
Eleventh General Programme of Work: monitoring process

Evaluation, assessment and review procedures

Report by the Secretariat

INTRODUCTION

1. The Programme, Budget and Administration Committee at its fifth meeting noted the Secretariat's outline of plans, principles and a framework for monitoring the Eleventh General Programme of Work.¹ In view of the various monitoring and assessment processes, it requested that an overview of all the Secretariat's evaluation, assessment and review procedures should be submitted to the Committee at its seventh meeting in January 2008.² This report responds to that request.

2. Performance monitoring, assessment and evaluation form an integral part of WHO's results-based management framework and are recognized as central to proper programme management. These actions alert managers to real and potential obstacles to achieving results and encourage the integration of lessons learnt into day-to-day management. The results of assessment and evaluation also help in affirming or revising technical and managerial policies and strategies. They also support long-term acquisition of knowledge and institutional learning, and facilitate reporting to Member States and other stakeholders.

PERFORMANCE MONITORING AND ASSESSMENT

3. WHO's performance monitoring and assessment are based on the central elements of its results-based management framework: operational plans, the biennial programme budget, Medium-term strategic plan 2008–2013 and Eleventh General Programme of Work, 2006–2015.

¹ See document EBPBAC5/6.

² Document EB119/2006–EB120/2007/REC/2, summary record of the second meeting of the 120th session, section 2.

Operational plans

4. Programmatic and financial implementation is continually monitored on the basis of operational plans (workplans) by all their owners through formal periodic review with supervisors at least every six months. Such follow-up allows for assessment of whether activities are being carried out as planned and indicates whether expected results are likely to be achieved. Beyond the mandatory requirements for reviewing the status of the workplan, where progress is unsatisfactory, staff analyse constraints and draw relevant lessons. Technical and financial monitoring will be fully supported by the global management system which will provide an unprecedented level of transparency and data sharing throughout the Organization.

Biennial programme budget

5. Two formal Organization-wide assessments of implementation of the Programme budget take place during each biennium: the mid-term review and, at the end of the biennium, the Programme budget performance assessment.

Mid-term review

6. The Organization-wide mid-term review assesses progress at country, regional and headquarters levels towards achievement of respective expected results, and including those at Organization-wide level, as set out in the programme budget. This self-assessment indicates whether the results are on course, or in jeopardy or in serious jeopardy of not being achieved. Summary information notes the major impediments and risks, and remedial actions needed to improve progress. Financial information on budgets, available funds and expenditures at the end of the first year of the biennium also is provided. The mid-term review complements the unaudited financial report.

7. A summary is submitted to the Programme, Budget and Administration Committee and the Health Assembly in May of the second year of the biennium. The full report is issued in all official languages in time for meetings of the regional committees. Pertinent issues raised by a regional committee may be further discussed by the Executive Board at its session the following January. Based on the findings of the mid-term review some programmes may be expanded, and strategies modified; substantial shifts in funding may also be made in order to support programmes whose implementation is not progressing satisfactorily.

Programme budget performance assessment

8. This Organization-wide self-assessment examines whether expected results have been achieved at the end of the biennium. The ensuing report summarizes the results achieved at all levels and assesses them in terms of the Organization-wide indicators and targets set out in the programme budget. It also reviews the main achievements during the biennium, identifies factors crucial to success and impediments, notes the main lessons learnt and how they will be applied during subsequent bienniums at each level of the Organization, and presents an analysis of financial implementation. In addition to providing managers with information necessary for evaluations, the findings of the programme budget performance assessment are taken into consideration when future programme budgets have been prepared. The report complements the audited financial report which is submitted to the governing bodies.

9. A summary of the performance assessment report is submitted to the Programme, Budget and Administration Committee and the Health Assembly in May of the first year of the following

biennium; the full report, in all official languages, is considered by the regional committees. Comments from regional committees and those issues not covered by the summary and therefore not considered by the Committee in May are discussed by the Executive Board the following January.

Medium-term strategic plan 2008–2013

10. The Medium-term strategic plan is monitored through the assessment of programme budget performance. Every two years, the Health Assembly will review the plan in conjunction with the Proposed programme budget with a view to revising the plan, including its indicators and targets, as may be necessary.¹ The review will focus on the strategic objective indicators with the aim of ensuring that they are specific, measurable, attainable, relevant and time-bound, corresponding targets, and the strategic approaches. Changes will be minimal, and revisions made only when necessary.

11. At the end of the six-year period covered by the plan, the extent to which the 13 strategic objectives have been achieved will be assessed through an Organization-wide process, planning for which is just beginning. Data on the strategic objective indicators will be collected in order to establish the extent of progress to the targets. Performance will be analysed, and the main achievements in realizing the strategic objectives, factors contributing to (or impeding) success, and lessons learnt will be summarized for use in drawing up subsequent strategic plans.

Eleventh General Programme of Work, 2006–2015

12. Progress in the implementation of the Programme of Work is being monitored by the Secretariat, with the focus on the global health agenda (as set out in the Programme of Work) in order to assess the adequacy of international responses and on WHO's core functions in order to review the quality and balance of the Organization's work.²

EVALUATION

13. The Organization also uses internal and external evaluators, who critically assess outcomes from thematic, programmatic or country perspectives.

14. **Thematic evaluations** focus on selected topics, such as a governing body concern or priority, a new way of working, a changed role for the Organization, a core function, or a cross-cutting theme. They provide insights into long-term effectiveness, relevance, sustainability and broader applicability. Their scope may range from the entire Organization to a single country. In terms of their basic purpose, principles and depth of analysis, they are similar to programmatic evaluations.

15. **Programmatic evaluations** examine the Secretariat's contribution to the achievement of the strategic objectives. They provide a detailed analysis of the way the results and outcomes were achieved and examine their relevance, efficiency, effectiveness and sustainability. The scope of programme evaluations may be limited to a specific country programme, regional office or intercountry programme or be Organization-wide.

¹ Resolution WHA60.11.

² See document EBPBAC5/6.

16. **Country evaluations** assess WHO's performance at country level on the basis of the results set out in WHO's plans and strategies. They examine the work of the entire Organization in and with the country concerned, in the form of integrated country performance audits.

17. The principal responsibility for implementing the Organization's evaluation framework rests with the Office of Internal Oversight Services. Reporting directly to the Director-General, the Office is authorized unfettered access to all records and personnel and can review all systems, processes, operations and activities within the Organization.

18. Through its evaluations, the Office seeks to analyse outcomes and to identify lessons learnt. In consultation with relevant stakeholders, it draws up a list of topics for evaluation during the year, using specific quantitative and qualitative criteria, such as relevance, efficiency, effectiveness and sustainability. It uses a mix of internal and external evaluators to conduct its evaluations. Each evaluation has an identified owner, such as a responsible officer of a cluster, programme, office or project, whose responsibility it is to act on the findings. The Office monitors to ensure systematic follow-up of the evaluations and issues a periodic report. Current or recently completed work includes a thematic evaluation of WHO's work with collaborating centres (2007), a programmatic evaluation of selected aspects of the Department of Protection of the Human Environment (2007), and a country evaluation for Albania (2006).

19. Supplementing these activities, many ad hoc evaluations are undertaken by WHO's technical programmes either on their own initiative or at the request of major donors.

ACTION BY THE PROGRAMME, BUDGET AND ADMINISTRATION COMMITTEE

20. The Committee is invited to note the report.

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