organize dialogues with their respective donors to agree upon common reporting requirements which would simplify the reporting process for the respective organizations and satisfy the information needs of the donors with a view to reducing the reporting burden and associated costs. | Accepted | Implemented | <p>The new WHO Financing model introduced in 2013, foresees the organization of Financing Dialogue meetings every biennium, after the Programme Budget is approved by the WHA and before the start of the new biennium. These meetings are now institutionalised and have been held in 2013 and in 2015.</p> <p>In 2016 an extraordinary Financing Dialogue meeting was held to address the needs for the budget increase of the WHO Health Emergency programme. The objectives of the meeting were broadened to examine the overall Programme Budget 2016 – 2017 and initiate discussions on the proposed increase in assessed contributions for the Programme Budget 2018-2019.</p> |

3.7 Use of retirees and staff retained beyond the mandatory age of separation at United Nations organizations (JIU/NOTE/2014/1)¹⁶

As part of its programme of work for 2013, the JIU conducted a review of the use of retirees and staff retained beyond the mandatory age of separation (MAS) in United Nations organizations. The review delivers a system-wide comparative analysis of overall policies and practices, based on the actual, versus the desirable, use of staff retained and retirees rehired and identifies commonalities and differences, as well as good practices that could be replicated and harmonized across the system.

This note contains five recommendations. One is addressed to the Secretary-General, and the rest are addressed to the executive heads of United Nations system organizations.

| Recommendation | Acceptance | Implementation status | Remarks |
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| Recommendation 2: Executive heads should set up effective mechanisms to capitalize on the knowledge and experience of staff due to retire and of retirees when rehired through coaching and mentoring programmes, in line with good practices identified. | Accepted | Implemented | Pilot project for staff mobility has been launched in 2016 and will be rolled out after the evaluation in 2018. Mentoring and coaching skills are emphasized through this project and some retirees or senior staff close to retirement are used as mentors. |
| Recommendation 3: Executive heads should (a) set up a coherent regulatory framework for the approval of exceptions, to retain staff beyond the mandatory age of separation and for the employment of retirees, regardless of the type of contract and funding, based on good practices identified in the United Nations and other system organizations, taking into account the specific needs of certain highly specialized technical agencies; and (b) ensure strict compliance with this framework. | Accepted | Implemented | Like the other United Nations agencies, WHO hires retired staff for specific, time-bound activities, often for senior expertise contributions or for emergency/surge work. However, WHO being committed to the career development of serving staff members, the recruitment of retirees has restrictions (see Information note 13/2014): contracts are of limited duration, a remuneration ceiling is applied, the proposed recruitment is authorized only when it does not adversely affect the career development opportunities of serving staff members or the recruitment of new staff, and the recruitment represents both a cost-effective and operationally sound solution to meet the needs of the Organization. |
| Recommendation 4: Executive heads of organizations, particularly those with a large | Accepted | Implemented | Data show that extensions beyond retirement age have been granted by the Director-General in accordance with Staff Regulation 9.5, in the interests of the |

¹⁶ https://www.unjiu.org/en/reports-notes/JIU%20Products/JIU_NOTE_2014_1_English.pdf

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| number/proportion of staff retained beyond MAS and retirees rehired, should: (a) take immediate action to limit such cases to exceptions which are fully justified and regularly monitored and reported to legislative bodies; and (b) ensure that their employment in senior executive and general service positions is restricted to instances where needs cannot be met by current staff, and that they are rehired as consultants, when applicable, with due regard to the specific needs of organizations. | | | Organization on rare occasions and on an exceptional basis. These extensions are normally for short periods, from a few months to one year. They are usually granted to senior staff in order for them to complete an important project, or to coincide with the end of term of an outgoing Director-General or Regional Director. Exceptionally, appointments of staff members have been extended beyond retirement age when the recruitment of a successor has been delayed, due to lack of suitable candidates and pending the completion of the selection process. Of the total number of WHO staff who retired between 2011 and 2016 (911), of which 45% were from the professional and higher categories, only 12% had their appointments exceptionally extended beyond retirement age in the interests of the Organization. Of those, 79% were from the professional and higher categories. The extensions were for a period of between one and 12 months in 80% of the cases; between one year and less than three years in 18% of the cases; and for a total of three years or more in 2% of the cases. |
| Recommendation 5: Executive heads of organizations which have not yet done so should develop effective workforce/succession planning with respect to posts occupied by staff due for retirement, take action to advertise all relevant vacancies at least six months in advance and ensure timely recruitment. | Accepted | Implemented | WHO has an annual succession planning exercise since 2014 and HRD remind senior management to advertise six months in advance the positions that will be vacated by retiring staff. |

3.8 Review of the management of implementing partners in United Nations system organizations (document JIU/REP/2013/4)¹⁷

This report reviews the methods currently used by these organizations to select and manage implementing partners (IPs), attempts to find common elements and challenges, identifies good practices, and makes recommendations.

It aims to provide a review of methods and practices used by United Nations organizations across the system to select and manage IPs for programme/project delivery, with a view to identifying strengths and weaknesses in current practice and exploring areas for further improvement for an effective and efficient management of IPs.

The report contains 12 formal recommendations, nine of which are addressed to executive heads of the United Nations system organizations and one to their legislative bodies. The report also includes observations and suggestions addressed to executive management.

| Recommendation | Acceptance | Implementation status | Remarks |
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| Recommendation 1: The executive heads of UN system organizations should act to ensure that their respective partnership arrangements involving the transfer of UN resources to third parties (notably IPs) are clearly defined as being distinct from other types of partnerships not receiving UN resources, as well as from commercial contracts, in order to assure that appropriate rules and regulations apply in the different cases. | Accepted | Implemented | Implemented with all the distinction between partners. |
| Recommendation 2: The executive heads of United Nations system organizations should ensure that key information on Implementing Partners such as expenditures by purpose (programme, project, activity etc.), modality (e.g. national government entity, NGO/CSO etc.), and evaluation of their performance are readily available in their organizations. Such key information should be reported regularly to legislative bodies, within the existing reporting mechanisms. | Accepted | Implemented | Implemented through the Financial report submitted at end of each year |
| Recommendation 3: The legislative bodies of the UN system should direct the executive heads of their respective organizations to prepare and submit to them an organization-specific comprehensive strategic framework for partnerships, inclusive of IPs, in line with their overall corporate strategic | Accepted | Implemented | Done through APW, DFC, Letter of Agreement. Some aspect of policies need to be reviewed |

¹⁷ https://www.unjiu.org/en/reports-notes/JIU%20Products/JIU_REP_2013_4_English.pdf

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| objectives. This framework should include an analysis of resources required to operationalise it. | | | |
| Recommendation 4: The executive heads of UN system organizations should establish rigorous IP selection and assessment processes designed to determine an IP's capacity and potential weaknesses and risks, and ensure capability to fulfil program delivery requirements. | Accepted | Implemented | Assessment processes are in place to strengthen internal control. |
| Recommendation 6: The executive heads of UN system organizations should act to strengthen IP agreements and other legal instruments in line with good practices so as to ensure the inclusion of all provisions needed to safeguard the interests and rights of their organizations. | Accepted | Implemented | Strengthening of the framework of DFC |
| Recommendation 7: The executive heads of UN system organizations should establish risk-based monitoring frameworks to guide their respective organizations in systematically monitoring programmes and projects delivered by IPs. The frameworks shall be adapted by country offices to best fit the types of interventions in the country specific environments. | Accepted | Implemented | This is done through DFCs and policy changes |
| Recommendation 8: The executive heads of UN system organizations should institute, for staff engaged with Implementing Partners (and especially staff in country offices), training in fraud awareness and prevention, with emphasis on fraud related to third parties. | Accepted | Implemented | <p>Ref. WHO's Management Response to JIU Report Fraud Prevention, detection and response: JIU/REP/2016/4: WHO Fraud Prevention Policy & Fraud Awareness Guidelines policy and guidelines (effective April 2005), a stand-alone corporate anti-fraud policy, as well as myriad other anti-fraud related policies.</p> <p>WHO's policy defines fraud as "misappropriation, irregularities and illegal acts characterized by deceit, concealment or violation of trust" and provides concrete examples of such behaviours or actions.</p> <p>Annual training for newly-appointed Heads of Offices in countries, territories and areas (HWOs), as well as all staff in Headquarters, provides information on ethical behaviour, whistleblowing, protection from retaliation and fraud as it relates to audit.</p> <p>Following the finalization of the CEB document defining fraud and implementing partners within the UN system, there would be value in all UN agencies, funds and programmes sharing existing training material, and in the CEB/HLCM-HR network developing a joint e-training. WHO would support such a response.</p> |
| Recommendation 9: The executive heads of UN system organizations should revise existing oversight function charters to ensure they have the right to investigate third | Accepted | Implemented | Ref. WHO's Management Response to JIU Report Fraud Prevention, detection and response: JIU/REP/2016/4: |

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| parties involved in implementing UN-funded activities. These revised charters should be submitted to legislative bodies for approval. | | | <p>Document A69/6 “Framework of engagement with non-State actors” is the organizational reference for how WHO engages with non-State actors, including vendors and implementing partners.</p> <p>WHO’s policy on “Whistleblowing and protection against retaliation” (2015) applies to all those (staff or other) who report, in good faith, suspected wrongdoing of corporate significance to WHO and may be subject to retaliatory action as a result. The policy includes an explicit reference to reporting of fraud, and references WHO eManual Section XII.14.1 Fraud policies and reporting of suspected fraud.</p> |
| Recommendation 10: The executive heads of UN system organizations should review the capabilities of their existing automation systems, such as ERPs and other database tracking systems, with the aim of consolidating IP-related data among these systems, based on a cost/benefit analysis and taking into account the level of need for such information. | Accepted | Implemented | Business Intelligence – an organization-wide optimization of data collection and analysis - is in the process of being rolled out, with the aim to transform raw data (finance, procurement, HR, programme planning, IT, technical health units, DGO, etc.) into meaningful and useful information presented in an easy manner for business analysis purposes. Additionally, dashboards in different regions allow for monitoring of information related to compliance/fraud. |
| Recommendation 11: The executive heads of UN system organizations should instruct country offices to act at the country level to establish, in cooperation with other UN organizations, procedures for sharing IP-relevant information. Channels for such cooperation should include operations management groups of the UNCT and the clusters and working groups established under the UNDAF, UNPAF and UNDAF. | Accepted | Implemented | Strengthened framework of DFC. |

3.9 Support to Resident Coordinator system (document JIU/REP/2013/3)¹⁸

The objective of this report is to assess the operation of the current selection and appointment process of the United Nations Resident Coordinators (RCs) and the effectiveness and efficiency of the related institutional support mechanisms. It is expected that the identification and analysis of existing challenges pertaining to the selection and appointment of RCs, and the preparation, training and support provided for their work, complemented by recommendations, will lead to improvements in the selection and appointment process as well as in the ownership of the RC system.

Only one recommendation was directly addressed to the executive heads of the United Nations system organizations.

| Recommendation | Acceptance | Implementation status | Remarks |
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| Recommendation 2: The Executive Heads of United Nations system organizations who have not yet done so should instruct their human resources management offices to develop and implement appropriate guidelines for the identification, screening and preparation of potential RC candidates as soon as possible. | Accepted | Implemented | |

¹⁸ https://www.unjui.org/en/reports-notes/JIU%20Products/JIU_REP_2013_3_English.pdf

3.10 Review of long-term agreements in procurement in the United Nations system (document JIU/REP/2013/1)¹⁹

The objective of this review was to evaluate the relevance, efficiency and effectiveness of the use of long-term agreements (LTAs) in the United Nations system. The review covered a variety of issues regarding LTAs, including the assessment of existing policies, practices and statistical data, types of LTAs, their advantages and disadvantages, available guidelines and strategies applied, the level of collaboration through LTAs among United Nations organizations, and good practices and lessons learned.

The present report includes five recommendations. Four are addressed to the executive heads of United Nations system organizations. Recommendation 5 is addressed to their legislative/governing bodies.

| Recommendation | Acceptance | Implementation status | Remarks |
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| Recommendation 1: Executive heads should develop specific procurement policies and guidelines for the strategic use of LTAs by their organizations. These should aim to clarify the purpose, advantages, disadvantages, possible strategies, main elements, and types of LTAs, and when and how to establish them. | Accepted | In progress | <p>Recently, the corporate procurement structure has been modified and WHO is establishing a dedicated team in Budapest that will be responsible for the establishment and management of global LTAs. The recruitment of the staff is underway.</p> <p>The eManual section is being revised so as to include a definition of LTAs as agreement type. An LTA policy is aimed to be finalised by quarter 3 of 2017. The policy and procedures will cover the following key areas: benefits and risks; types and configuration; duration; prerequisites for their establishment; vendor monitoring and performance review; long-term agreement management; use of long-term agreements from other UN system organizations; and collaborative procurement.</p> |
| Recommendation 2: Executive heads should implement a policy to ensure that for every LTA a contract management plan is developed that clearly defines the contract work breakdown structure, roles and responsibilities of all parties involved, and control and accountability mechanisms. Detailed guidelines, methods and tools (including appropriate clauses and contractual mechanisms) must be provided to the contract managers. | Accepted | In progress | <p>Work is in progress to develop Standard Operating Procedures and guidance notes for each individual LTA, based on its specific requirements and special conditions.</p> <p>Post-award contract management activities are already conducted by WHO in part. As part of contract management, WHO has drafted its contracts monitoring and evaluation of performance procedure. The procedure includes a mandatory evaluation of performance of suppliers in the case of LTAs.</p> |

¹⁹ https://www.unjui.org/en/reports-notes/JIU%20Products/JIU_REP_2013_1_English.pdf

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| Recommendation 3: Executive heads should proactively pursue collaborative LTA opportunities through various methods, including establishing/improving policies and guidelines to facilitate collaboration, circulating LTA tenders which could be of interest to other organizations, listing their organization's LTAs on UNGM, and seeking up-to-date information on available LTAs in the United Nations system. | Accepted | Implemented | <p>WHO has already been engaged in collaborative procurement with other United Nations agencies for years by participating in joint tenders for, inter alia, goods, medicines, various health kits and pharmaceuticals. Sharing of information on joint tenders and "piggy-backing" on LTAs with other United Nations agencies are also among the areas where collaboration is already ongoing. WHO LTA's are being piggy-backed on by other UN Agencies (examples LTA with Danoffice for computers, Northern Trust for Global Custodian Services, Cholera kit (with various suppliers)).</p> <p>WHO is also an active member of the Common Procurement Activities Group in Geneva, which resulted in joint utilities contracts.</p> <p>WHO will continue its efforts to proactively pursue areas for collaboration with respect to LTAs.</p> |
| Recommendation 4: The executive heads of the organizations should support the advancement of the work of the HLCM Procurement Network on harmonization of procurement documents, collaborative use of LTAs, and joint procurement of vehicles. They should also facilitate the work of the Legal Network to expedite their efforts towards harmonizing the general terms and conditions of contracts. | Accepted | Implemented | <p>WHO regularly participates in the annual High Level Committee on Management Procurement Network meetings and shares information on harmonization and common areas of interest in procurement, with procurement issues being given the required support from the Organization's executive management.</p> <p>WHO is collaborating with the HLCM-Procurement Network on its project on "Collaborative Procurement of High-Value Commodities". WHO will also continue to contribute by providing input to projects led by the HLCM-Procurement Network harmonization working group.</p> |
| Recommendation 5: The legislative/governing bodies should exercise their oversight role on the procurement function and procurement activities with a view to ensuring that the procurement function adequately fulfils its strategic role and that procurement activities, including LTAs, are carried out based on sound procurement plans and strategies. | Accepted | In progress | <p>The Secretariat recalls that, during the past few years, the WHO procurement function has been the subject of a number of audits and evaluations. These were all reported to the Independent Expert Oversight Advisory Committee and to the Programme, Budget and Administration Committee of the Executive Board and thus enabled the Board to assume its directing and oversight role fully.</p> <p>In addition, all the LTAs are reviewed before being issued by the Contracts Review Committee.</p> <p>Furthermore, the Organization is in the process of implementing a procurement planning tool organization-wide, which will allow a better overview of procurement across the Organization, helping identify a need for LTAs where required.</p> |