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## **Reports of the Joint Inspection Unit**

### **Report by the Secretariat**

1. With regard to its plan of work for 2015, the Joint Inspection Unit of the United Nations System (JIU) issued six reports, two of which were not of direct relevance to WHO<sup>1</sup> or did not call for any specific action from WHO. Of relevance to WHO were the following 2015 reports: Evaluation of mainstreaming of full and productive employment and decent work by the United Nations system organizations – summary report (document JIU/REP/2015/1); Public information and communications policies and practices in the United Nations system (document JIU/REP/2015/4); Review of activities and resources devoted to address climate change in the United Nations system organizations (document JIU/REP/2015/5); and Review of the organizational ombudsman services across the United Nations system (document JIU/REP/2015/6).

2. By February 2017, JIU had issued 11 reports included in its plan of work for 2016, four of which were not of direct relevance to WHO<sup>2</sup> or did not call for any specific action from WHO at this stage. The others are: (a) Succession planning in the United Nations system organizations (document JIU/REP/2016/2); (b) Fraud prevention, detection and response in United Nations system organizations (document JIU/REP/2016/4); (c) Comprehensive review of United Nations system support for small island developing States: final findings (document JIU/REP/2016/7); (d) State of the internal audit function in the United Nations system (document JIU/REP/2016/8); (e) Safety and security in the United Nations system (document JIU/REP/2016/9); (f) Knowledge management in the United Nations system (document JIU/REP/2016/10); and (g) Administrative support services: the role of service centres in redesigning administrative service delivery (document JIU/REP/2016/11). In addition, JIU also issued a Management Letter on review of the acceptance and implementation of JIU recommendations by the World Health Organization (document JIU/ML/2016/18).

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<sup>1</sup> Recommendations to the General Assembly of the United Nations for the determination of parameters for a comprehensive review of United Nations system support for small island developing States (document JIU/REP/2015/2) and Cooperation among the United Nations regional commissions (document JIU/REP/2015/3).

<sup>2</sup> Review of management and administration in the International Telecommunication Union (document JIU/REP/2016/1); Comprehensive review of United Nations system support for small island developing States: initial findings (document JIU/REP/2016/3); Evaluation of the contribution of the United Nations development system to strengthening national capacities for statistical analysis and data collection to support the achievement of the Millennium Development Goals and other internationally-agreed development goals (document JIU/REP/2016/5); and Meta-evaluation and synthesis of the United Nations Development Assistance Framework evaluations, with a particular focus on poverty eradication (document JIU/REP/2016/6).

3. The Secretariat's comments to the United Nations system Chief Executives Board for Coordination on the JIU reports are summarized in reports available on the JIU website ([www.unjiu.org](http://www.unjiu.org)).

## IMPLEMENTATION OF RECOMMENDATIONS IN PREVIOUS REPORTS

4. Paragraphs 5–10 below summarize progress made in implementing the recommendations to executive heads of United Nations organizations in JIU reports issued during the period January 2015 to September 2016 that are of direct relevance to WHO and call for specific action at this stage.

5. **Evaluation of mainstreaming of full and productive employment and decent work by the United Nations system organizations - summary report (document JIU/REP/2015/1).**<sup>1</sup> With regard to JIU's 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), WHO together with ILO and OECD embarked on developing a Five-Year Action Plan on Health Employment and Economic Growth<sup>2</sup> 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 WHA60.26 (2007) on Workers' health: global plan of action<sup>3</sup>), 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 the Secretariat is developing a road map to guide for health systems in implementing Sustainable Development Goal 8 (Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all). The WHO Gender Equality in Staffing Policy, which entered into force in January 2017,<sup>4</sup> applies to international staff members holding fixed-term and continuing appointments in the Professional and higher categories. The policy commits the Secretariat to achieving at least a 1.5% increase in the percentage of female staff holding fixed-term and continuing appointments at the P4 and higher levels in the Organization, every year for the next five years, taking into account and monitoring the different levels of progress made by headquarters and regional offices. The policy will be evaluated after two years.

6. **Public information and communications policies and practices in the United Nations system (document JIU/REP/2015/4).**<sup>5</sup> With regard to JIU's recommendation 2 on the reinforcement in a sustainable manner of the strategic role of the public information and communications function within United Nations system organizations, the nine benchmarks proposed in the report are all in place in WHO with staff and funding established to sustain efforts. Some progress has been made with regard to JIU's recommendation 3 on the development of strong complementarities and synergies between WHO's representatives in the United Nations Communications Group at principals' level and

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<sup>1</sup> [https://www.unjiu.org/en/reports-notes/JIU%20Products/JIU\\_REP\\_2015\\_1\\_English.pdf](https://www.unjiu.org/en/reports-notes/JIU%20Products/JIU_REP_2015_1_English.pdf) (accessed 17 March 2017).

<sup>2</sup> [http://www.who.int/hrh/com-heeg/hrh\\_heeg\\_3rdcall/en/](http://www.who.int/hrh/com-heeg/hrh_heeg_3rdcall/en/) (accessed 17 March 2017).

<sup>3</sup> [http://www.who.int/occupational\\_health/publications/global\\_plan/en/](http://www.who.int/occupational_health/publications/global_plan/en/) (accessed 17 March 2017).

<sup>4</sup> [https://manual.who.int/eM\\_RelCont\\_Lib/03\\_2017\\_en\\_Annex%201\\_WHO%20Policy%20on%20Gender%20Equality%20in%20Staffing%20Policy%20final%20format%204Jan17.pdf](https://manual.who.int/eM_RelCont_Lib/03_2017_en_Annex%201_WHO%20Policy%20on%20Gender%20Equality%20in%20Staffing%20Policy%20final%20format%204Jan17.pdf) (accessed 27 March 2017).

<sup>5</sup> [https://www.unjiu.org/en/reports-notes/JIU%20Products/JIU\\_REP\\_2015\\_4\\_English.pdf](https://www.unjiu.org/en/reports-notes/JIU%20Products/JIU_REP_2015_4_English.pdf) (accessed 17 March 2017).

in the United Nations Development Group Communications and Advocacy Working Group in order to further strengthen the public information and communications capacity in the United Nations system. The Secretariat is in regular contact with the United Nations Communications Group through emergency communication meetings hosted by UNDP and attendance of New York-based communications officer at the United Nations Communications Group's weekly meetings. With regard to JIU's recommendation 4 on strengthening the public information and communications capacity at the field level within each organization, there is active collaboration between communications officers at headquarters, in all regional offices and with one third of the country offices that have communications officers. Efforts are ongoing to build capacity through a proactive training programme in regions and countries. Concerning JIU's recommendations 5 and 6 on the development of an effective social media strategy and the strengthening of the in-house capacity for social media management, WHO integrates social media into its communication campaigns, initiatives and other activities; training in quality control of social media use is being introduced within the Organization; and the social media policy is currently under revision.

**7. Review of activities and resources devoted to address climate change in the United Nations system organizations (document JIU/REP/2015/5).**<sup>1</sup> Implementation of JIU's recommendation 1 (that executive heads should present a long-term United Nations system-wide climate change strategy, responsive to the outcome of twenty-first session of the Conference of the Parties to the United Nations Framework Convention on Climate Change (Paris, 30 November-1 December 2015), to the governing bodies of their organizations and request its endorsement and the support necessary for its effective implementation), is pending on the work of the Chief Executives Board for Coordination and its High-Level Committee on Programmes to develop a single United Nations climate change strategy, which could then be considered by the governing bodies, if agreed by Member States. Concerning JIU's recommendations 3 and 4 (on a common methodology to establish criteria to ensure additional funding for climate change adaptation and mitigation and the development of a common information-sharing system), WHO is preparing an application to become an implementing agency of the Green Climate Fund and is working with the United Nations Framework Convention on Climate Change to develop a global platform to track national progress in policy response and implementation through the provision of country-specific, evidence-based snapshots of the climate hazards and health risks facing countries. Finally as regards JIU's recommendation 6 (executive heads should ensure that their organizations follow the United Nations Development Group's guidance on integrating climate change in the United Nations Development Assistance Framework and build on existing good practices of engagement with bodies relevant to the United Nations Framework Convention on Climate Change for climate change assistance at country and regional levels), WHO actively participates in the development of the United Nations Development Assistance Framework's guidance and companion pieces. In addition, the guide to the WHO country cooperation strategy issued in 2016 strengthens the links between country cooperation strategies and both the United Nations Development Assistance Framework and the Sustainable Development Goals.

**8. Review of the organizational ombudsman services across the United Nations system (document JIU/REP/2015/6).**<sup>2</sup> With regard to JIU's recommendation 1 on the review, update and Organization-wide dissemination of the terms of reference of the Ombudsman using a staff-management consultation mechanism, the Secretariat has drafted revised terms of reference which are currently being reviewed by relevant in-house stakeholders. Concerning JIU's recommendation 2 on the inclusion of questions relating to the ombudsman service in staff surveys in order to increase staff

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<sup>1</sup> [https://www.unjiu.org/en/reports-notes/JIU%20Products/JIU\\_REP\\_2015\\_5\\_English.pdf](https://www.unjiu.org/en/reports-notes/JIU%20Products/JIU_REP_2015_5_English.pdf) (accessed 17 March 2017).

<sup>2</sup> [https://www.unjiu.org/en/reports-notes/JIU%20Products/JIU\\_REP\\_2015\\_6\\_English.pdf](https://www.unjiu.org/en/reports-notes/JIU%20Products/JIU_REP_2015_6_English.pdf) (accessed 17 March 2017).

awareness of the function, Organization-wide discussions are ongoing with stakeholders responsible for staff surveys, namely the Department of Communications, the staff associations and partners in the Secretariat's Respectful Workplace initiative, in order to implement this recommendation. JIU's recommendation 3 on ensuring that field staff have the option of an in-person consultation with the ombudsman of another United Nations system organization of the same location is under consideration as the implementation of this recommendation may entail unforeseen financial implications. With regard to JIU's recommendations 6 and 7 on the establishment of an accountability and appraisal system for the ombudsman services, including the relevant provisions in the ombudsman's terms of reference and the inclusion of continuous training and certification of ombudsman practitioners in the strategic workplans of the ombudsman office, both are considered to have been implemented. Recognizing the specific nature of the role of the ombudsman, and taking account of the fundamental tenets of this work, most notably independence and neutrality, the performance of WHO's ombudsman is assessed annually through an accountability compact on the basis of compliance with a pre-defined set of objectives, which are made available to all staff. Training and certification of ombudsman practitioners is included in this compact. As a result of the discussions of the findings and recommendations of this report at the 14th meeting of the Network of Ombudsmen and Mediators of the United Nations and Related International Organizations (Vienna, 4 and 5 July 2016), a working group has been established to elaborate a draft case management manual, thus addressing JIU's recommendations 4 and 8.

**9. Succession planning in the United Nations system organizations (document JIU/REP/2016/2).**<sup>1</sup> With regard to JIU's recommendations 2 and 3 on the development and implementation of appropriate frameworks for succession planning strategies and guidelines on the succession planning process, and the adoption of the benchmarks for succession planning, the Organization is developing a succession planning strategy and tools to support the process (career pathways, career development workshops, skills inventory and staff training). Succession planning for heads of WHO country offices, territories and areas is already in place since 2009, using a pre-qualified roster as its basis. An annual Organization-wide exercise for retiring staff has been conducted since 2014. Succession planning will be enhanced once the Geographical Mobility Policy becomes mandatory in 2019.

**10. Fraud prevention, detection and response in United Nations system organizations (document JIU/REP/2016/4).**<sup>2</sup> This report contains 14 recommendations for executive heads, 10 of which were already or have been implemented by the Organization. WHO established its Fraud Prevention Policy and Fraud Awareness Guidelines in April 2005, and the Director-General has overall responsibility for the prevention and detection of fraud, misappropriations and other inappropriate conduct. Annual training for newly-appointed heads of offices in countries, territories and areas and all staff members in headquarters provides information on ethical behaviour, whistle-blowing, protection from retaliation, and the risk of fraud. Fraud risks are a specific component of the annual risk management exercise that was introduced in 2014 and are reported on an annual basis to WHO's governing bodies. They are also addressed in the Internal Control Framework<sup>3</sup> and Internal Control Framework self-assessment checklist and an annual statement on internal controls is appended to the annual financial statement. Additionally, fraud risk assessments are part of the standard planning process for each compliance and integrated audit undertaken at country level. The Framework of

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<sup>1</sup> [https://www.unjiu.org/en/reports-notes/JIU%20Products/JIU\\_REP\\_2016\\_2%20\\_English.pdf](https://www.unjiu.org/en/reports-notes/JIU%20Products/JIU_REP_2016_2%20_English.pdf) (accessed 17 March 2017).

<sup>2</sup> [https://www.unjiu.org/en/reports-notes/JIU%20Products/JIU\\_REP\\_2016\\_4\\_English.pdf](https://www.unjiu.org/en/reports-notes/JIU%20Products/JIU_REP_2016_4_English.pdf) (accessed 17 March 2017).

<sup>3</sup> [http://www.who.int/about/who\\_reform/who-internal-control-framework.pdf](http://www.who.int/about/who_reform/who-internal-control-framework.pdf) (accessed 17 March 2017).

Engagement with Non-State Actors<sup>1</sup> is the organizational reference for engagement with non-State actors, including vendors and implementing partners. The Secretariat's policy on whistle-blowing and protection against retaliation includes an explicit reference to reporting of fraud, and WHO's Integrity Hotline acts as a centralized reporting mechanism for allegations of suspected wrongdoing.<sup>2</sup> The Organization has standard procedures and guidelines for the conduct of investigations. An external assessment of operational compliance with these procedures is being conducted in 2017. Information on reported allegations of wrongdoing and the progress in reviewing cases is being monitored and statistics are periodically reported to the Independent Expert Oversight Advisory Committee. In addition, the reporting to Member States includes summaries of all investigation reports with details of the related loss estimates, recommendations for recovery of losses and the relevant disciplinary measures applied, if available. The Secretariat systematically attempts to recover defrauded resources and ensures that referrals to, or requests for assistance by, other relevant authorities are dealt with in a timely and effective manner on a case-by-case basis. Work is ongoing with regard to the development of key performance indicators for the conduct and completion of investigations and ensuring that proportionate fraud prevention and detection capabilities are an integral part of automation systems' functionalities. WHO's Fraud Prevention Policy and Fraud Awareness Guidelines may need to be updated following the finalization of the common definition by the Chief Executives Board for Coordination of fraud, implementing partners, and the language of the key performance indicators on fraud, following discussions by the Fifth Committee of the United Nations General Assembly at its resumed seventy-first session in March 2017.

## ACCEPTANCE AND IMPLEMENTATION RATES OF JIU'S RECOMMENDATIONS

11. WHO continues to ensure that it follows up all relevant JIU recommendations. The Annex to this report illustrates the rates of acceptance and implementation for recommendations made between 2013 and 2016.

## ACTION BY LEGISLATIVE/GOVERNING BODIES

12. The following recommendations by JIU in reports issued during the period January 2015 to September 2016 are directed at the legislative/governing bodies.

13. **Public information and communications policies and practices in the United Nations system (document JIU/REP/2015/4).** JIU's recommendation 1 proposed that legislative/governing bodies should request the executive heads to embrace the nine benchmarks proposed in the report in order to enhance the strategic role of the public information and communications function in contributing to the achievements of organizational goals and priorities, thus promoting global support. The Secretariat has already put in place the nine benchmarks with staff and funding established to sustain efforts.

14. **Review of activities and resources devoted to address climate change in the United Nations system organizations (document JIU/REP/2015/5).** JIU's recommendation 2 proposed that governing bodies 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-

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<sup>1</sup> [http://apps.who.int/gb/ebwha/pdf\\_files/WHA69/A69\\_R10-en.pdf](http://apps.who.int/gb/ebwha/pdf_files/WHA69/A69_R10-en.pdf), Annex (accessed 17 March 2017).

<sup>2</sup> See also document EBPBAC26/3.

wide United Nations strategy to combat climate change, in a manner consistent with the outcome of the twenty-first session of the Conference of the Parties to the United Nations Framework Convention on Climate Change (Paris, 30 November–1 December 2015).

**15. Review of the organizational ombudsman services across the United Nations system (document JIU/REP/2015/6).** JIU's recommendation 5 proposed that legislative bodies should make it possible for the ombudsman to report to them on systemic issues identified on a regular basis.

**16. Succession planning in the United Nations system organizations (document JIU/REP/2016/2).** JIU's recommendation 1 proposed that legislative/governing bodies should exercise their oversight role and examine the causes for the lack of, and/or delay in, the introduction of formal succession planning in their respective organizations, including the adequacy of current funding.

**17. Fraud prevention, detection and response in United Nations system organizations (document JIU/REP/2016/4).** JIU's recommendation 16 proposed that legislative and governing bodies 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. Reporting to WHO's governing bodies includes the relevant information from the annual report of the Independent Expert Oversight Advisory Committee, which is a standing item on its agenda.

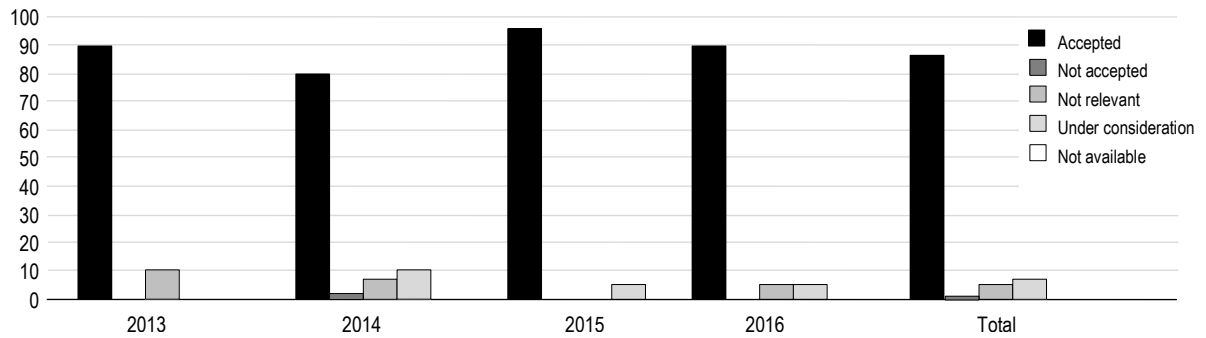
#### **ACTION BY THE PROGRAMME, BUDGET AND ADMINISTRATION COMMITTEE**

18. The Committee is invited to take note of this report and to consider the recommendations contained in the JIU reports requiring action by WHO legislative/governing bodies.

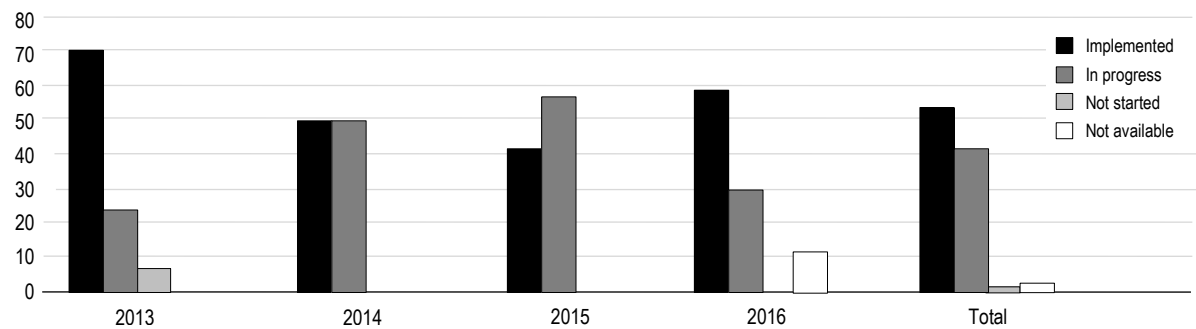
## ANNEX

### RATES OF ACCEPTANCE AND IMPLEMENTATION OF RECOMMENDATIONS BY PERIOD (PERCENTAGE)<sup>1</sup>

#### Acceptance



#### Implementation



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<sup>1</sup> Information extracted from the JIU web-based tracking system (accessed 23 February 2017).