



MOPAN COMMON APPROACH

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Appendices

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Appendix I Methodology

1. Introduction

1.1 Overview

The following presents the methodology used to conduct the MOPAN Common Approach in 2010. It is important to note that the methodology for the Common Approach has changed significantly in 2010 (in particular due to the introduction of the document review component). Due to these differences, comparisons of the results of this year with those from previous years should be done with caution.

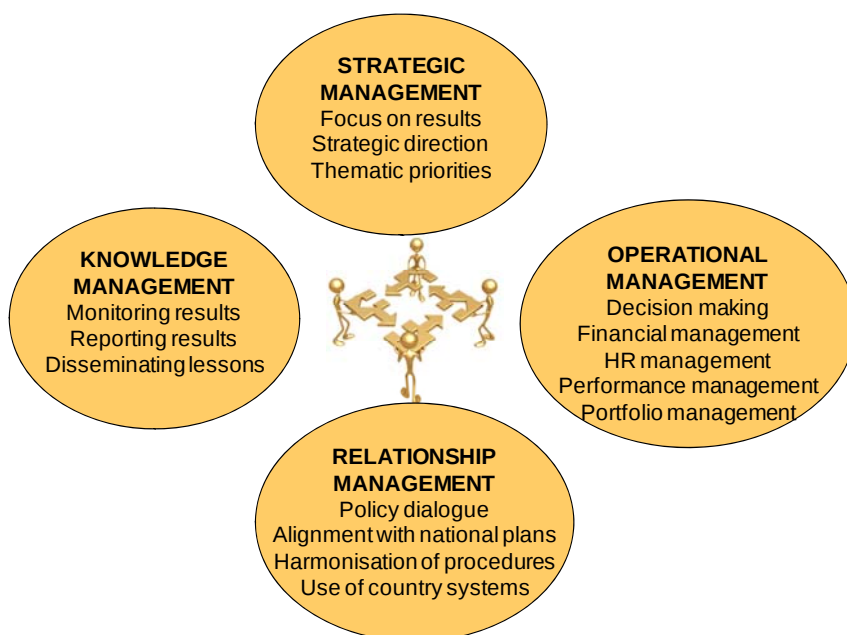
1.2 The MOPAN Common Approach Assessment Framework

MOPAN defines organisational effectiveness as the extent to which a multilateral organisation is organised to contribute to development results in the countries where it operates.

Using a survey of stakeholders and a document review, the MOPAN Common Approach examines organisational systems, practices, and behaviours that MOPAN believes are important for aid effectiveness and that are likely to contribute to results at the country level. The Common Approach framework groups these organisational capacities in four areas of performance:

- *strategic management*: developing and following strategies that reflect good practices in managing for development results;
- *operational management*: managing operations in a way that is performance oriented, thus ensuring organisational accountability for resources and results;
- *relationship management*: engaging in relationships with direct partners/clients and other donors at the country level in ways that contribute to aid effectiveness and that are aligned with the principles of the Paris Declaration; and
- *knowledge management*: developing feedback and reporting mechanisms and learning strategies that facilitate the sharing of knowledge and performance information.

Dimensions of organisational effectiveness in the MOPAN Common Approach



1.3 Indicators

Within each performance area (or quadrant), organisational effectiveness is described using several key performance indicators (KPIs) that are then measured in a series of micro-indicators (MIs).

In an initial mapping exercise of existing bilateral donor assessment tools in 2007, MOPAN identified some 250 indicators, many of which were overlapping. The Common Approach reduced these to 35 key performance indicators and 120 micro-indicators. In 2008, the indicators were further refined and tested and this led to the adoption in 2009 of 19 KPIs and 63 MIs for international financial institutions and 64 MIs for UN funds and programs. In 2010, the assessment included 19 KPIs and 68 MIs for international financial institutions and 69 MIs for UN Funds and Programs. The full list of MIs assessed in 2010 is provided in Appendix VI (KPI and MI Data by Quadrant).

1.4 Multilateral Organisation Selection Method

Each year MOPAN selects multilateral organisations for the Common Approach assessment on the basis of the following key criteria:

1. Size of contribution and percentage of contribution classified as Official Development Assistance (ODA)
2. Interest to all MOPAN members
3. Medium-Term Strategic Planning (or equivalent) and replenishment cycles. The organisations should be assessed by the beginning of the planning process or prior to the start of the replenishment negotiation process
4. MOPAN aims to assess institutions with the highest contributions on a 3-5 year cycle. The organisations include International Financial Institutions (IFI) and UN Funds, programs, and specialised agencies.

In 2010, the Asian Development Bank (ADB), United Nations Population Fund (UNFPA), World Health Organization (WHO), and International Fund for Agricultural Development (IFAD) were assessed.

1.5 Country Selection Method

Each year countries are selected for the Common Approach assessment on the basis of presence and availability of MOPAN members, no recent inclusion in the survey,¹ and the need for geographical spread.

The assessment in 2010 was conducted in Afghanistan, Benin, Colombia, Indonesia, Kenya, Nicaragua, Rwanda, Sri Lanka, Viet Nam and Zambia.

Country selection in 2010 included two Delivering as One (DAO) countries: Rwanda and Viet Nam. MOPAN reflected on whether the Common Approach assessment could be carried out in DAO countries and concluded that MOPAN should learn from the experiences of working in DAO pilot countries and that the analysis of responses in those countries should acknowledge the One UN context. Where relevant and feasible, data analysis and country level discussions on the data for UNFPA, WHO, and IFAD have taken this into account.

¹ Countries should not be surveyed by MOPAN in two consecutive years.

2. Survey

2.1 Overview

The MOPAN Common Approach gathers stakeholder perception data through a survey of MOPAN members (at headquarters and at the country level) and direct partners or clients of the multilateral organisations under review.

The main instrument for conducting the survey was Computer-Aided Web Interviewing (CAWI) through an online survey. Respondents were able to complete the web-based survey in English, French, or Spanish. Most of the respondents took the survey online.

When it was not possible for direct partners/clients to complete the survey online, off-line methods were used. Respondents could either fill out a paper-based survey, complete an electronic version of the survey in Microsoft Word that was sent by email, or participate in a structured interview either in person or by telephone. Consultants (independent of MOPAN) conducted all off-line surveys to ensure confidentiality.

Paper-based versions of the survey were made available in English, French, and Spanish. Direct partners/clients in Afghanistan, Indonesia and Viet Nam had the opportunity to complete the paper-based survey in local languages (Vietnamese, Pashto, Bahasa Indonesian). Among this respondent group, approximately 39 percent completed a paper-based or electronic version of the survey sent by email and 9 percent completed it via a structured interview.² The remainder completed the survey online.

The survey data were collected over a seven-week period in April and May 2010.

Respondent Types

To provide different perspectives on the multilateral organisations being assessed, MOPAN seeks the perceptions of three respondent groups: donors at headquarters (HQ) and at the country level (CO), and direct partners (DP) of multilateral organisations in developing countries. Respondents are considered qualified on the basis of their expertise: the survey targets specific, knowledgeable, individuals. They include:

- **Donor Headquarters Oversight (HQ):** Working for a (MOPAN) donor government, professional staff who share responsibility for overseeing / observing a multilateral organisation at the institutional level. These respondents may be based at the permanent mission of the multilateral organisation or in the donor capital.
- **Donor Country Office Oversight (CO):** Working for a (MOPAN) donor government, professional who shares responsibility for overseeing/observing a multilateral organisation at the country level.
- **Direct Partner/Client (DP):**³ Working for a national partner organisation (government or civil society) in the developing country, professional staff from organisations that receive some sort of direct transfer from the multilateral organisation or has direct interaction with it at country level. This could take the form of financial assistance, technical assistance, policy advice, equipment, supplies, etc.

² These approximate percentages are based on reports from local consultants in 7 of the 10 countries.

³ In the context of IFIs, these are referred to as “Clients.”

2.2 Sampling and Response Rates

Sampling

The Common Approach uses a purposive sampling method called 'expert sampling' in which potential respondents are identified either by MOPAN members or the multilateral organisations as having the basis for an expert opinion on the organisation being assessed. The identification process, which involved all MOPAN members in collaboration with the multilateral organisations assessed, resulted in a master list of 1276 names that defined the universe of potential respondents for all four organisations.

Individuals were invited to complete the survey for each organisation for which they had functional responsibility and sufficient knowledge.⁴ This was confirmed through a screening question that asked respondents to indicate their level of familiarity with the multilateral organisation assessed, using a scale from 1 (not at all familiar) to 5 (very familiar). Respondents could continue the survey only if they indicated they were familiar with the multilateral organisation (i.e., a rating of 2, 3, 4, or 5). The data on potential and actual respondents and their level of familiarity with the organisation are provided below.

Respondent Overview

Multilateral Organisation	Potential Survey Respondents	Actual Survey Respondents	Percentage of Respondents who reported a good level of familiarity with the organisation ⁵
ADB	186	105	88%
IFAD	350	162	79%
UNFPA	369	238	86%
WHO	371	208	82%
Total	1276	713	

Response Rate

Because each survey respondent could respond for more than one multilateral organisation, the master list of potential respondents provided a potential for 1276 opinions (as illustrated above in the total number of potential respondents for each organisation). The overall response rate, based on the total number of potential opinions, was 56 percent.⁶ Although the response rates varied considerably across organisations (from 46 percent for IFAD to 64 percent for UNFPA), response rates in the range of 50-60 percent are considered to be acceptable for a survey that targets respondents who need to have detailed knowledge in order to participate.

MOPAN set quotas (i.e., targets) for the percentage of respondents that would be considered satisfactory for each respondent group (i.e., donors at headquarters, donors in country offices, and direct partners/clients): 50 percent response rate among direct clients/partners of multilateral organisations in each survey country, and 75 percent response rate among MOPAN members in country offices and at headquarters. The target response rate for MOPAN members was higher as it was expected that they would have greater ownership of the process and thus more incentive to complete the survey. The target response rates for both groups were higher than those frequently used in international survey research. Despite follow-up efforts, MOPAN was unable to meet the quotas for the different respondent groups in some

⁴ Each individual was provided with a unique link that reflected the respondent type (HQ, CO, or DP) and the multilateral organisation(s) they had been assigned to. Some individuals, particularly among MOPAN members, completed surveys about more than one organisation.

⁵ This percentage includes only those who responded 3, 4 or 5 as their level of familiarity. Also note, these are un-weighted data.

⁶ Out of the 1276 potential opinions, 713 completed the survey.

cases. However, MOPAN was satisfied with the respondents' 'self-reported' level of familiarity with respect to each organisation. Section 1.2 under 'Respondents' of the organisational report provides response rates and quotas by respondent group.

2.3. Survey Instrument

Survey Customisation

The survey instrument was customised to reflect both the type of respondent and the type of multilateral organisation. The survey customisation stage included consultation with the multilateral organisations being assessed and other individuals (MOPAN members and external resources) who were familiar with these organisations.

A core set of questions was developed for all respondents and additional questions were designed for specific respondent groups (reflecting their functional responsibility or relationship with the organisations). For example, questions relating to corporate issues, such as reporting to the Executive Board, were asked only of donors at headquarters. Questions on country-specific issues, such as the use of country systems, were asked only of donors in-country and clients/direct partners of multilateral organisations.

In addition, micro-indicators that related to cross-cutting thematic priorities, for example, were adjusted to reflect the nature of the multilateral organisation.

The final customised survey for each multilateral organisation is presented in Appendix II.

Survey Instrument

At the beginning of the survey, respondents were invited to assess the overall internal effectiveness of the multilateral organisation and were asked two open-ended questions on their views of the organisation's overall strengths and areas for improvement. In addition, for each of the four dimensions of effectiveness, respondents were asked to identify the most important strategic element for the management of the organisation and were invited to provide additional comments.

The main part of the survey consisted of a series of closed-ended questions on the micro-indicators presented in groupings designed to reflect the key performance indicator (KPI) structure. Respondents were presented with a statement describing an organisational practice, system, or behaviour and asked to rate the performance of the multilateral organisation in this area as: 1 (Very Weak), 2 (Weak), 3 (Inadequate), 4 (Adequate), 5 (Strong), or 6 (Very Strong). These labels were defined for the respondents at the beginning of the survey as shown below:

- | | |
|-----------------|--|
| (6) Very strong | The multilateral organisation's system is "best practice" in this area. |
| (5) Strong | The multilateral organisation's system is more than acceptable yet without being "best practice" in this area. |
| (4) Adequate | The multilateral organisation's system is acceptable in this area. |
| (3) Inadequate | The multilateral organisation's system in this area has deficiencies that make it less than acceptable. |
| (2) Weak | The multilateral organisation has this system but there are important deficiencies. |
| (1) Very weak | The multilateral organisation does not have this system in place and this is a source of concern. |

2.4 Survey Data Analysis

SPSS Version 17.0 statistical software was used to analyse the data collected and calculate an overall mean score for each question (micro-indicator).⁷

Calculation of Mean Scores

The mean scores were calculated for each question (micro-indicator) and for each key performance indicator (KPI) by aggregating the scores for each micro-indicator (MI) within that KPI. For example, a KPI consisting of three micro-indicators that individually scored 2, 3, and 4 has a KPI mean of 3. A few of the MIs consist of more than one question. In these cases, the mean score was calculated for each question and then an average was calculated for the MI.

The resulting mean scores were interpreted according to band ranges outlined below. This system assigns mean scores (which potentially range from 1 to 6) into six bands. Any mean score below 3.5 is interpreted as, at best, inadequate. The findings presented in the report are based on this interpretation of the survey data.

Band Ranges and Descriptions

Band	Range of the mean scores	Rating	Definitions
1	1 to 1.49	Very Weak	The multilateral organisation does not have this system in place and this is a source of concern
2	1.50 to 2.49	Weak	The multilateral organisation has this system but there are important deficiencies.
3	2.50 to 3.49	Inadequate	The multilateral organisation's system in this area has deficiencies that make it less than acceptable.
4	3.50 to 4.49	Adequate	The multilateral organisation's system is acceptable in this area.
5	4.50 to 5.49	Strong	The multilateral organisation's system is more than acceptable yet without being "best practice" in this area.
6	5.50 to 6.00	Very Strong	The multilateral organisation's system is "best practice" in this area.

Other statistical analysis

Other characteristics of the data, including standard deviation and frequencies for each question, were calculated in order to analyse the data. Standard deviation, as a measure of dispersion in the data, provided indication of the level of similarity or divergence in opinions on topics covered in the survey among different respondents. Frequency distributions, generated in terms of percentages and absolute numbers, from both weighted and un-weighted data, provided richer detail on the layout of the data.

⁷ Some micro-indicators corresponded to more than one survey question. In this case, mean scores were calculated for each question but not for the micro-indicator itself. However, KPI mean scores were calculated applying equal weight to micro-indicators, not to individual questions.

In addition, statistical analysis was used to test the significance of differences observed across countries and respondent groups in responses to micro-indicator questions. Due to the ordinal nature of the data, non-parametric tests of significance (including Mann-Whitney U and Kruskal-Wallis tests as applicable) were used. These tests are also considered to be useful for analysing small samples.

Tests of significance were deemed to be useful in our analysis as they take account of both the magnitude of difference between groups and the dispersion internal to each group, so that differences occurring by chance are ruled out as non-significant. In our analysis, judgment was suspended on groups whose difference was found to be non-statistically significant: as it is possible that no statistical difference exists, or that the data were not sufficient to provide evidence for the difference.⁸ Given the sizes of the samples, the comparisons across countries and respondent groups are provided as indicative information that can be used as a basis for discussion.

Analysis of Open-Ended Questions

Responses to open-ended questions were analysed using a content analysis technique in which codes were not pre-defined, but were based on the themes emerging from the comments. Then, the frequency of occurrence of each theme was calculated. Section 3.4 of the organisational reports summarises findings based on the data from the open-ended questions on areas of strength and areas for improvement for the multilateral organisation. Respondent comments on the different areas of the survey were also analysed in order to put the survey responses into context. Respondent quotes were drawn from open-ended questions to illustrate tendencies in the ratings and the comments, wherever possible illustrating the positive and negative points of view provided on the theme.

Don't Know Responses

For each question, respondents had the option to indicate that they 'don't know' and these responses were not incorporated into the calculation of mean scores. As a result, some mean scores are based on fewer responses than others.⁹ The respondent base size and rate of 'don't know' responses by KPI are provided in Appendix IV.

Weighting Factors

Due to the fact that the numbers of respondents answering differs – both between respondent types and between survey countries – a weighting factor was applied to the survey data based on the survey response rate. This weighting was designed to give equal weight to:

- The views of each of the three respondent groups;¹⁰
- The countries where the survey took place; and
- Donors in-country and direct partners within each country where the survey took place.¹¹

⁸ This is particularly true of tests involving groups of small sample sizes.

⁹ Although this reduces the respondent base, the results can still be taken to be indicative of perceptions of those who provided an answer and are presented as a basis for discussion between MOPAN and the multilateral organisation.

¹⁰ This is via the application of individual weights, whereby in-country donors, headquarter-level donors, and direct partners are given different weights in order to account for the fact that different numbers of each group were interviewed.

¹¹ In-country donor and direct partner weights are also determined by the total number of respondents from each group who answered in their country, relative to the total number answering in other countries. Thus, a respondent in a country with a lower number of respondents carries a higher individual weight than the equivalent respondent from a country with a higher number of respondents.

The multilateral organisation weight factor was calculated based on the following general equation. In each case, the variables refer to one multilateral organisation (each organisation's weight is calculated independently of those of other organisations).

R = number of respondent groups in the survey sample (for one organisation)

C = number of countries in the survey sample (for one multilateral organisation)

P = total number of respondents (for one multilateral organisation)

G = number of respondents in a particular country/respondent group unit (for one multilateral organisation)

W = weight factor for a given unit (for one multilateral organisation)

The general equation for weighting is:

$$W = \frac{P}{RCG}$$

For 2010, ADB had four countries in its sample, while the rest of the multilateral organisations (UNFPA, WHO and IFAD) had ten. In all cases, there were three respondent groups (HQ, CO and DP).

For HQ respondents, there is no country value. Therefore, for the HQ unit the weight factor is equal to:

$$W = \frac{P}{3G}$$

For CO and DP respondents, for UNFPA, WHO and IFAD the weight factor is equal to:

$$W = \frac{P}{3 \times 10 \times G}$$

For CO and DP respondents, for ADB, the weight factor is equal to:

$$W = \frac{P}{3 \times 4 \times G}$$

For example, if there are 250 total respondents for UNFPA, and 10 DP respondents in Viet Nam for that multilateral organisation, the weighting for DPs in Viet Nam would be:

$$W = \frac{250}{3 \times 10 \times 10}$$
$$W = 0.83$$

This weight factor is applied uniformly to all quantitative responses of each individual in that unit. Each response to each question is multiplied by the weight factor calculated above.

To illustrate the above:

- If fewer MOPAN headquarter than country office respondents answered on a particular multilateral organisation, then each headquarter respondent was relatively 'up-weighted' and each country office respondent relatively 'down-weighted' to ensure parity between those two groups (in practice, this was carried out to ensure parity between the three respondent groups);
- If more respondents of a certain respondent type in survey country X answered on a particular multilateral organisation than in survey country Y, then respondents in survey country Y were relatively 'up-weighted' and respondents in survey country X were relatively 'down-weighted'.

- If in-country X more CO than DP respondents answered on a particular multilateral organisation, then each DP respondent was relatively 'up-weighted' and each CO respondent relatively 'down-weighted'.

The weighting scheme ensures that when analysing a multilateral organisation at the *overall level*, no single respondent group or survey country is over-represented. It also ensures that when analysing a multilateral organisation at the *country level* there is equal representation of Country Officers and Direct Partners.

Weighted figures are used:

- In the multilateral organisation reports: everywhere unless otherwise stated.
- In the summaries of results for the multilateral organisation in each of the countries surveyed : overall means for the multilateral organisation within that country (i.e., not respondent group means)

3. Document Review

3.1 Overview

Through an examination of publicly available documents,¹² the MOPAN document review explored evidence that the multilateral organisations have the systems that MOPAN considers to be important factors in an organisation's internal effectiveness.

The document review considered three types of documents:

- Multilateral organisation documents relevant to the assessment of the MOPAN micro-indicators. The organisations helped to identify these documents.
- Organisational reviews or assessments (external or internal) about the organisation's performance on the dimensions of the MOPAN framework (strategic management, operational management, relationship management and knowledge management). These studies were either found on the organisation's website or provided by the organisation.
- External assessments such as the Survey on Monitoring the Paris Declaration (2008), the Common Performance Assessment (COMPAS) report (2008), and previous MOPAN surveys.¹³

3.2 Document Sampling

The multilateral organisations selected for review represent a wide variety of organisational structures, processes, and practices – which makes it challenging to create a generic sampling strategy. However, the collection of documents followed a number of overall principles to ensure consistency and focus in the sampling process.

All documents, regardless of type or level within the organisation, were approved by the relevant authority (e.g., organisation-wide documents were usually approved by the multilateral organisation's Executive Management or Board).¹⁴

¹² Documents are considered to be "publicly available" if the organisations are able to provide them upon request for the purposes of assessing the micro-indicators.

¹³ If data from these sources were not available for the multilateral organisations participating in this year's survey, either an alternate approach was developed or the micro-indicators were not assessed.

¹⁴ This was intended to ensure that documents reviewed were final documents (rather than drafts) and that they were providing guidance for organisational behaviour.

All documents (including policies, guidelines, strategies, thematic documents and web site information) were selected at least in part based on the “type-specific” and “level-specific requirements” noted below.

a) Type-specific requirements

The following requirements apply to policies, guidelines, strategies, thematic documents, or web site information at any level of the organisation. These documents were also subject to the “level-specific requirements” listed in the following subsection.

- Policies or guidelines, at any level within the multilateral organisation, were selected only if they were currently in force as of the year of assessment. In most cases, only one policy or guideline was selected per organisational unit (i.e., country, region, or the organisation as a whole, depending on the micro-indicator). For organisation-wide policies, only one document was selected in total.
- Strategies, regardless of level within the multilateral organisation, were selected only if they were being implemented within the year of assessment. For each MI, normally only one strategy was selected per organisational unit (although two were selected in some instances, if for example the multilateral organisation has both a medium-term and a long-term strategy).
- Thematic documents, including strategies, plans and reports, regardless of the level within the multilateral organisation, were selected based on a principle of reviewing a mix of thematic areas (i.e., two thematic documents covering the same or similar thematic areas will not both be selected). For each MI, up to five thematic documents were selected per organisational unit.
- Any information presented on the multilateral organisation's web site (i.e., the text from a page on this site, not a downloadable document available on the site) was retrieved within the year of assessment, and was assumed to be current unless the web page itself stated otherwise.

b) Level-specific requirements

For all other types of documents, a maximum of five documents per organisational unit were selected based on the level-specific requirements below.

- All documents (except for policies, guidelines and strategies) were published within the following timelines:
 - Project/program level documents: the current or previous year
 - Country, regional, or organisation-wide documents: the past three years inclusive of the year of assessment
- All documents from country level and project/program level were subject to the following country sampling methods. For each MI, up to five countries out of the 10 countries surveyed by MOPAN in 2010 were selected for the sample, based on the organisation's Official Development Assistance (ODA) to sample countries.¹⁵ For project or program level documents, all relevant documents within the countries selected in the above manner were subject to review.¹⁶

¹⁵ The data on ODA were drawn from OECD Creditor Reporting system (CRS). ODA data were not available for WHO. Because of this, and in recognition of the distinct organisational and management culture in each regional office of WHO, the country selection is as follows: Afghanistan (EMRO); Colombia (AMRO/PAHO), Indonesia (SEARO); Kenya (AFRO); Viet Nam (WPRO).

¹⁶ The Asian Development Bank was the exception because all four countries participating in the assessment were considered (Afghanistan, Indonesia, Sri Lanka, and Viet Nam).

The countries selected for document review in the 2010 assessment were as follows:

ADB:	Afghanistan, Indonesia, Sri Lanka and Viet Nam
IFAD:	Kenya, Rwanda, Nicaragua, Indonesia and Viet Nam
UNFPA:	Kenya, Zambia, Nicaragua, Afghanistan and Indonesia
WHO:	Kenya, Colombia, Afghanistan, Indonesia and Viet Nam

When specific MIs required a sample of sector strategies, country strategies, or project level documentation, a specific sampling approach was developed and tailored for each of the multilateral organisations.

3.3 Document Collection

The collection of documents followed the steps outlined below, although it was not a linear process:

- Initial document research on the website of the multilateral organisation;
- Collection of COMPAS and Paris Declaration Survey Data;
- Consultation with the multilateral organisation, who reviewed and refined the initial data set (through the MOPAN Institutional Lead);
- Finalisation of document list.

Once the document list was finalised and the document review commenced, further documentation needed to fill any gaps in information for certain indicators was requested from the multilateral organisation. If the documents obtained from the third request did not contain the information needed, the consultant team made the assessment based on the information available.

Other External Assessments

As noted above, the document review included a review of other external assessments.

- **Common Performance Assessment System (COMPAS) report, 2008 and 2007:** COMPAS provides a framework through which the multilateral development banks (MDBs) can track their capacities to manage for development results (MfDR). The annual COMPAS report provides data in eight categories that are relevant to the MDBs' implementation of the MfDR agenda. The data are gathered by internal management units in the MDBs, generally those that are supporting the implementation of MfDR. For the ADB and IFAD assessments, MOPAN drew on the following indicators from COMPAS report¹⁷ in order to assess five of the micro-indicators:
 - Subcategory 3. Allocation of Concessional Resources. Amount and percentage of total concessional lending resources allocated on the basis of performance
 - Subcategory 4e: Portfolio risk management (ii) Proactivity index
 - Category 4g: Project ex-post evaluation. Number of projects independently reviewed ex-post during the previous year, as a percent of the average number of projects completed annually during the last five years.

¹⁷ For most indicators the source is the 2008 COMPAS report, with one exception. The COMPAS Indicator Subcategory 5b changed between 2007 and 2008, from a focus on management uptake of evaluation results to a question that asks about the organisation's system for capturing lessons from project evaluations and applying them to new projects. Since there is a MOPAN micro-indicator that is concerned with management uptake of evaluation recommendations, as a data source the indicator from the 2007 report was used, complemented with other data (if available) from the organisation.

- Subcategory 5b: Evaluation of operational experience. Management uptake of evaluation recommendations as reported to Executive Boards
- Category 6b. Results-focused Human Resources Management. Emphasising results-related efforts and or/achievements while assessing operational staff performance
- **Survey on Monitoring the Paris Declaration, 2008.** Since the Paris Declaration on Aid Effectiveness was signed in 2005, two monitoring surveys and an early evaluation have been carried out to assess progress on the agreed indicators. The monitoring surveys, managed by the OECD, highlight areas in which countries and organisations may be falling short in reaching their established targets. Since eight of the MOPAN indicators are based on the Paris Declaration indicators, the assessment looks at the data provided in Appendix C: Donor Data, for the following indicators¹⁸:
 - Indicator 3: Aid flows aligned on national procedures
 - Indicator 4: Strengthen capacity by co-ordinated support
 - Indicator 5 a and b. Use of country public financial systems and use of country procurement systems
 - Indicator 6: Strengthen capacity by avoiding parallel implementation structures
 - Indicator 7: Aid is more predictable
 - Indicator 9: Use of common arrangements or procedures
 - Indicator 10a: Joint missions
 - Indicator 10b: Joint analytical work

The OECD survey data were available for ADB and IFAD. ADB also conducts its own annual survey to track progress on these indicators; because ADB data were more recent, ADB reports were used for the assessment. The OECD survey reports data for the United Nations as a whole, thus the consultant team relied on UN Funds and Programs to provide their data as input for these indicators.

3.4 Document Analysis

In 2010, the multilateral organisations were assessed on relevant micro-indicators in the Common Approach document review framework.¹⁹ (The list of MIs assessed through document review is provided in [Appendix VI](#).) The document review ratings build on the definitions and scale used in the survey, as described in section 2.1 above.²⁰ The document review ratings ranged from 1 (Very Weak) to 6 (Very Strong).

¹⁸ In general, the assessment draws on the data from the “Average Country Ratio – All Countries”, unless it is not available.

¹⁹ Some MOPAN MIs were not identified for document review. For some organisations, document review on certain MIs was not relevant given the type of indicator (for example, conditionality in the case of UN organisations) or the source of data identified (COMPAS reports).

²⁰ For document review, however, the definition of “Very Weak” is expanded to mean that “the multilateral organisation does not have this system in place and this is a source of concern / or the organisation has no document that can provide evidence of such a system being in place.”

For most micro-indicators, five criteria were established which, taken together, were considered to represent the best practice in that topic area. Each criterion was designed as a yes/no alternative and each “yes” answer counted as one point in the rating. Ratings were arrived at by totalling the number of criteria met, as shown in the following table. The text box to the right shows an example of the criteria used for the document review. These criteria are for micro-indicator I-2A: “The MO’s organisation wide strategy is based on a clear definition of mandate.”

Example of document review criteria

From MI I-2A (The MO’s organisation wide strategy is based on a clear definition of mandate):

1. A top-level statement of the MO mandate (non-IFI) or articles of agreement (IFI) exists
2. The organisational strategic plan articulates goals & focus priorities
3. The organisational strategic plan mentions the MO’s mandate/articles of agreement
4. (If first two criteria are met) there is a link, explicit or implicit, between these goals and focus priorities to the organisation’s mandate/articles of agreement
5. (If first three criteria are met) there is an explicit link between these goals and focus priorities to the organisation’s mandate/articles of agreement

Document Review Criteria and Rating

Number of criteria met	Descriptors	Definitions
No criteria met (or required document(s) do not exist)	Very Weak	The multilateral organisation does not have this system in place and this is a source of concern/ or the multilateral organisation has no document that provides evidence of such a system being in place
One criterion met	Weak	The multilateral organisation has this system but there are important deficiencies.
Two criteria met	Inadequate	The multilateral organisation’s system in this area has deficiencies that make it less than acceptable.
Three criteria met	Adequate	The multilateral organisation’s system is acceptable in this area.
Four criteria met	Strong	The multilateral organisation’s system is more than acceptable yet without being “best practice” in this area.
All five criteria met	Very Strong	The multilateral organisation’s system is “best practice” in this area.

Some micro-indicators, such as those using Paris Declaration Survey data as the primary data source, followed a different rating method. In these cases, ratings were established on a case-by-case basis through the delineation of percentage ranges. The percentage ranges reflected the perspective of MOPAN with respect to what should be considered “Strong” performance in relation to the targets established by the Paris Declaration (meeting the Paris Declaration target, for example, was considered to be “Strong”).

Ratings for key performance indicators (KPIs) were based solely on the ratings for the component micro-indicators in each KPI. Each KPI rating was calculated by taking the arithmetic mean of all micro-indicator ratings in that KPI, rounded to the nearest whole number. This number was given the appropriate descriptor. In cases where the micro-indicator ratings for one key performance indicator were highly divergent (i.e., if there were two micro-indicators,

and one was rated as “very weak” while the other was rated as “very strong”), this was noted in the narrative of the report.

Content Analysis

Documents were reviewed by content analysis based on the themes of the micro-indicators. Specific criteria for assessing the content of documents were developed, based on existing standards and guidelines for each of the indicator areas (for example, any UNEG or OECD-DAC guidelines), on MOPAN identification of key aspects to consider, and on the input of subject-matter specialists.

The analysis included an examination of four broad areas:

- **Quality:** Documents were assessed in terms of their content, and in particular for the presence or absence of particular items or characteristics noted in standards as best practice.
- **Use:** While difficult to assess by document review, some proxy indicators for the use or implementation of a document were examined, such as evidence from budget documents that a certain policy or priority area was being financed, or evidence from evaluations that showed implementation of a policy or priority area.
- **Consistency:** Where possible, several documents of the same type were examined (such as country strategies in different countries) to assess the extent to which criteria were met consistently across the organisation.
- **Improvement over time:** In some cases, documents were examined over several years to assess the extent to which progress could be seen over time.

4. Basis for Judgment

In the past, the basis for judgment in MOPAN assessments was the perceptions of survey respondents. With the introduction of document review, judgments now draw on a variety of sources that can be compared and triangulated.

- **Perceptions:** Survey respondent perceptions are still an important component of the judgments on multilateral organisation performance.
- **Criteria:** The document review process was guided by specific criteria for assessing the content of documents in relation to the micro-indicators. These criteria draw on existing standards where available (e.g., OECD-DAC, UNEG or other standards) and are adapted to the needs of the MOPAN Common Approach. See sidebar for example.

To the extent possible, the assessment standards and criteria are framed in a way that reflects the differences between the multilateral organisations under review. This helps to ensure that judgements reflect the nature of the organisation and its authorising environment.

Triangulation

Triangulation is the process of using multiple data sources, data collection methods, and/or theories to validate research findings. Triangulation helps eliminate bias, and detect errors or anomalies.²¹ In the Common Approach, triangulation was done in a number of ways:

- Document review ratings were not combined with survey results, but are presented separately to illustrate convergence with or divergence from survey results.
- Other assessments of the organisations were reviewed to help to validate or question the findings.

²¹ Miles, M. B. & Huberman, A. M. (1994). *Qualitative data analysis* (2nd ed.). Thousand Oaks, CA: Sage

- The findings were widely vetted within the MOPAN network and revised based on feedback from members.
- The reports are shared with the multilateral organisations and their review constitutes the final stage of the data collection process.

The MOPAN reports gain trustworthiness through the multiple reviews and validation processes that are carried out by members of the network and by the multilateral organisations themselves.

5. Strengths and Limitations of the Common Approach

Strengths

- The MOPAN Common Approach is based on the core elements of existing bilateral assessment tools.
- It is derived from, and meant to replace, seven existing bilateral assessment tools. It is also meant to forestall the development of other assessment approaches.
- It seeks perceptual information from two different perspectives: MOPAN members (both at headquarters and country level) and direct partners/clients of multilateral organisations. This is in line with the commitments made by donors to the Paris Declaration on Aid Effectiveness and the Accra Agenda for Action regarding harmonisation, partner voice, and mutual accountability.
- It complements perception data with document review, thus adding an additional data source. This should enhance the analysis and basis for discussion on agency effectiveness, and increase the validity of the methodology through triangulation of data sources.
- The reports undergo a validation process, including multiple reviews by MOPAN members.
- MOPAN strives to have some degree of consistency across its survey questions and document review for each of the multilateral organisations, while allowing for certain customisation to account for differences between the types of multilateral organisations.

Limitations

As a learning organisation, MOPAN will continue to make improvements in the methodology based on the experience in each year of implementation. The following limitations should be taken into consideration when reading the MOPAN reports.

MOPAN Framework

- The countries were selected based on established MOPAN criteria and comprise only a small proportion of each institution's total portfolio of partner/clients, thus limiting broader generalisations.²²
- The Common Approach indicators are designed for multilateral organisations that have operations in the field. For organisations that have limited field presence or that have regional structures in addition to headquarters and country operations, there is a need for greater nuance in the analysis.

²² MOPAN criteria for country selection include: presence and availability of MOPAN members, no recent inclusion in the survey, and the need for geographical spread, with a bias toward Asian countries given that the ADB was assessed in 2010.

Sources of Data

- The Common Approach is based on a perception survey and document review; it does not include interviews, focus groups, and other data collection methods that can help to analyse the current state of results-oriented behaviours, systems, and procedures in the organisation. It produces numerical scores or ratings that appear to have a high degree of precision, yet can only provide indications of how an organisation is doing and a basis for discussion among MOPAN members, the multilateral organisation, and the organisation's direct partners/clients.
- The MOPAN Common Approach asks MOPAN members and the organisations assessed to identify the most relevant individuals to complete the survey. MOPAN does not have a way of determining if the most knowledgeable and qualified individuals are the ones completing the survey.
- Because one of MOPAN's intentions is to merge existing assessment tools into one, and to forestall the development of others, the survey instrument is still quite long. If documents prove to be an appropriate source of data for some of the MIs, MOPAN may consider eliminating some survey questions in the future.
- Some questions, particularly those referring to the internal operations of the organisations, are challenging for respondents to answer and were characterised by high levels of respondents answering 'don't know.'
- Perception data has several potential limitations, one of which is 'central tendency bias', or the tendency of respondents to avoid the extreme points of the scale.
- In some countries, MOPAN was either just short or systematically short of the quotas set for the different respondent groups. There were challenges in getting responses from high ranking officials and in using an online survey as a primary method for collecting data from direct partners/clients. In some countries, such as Sri Lanka and Rwanda, the timing was also an issue due to general elections and/or public holidays during the survey period.
- The document review was limited by the availability of documents in certain indicator areas related to the internal procedures of the organisations (e.g., on audit and human resource policies).

Sampling

- The countries surveyed in the 2010 assessment, which were selected based on established MOPAN criteria,²³ comprise only a small proportion of WHO's programming. As a result of this sampling approach, no country from WHO Regional Office in Europe (EURO) was included among the ten countries.
- Similarly, the selection of countries also determined the universe of country programming documents reviewed. A sample of five countries, representing different geographic regions, was selected. As the review of documents was based on the five-country sample, it may not reflect the approach used in all WHO country offices.

²³ MOPAN criteria for country selection include: presence and availability of MOPAN members, no recent inclusion in the survey, and the need for geographical spread, with a bias toward countries in Asia given that the Asian Development Bank (ADB) was assessed in 2010.

Data Analysis

- While the document review can comment on the contents of a document, it cannot assess the extent to which the spirit of that document has been implemented within the organisation (unless implementation is documented elsewhere).
- 2010 has been the first year a document review was carried out and it is therefore likely to require further refinement.

Basis for judgment

- For many of the MOPAN indicators there are no pre-established standards or criteria for what constitutes good practice for a multilateral organisation. As a result, many of the criteria for the review of the content of documents have been developed for MOPAN to meet the needs of this assessment process.
- In the document review component, low ratings may be due to the lack of appropriate documents available in relation to the assessment criteria.

Despite the limitations, in general, we contend that the data presents a reasonable picture of the systems associated with the internal effectiveness of the multilateral organisations.

Appendix II MOPAN Common Approach Survey for WHO, 2010

Note: This is the survey used to assess the WHO in 2010. It contains all of the possible questions, but not all questions were asked of all respondent groups.

[Introduction]

Your time spent in participating in the MOPAN Common Approach is very much appreciated.

[1 - Agency - multiple]

Which of the following Multilateral Organisations will you be able to assess?

- ☐ 1. ADB/BAD/BAsD
- ☐ 2. IFAD/FIDA
- ☐ 3. UNFPA/FNUAP/FPNU
- ☐ 4. WHO/OMS

[2 - Level - single]

Samplegroup - Autoanswered

- ☐ 1. HQ
- ☐ 2. CO
- ☐ 3. DP

[WHO]

Thank you for agreeing to participate in the 2010 MOPAN Common Approach survey.

In responding to the survey, feel free to base your answers on your perceptions of the World Health Organization (WHO), as well as your knowledge. Your perceptions may be shaped by anything you have seen, heard about or read, and on your general impressions. Respondents in Latin America are expected to respond based on their experience with the Pan American Health Organization (PAHO), the regional office of the WHO.

Please be assured that your answers will remain confidential. Any comments you make will not be attributable to you, or be used in a way which might identify you or your organisation as the author of these comments. Findings will be reported in aggregate form only.

The survey should take around 30 minutes

to complete. Note, however, it may take longer depending on the answers you give.

Please Note: It would be ideal if you would complete the survey in one session; however, if you would like to continue the survey later, you can do this at any point by closing the internet browser that displays the survey (i.e. this window). When you would like to continue, you can return to the point that you left off by clicking on the original link to the survey included in our e-mail.

If at any point you have questions about this survey please contact
mopan2010@capacent.com.

[294 - single]

Which of the following best describes how often you, in your professional role, have contact with the WHO?

- ☐ 1. Daily
- ☐ 2. Weekly
- ☐ 3. Monthly
- ☐ 4. A few times per year or less
- ☐ 5. Never

[Screener question]

[295 - single]

You have been identified to assess the organisational practices, systems and behaviours of the World Health Organisation. However, before answering the questionnaire we would like to know how familiar you are with the WHO and the way it works. Please use the scale below to indicate your degree of familiarity, where 5 is 'very familiar' and 1 is 'not at all familiar'.

- ☐ 1. 5 - Very familiar
- ☐ 2. 4
- ☐ 3. 3
- ☐ 4. 2
- ☐ 5. 1 - Not at all familiar

[Overall Performance]

Now we would like to ask you a few questions about the effectiveness of the WHO, its strengths and its areas for improvement.

[296 - single]

Thinking about WHO, and the way it operates, what do you consider to be its greatest strength?

- ☐ 1. Please type your answer into the box below.

[297 - single]

And still thinking about WHO and the way it operates, what do you consider to be the area where it most needs improvement?

- ☐ 1. Please type your answer into the box below.

[298 - single]

How would you rate the overall internal **effectiveness** of WHO?

Please use the scale below, where 5 means "very effective" and 1 means "not effective at all."

DEFINITION: **Effectiveness** = 'being organised to support clients/partners to produce and deliver expected results.'

- ☐ 1. 1 - Not effective at all
☐ 2. 2
☐ 3. 3
☐ 4. 4
☐ 5. 5 - Very effective
☐ 6. Don't Know

Now we would like to ask you some questions about specific aspects of the performance of WHO. In thinking about these questions, please consider all you know about WHO.

[Performance areas]

You will see a series of statements that describe the practices, systems or behaviours in any Multilateral Organisation. Please rate how you think the WHO performs in those areas. You will see a scale from 1 to 6 where 6 means that it is "very strong", 5 means it is "strong", 4 means it is "adequate", 3 means it is "inadequate", 2 means it is "weak" and 1 means that it is "very weak." The scale will stay the same for all statements.

DEFINITION OF THE SCALE USED IN THE QUESTIONNAIRE

Very strong = The WHO's practice, behaviour or system is "best practice" in this area.

Strong = The WHO's practice, behaviour or system is more than acceptable yet without being "best practice" in this area.

Adequate = The WHO's practice, behaviour or system is acceptable in this area.

Inadequate = The WHO's practice, behaviour or system in this area has deficiencies that make it less than acceptable.

Weak = The WHO has this practice, behaviour or system, but there are important deficiencies.

Very weak = The WHO does not have this practice, behaviour or system in place and this is a source of concern.

[Strategic Management]

First of all we would like to ask you about Strategic Management, and specifically organisational governance. According to what you know about WHO's governance, how do you think WHO performs in relation to the practices, systems or behaviours described in the following statement(s)? All words typed in bold have definitions - see definitions below the questions.

[Corporate Governance]

[299 - single]

WHO's institutional culture reinforces a focus on results

- ☐ 1. 1 - Very weak
☐ 2. 2 - Weak
☐ 3. 3 - Inadequate
☐ 4. 4 - Adequate
☐ 5. 5 - Strong
☐ 6. 6 - Very strong
☐ 7. Don't Know

[300 - single]

WHO's institutional culture is **direct-partner** focused

(SEE DEFINITION BELOW)

- ☐ 1. 1 - Very weak
☐ 2. 2 - Weak
☐ 3. 3 - Inadequate
☐ 4. 4 - Adequate
☐ 5. 5 - Strong
☐ 6. 6 - Very strong
☐ 7. Don't Know

[301 - single]

WHO's senior management shows leadership on **results management** (SEE DEFINITION BELOW)

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[302 - single]

WHO makes **key documents** easily accessible to the public (SEE DEFINITION BELOW)

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

DEFINITION: **Direct partner** = organisations that receive a direct transfer of finances or technical assistance from a Multilateral Organisation - such as national government departments, civil society organisations and private entities

DEFINITION: **Results management** = management for results, or Results-Based Management (RBM). That is, managing and implementing aid in a way that focuses on the desired results and uses information to improve decision-making

DEFINITION: **Key documents** = documents that describe strategies at organisation-wide, country, and / or project/program level

[303 - single]

Do you have any additional comments on WHO's corporate governance?

- ☐ 1. Yes, note:
- ☐ 2. No

[M2_Corporate Strategy]

Still thinking about Strategic Management, but now about organisation-wide strategies, how do you think WHO performs in relation to the practices, systems or behaviours

described in each of the following statements?

All words typed in bold have definitions - see definitions below the questions.

[304 - single]

WHO has a clear mandate

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[305 - single]

WHO's organisation-wide **strategy/strategies** are aligned with the mandate

(SEE DEFINITION BELOW)

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[306 - single]

WHO ensures the application of results management across the organisation.

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[307 - single]

WHO's strategies contain **frameworks of expected management and development results**.

(SEE DEFINITION BELOW)

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

DEFINITION: **strategy/strategies** = high level document(s) that guide and direct the operations of the MO.

DEFINITION: frameworks of expected management and development results = Frameworks of expected results are usually tables that contain statements about expected achievements at different levels. The results statements show causal links between activities, outputs, outcomes, and impacts. These results frameworks will have links to country outcomes as set out in country strategies.

[308 - single]

WHO's **results frameworks** in organisation-wide strategies have **causal links** from outputs through to outcomes and impact.

(SEE DEFINITION BELOW)

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[309 - single]

WHO's **results frameworks** in strategies include measurable indicators at output and outcome levels

(SEE DEFINITION BELOW)

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

DEFINITION: Causal links = A fundamental principle of results based management (RBM) / managing for development results (MfDR) is that to be used for results management, results statements must be articulated in a framework or results chain, with clear causal linkages between each level of results. This linkage is a performance relationship between the results statements.

DEFINITION: Results frameworks = Frameworks of expected results are usually tables that contain statements about expected achievements at different levels. The results statements show causal links between activities, outputs, outcomes, and

impacts. These results frameworks will have links to country outcomes as set out in country strategies.

[M3 Corporate Strategy]

Now we would like you to think about how WHO approaches 'cross-cutting' priorities. According to what you know about WHO, how do you think it performs in relation to the practices, systems or behaviours described in each of the following statements?

[310 - single]

WHO sufficiently mainstreams gender equality in its programmatic work

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[311 - single]

WHO sufficiently mainstreams environment in its programmatic work

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[312 - single]

WHO sufficiently promotes the principles of good governance in its work.

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[313 - single]

WHO sufficiently applies human rights-based approaches to development in its programmatic work

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong

☐ 7. Don't Know

[314 - single]

WHO sufficiently mainstreams HIV/AIDS in its programmatic work

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[315 - single]

Do you have any additional comments on WHO's corporate strategy?

- ☐ 1. Yes, note:
- ☐ 2. No

[M4_Strategies - Country]

Now we would like to ask you about strategies at the country, sector and thematic levels. Thinking now about WHO's strategies, how do you think WHO performs in relation to the practices, systems or behaviours described in each of the following statements?

All words typed in bold have definitions - see definitions below the questions.

[316 - single]

WHO has results frameworks that link results across project, program, sector and **country levels**

(SEE DEFINITION BELOW)

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[317 - single]

WHO's results frameworks include indicators at all levels (country, sector, and project/program)

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[318 - single]

WHO country strategies contain statements of expected results consistent with those in the country's **national development strategies**

(SEE DEFINITION BELOW)

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[319 - single]

WHO consults with **beneficiaries** to develop its expected results
(SEE DEFINITION BELOW)

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[320 - single]

WHO's country strategies include results for the thematic areas it defines as cross-cutting priorities (e.g., gender equality, environment, governance, Human Rights, HIV/AIDS)

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

DEFINITION: Country levels = At the country level, this question may refer to an organisation's country strategy

DEFINITION: National development strategies = National development strategies are plans or strategies that set out the country's national development priorities

DEFINITION: Beneficiaries = individuals, groups, or organisations who are the intended end recipients of the benefits of development interventions

[321 - single]

Do you have any additional comments on WHO's strategies?

- ☐ 1. Yes, note:
- ☐ 2. No

[322 - single]

Which of the following areas do you consider to be the most important for the strategic management of the WHO? Choose the one that you find most important:

- ☐ 1. Direction for results provided by its Executive management
- ☐ 2. Focus on results in its organisational strategies
- ☐ 3. Focus on the cross-cutting thematic priorities identified in its strategic framework

[323 - single]

Which of the following areas do you consider to be the most important for the strategic management of the WHO? Choose the one that you find most important:

- ☐ 1. Direction for results provided by its Executive management
- ☐ 2. Focus on the cross-cutting thematic priorities identified in its strategic framework
- ☐ 3. A results focus in its country strategies

[324 - single]

Is there anything further you would like to say about WHO's Strategic Management? This could be anything related to the statements you have rated, or anything else you would like us to know.

- ☐ 1. Yes, please type your answer into the box below.
- ☐ 2. No

[Operational Management]

According to what you know about WHO how do you think WHO performs in relation to the practices, systems or behaviours described in each of the following statements?

All words typed in bold have definitions - see definitions below the questions.

Financial Resources and Risk Management

[325 - single]

WHO publishes its criteria for allocating **core budget** resources (SEE DEFINITION BELOW)

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[326 - single]

WHO allocates **core budget** resources according to the published criteria (SEE DEFINITION BELOW)

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

DEFINITION: **Core budget** = The focus is on the global system for resource allocation

[Financial Resources 1]

Financial Resources and Risk Management

According to what you know about WHO, how do you think WHO performs in relation to the practices, systems or behaviours described in each of the following statements?

[327 - single]

WHO links core budget allocations to expected results

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[328 - single]

When WHO reports on results they include the amounts disbursed to achieve those results

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[Financial Resources 2]

Financial Resources and Risk Management

Still thinking about financial resources and risk management:

According to what you know about WHO, how do you think WHO performs in relation to the practices, systems or behaviours described in each of the following statements?

[329 - single]

WHO external audits are meeting the needs of donors

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[330 - single]

WHO performs appropriate audits on programs and projects at country level

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[331 - single]

WHO has appropriate policies or guidelines in place to follow up on financial irregularities and corruption

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[332 - single]

WHO conducts internal financial audits to provide objective information to its governing body

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[333 - single]

WHO follows up on policies or guidelines on financial management and anti-corruption

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[334 - single]

WHO has procurement and contract management processes for the provision of services or goods that are usually timely, efficient and effective

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[335 - single]

WHO implements strategies and plans for **risk management**

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

DEFINITION: risk management = Risk management involves the identification, analysis, monitoring, mitigation, and reporting of those risks that impact on achievement of results, and actions to address them.

[336 - single]

Do you have any additional comments on WHO's financial resources and risk management?

- ☐ 1. Yes, note:
- ☐ 2. No

[Performance Management]

Now we'd like you to think about Performance Management - the way WHO manages the performance of its operations. According to what you know about WHO,

how do you think WHO performs in relation to the practices, systems or behaviours described in each of the following statements?

[337 - single]

WHO uses project/program, sector and country information on performance to revise corporate policies

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[338 - single]

WHO uses information on country performance to plan new areas of cooperation at country level

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[339 - single]

WHO actively manages less effective activities from the previous programming cycle

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[340 - single]

WHO appropriately tracks the implementation of evaluation recommendations reported to the Board

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[341 - single]

Do you have any additional comments on WHO's performance management?

- ☐ 1. Yes, note:
- ☐ 2. No

[Human Resources Management]

Now we'd like you to think about the way WHO handles Human Resources.

According to what you know about WHO, how do you think WHO performs in relation to the practices, systems or behaviours described in the following statement(s)?

[342 - single]

WHO uses results-focused performance assessment systems for senior staff

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[343 - single]

WHO uses a transparent system to manage staff performance

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[344 - single]

WHO transparently recruits and promotes staff based upon merit

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[345 - single]

WHO keeps deployed international staff in country offices for a sufficient time to maintain effective partnerships at country level

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong

- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[346 - single]

Do you have any additional comments on WHO's human resources management?

- ☐ 1. Yes, note:
- ☐ 2. No

[Portfolio Management]

Now we'd like you to think about Portfolio Management. According to what you know about WHO, how do you think WHO performs in relation to the practices, systems or behaviours described in each of the following statements?

All words typed in bold have definitions - see definitions below the questions.

[347 - single]

WHO subjects new initiatives to **impact analysis** prior to approval

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[348 - single]

WHO sets targets to enable monitoring of progress in project/program implementation at country level

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[349 - single]

WHO's project/program tasks are managed at country level

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[350 - single]

WHO can approve funding for new areas of cooperation locally, within a budget cap

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

DEFINITION: impact analysis= including environmental, social and economic impacts

[351 - single]

Do you have any additional comments on WHO's portfolio management?

- ☐ 1. Yes, note:
- ☐ 2. No

[352 - single]

Which of the following areas do you consider to be the most important in the effective operational management of the WHO? Choose the one that you find most important:

- ☐ 1. Transparent and predictable aid allocation decisions
- ☐ 2. Link between the allocation and disbursement of resources and expected results
- ☐ 3. Policies and processes for financial accountability
- ☐ 4. Use of performance information on results
- ☐ 5. Transparent human resource management system
- ☐ 6. Performance oriented programming at country and regional level

[353 - single]

Which of the following areas do you consider to be the most important in the effective operational management of the WHO? Choose the one that you find most important:

- ☐ 1. Transparent and predictable aid allocation decisions
- ☐ 2. Policies and processes for financial accountability
- ☐ 3. Use of performance information on results
- ☐ 4. Transparent human resource management system
- ☐ 5. Performance oriented programming at country and regional level
- ☐ 6. Delegation of decision making authority to country or other levels

[354 - single]

Before moving on to the next section, is

there anything further you would like to say about WHO's Operational Management? This could be anything related to the statements you have rated, or anything else you would like us to know.

- ☐ 1. Yes, please type your answer into the box below.
- ☐ 2. No

[Relationship Management]

Now we would like to ask you about some aspects of Relationship Management - that is, WHO's relationship with its clients and other stakeholders.

[Ownership]

To start with, some questions related to the principle of country ownership. According to what you know about WHO, how do you think WHO performs in relation to the practices, systems or behaviours described in each of the following statements?

[355 - single]

WHO supports funding proposals designed and developed by the national government or direct partners

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[356 - single]

WHO applies conditionality that corresponds with the national government's goals and benchmarks

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[357 - single]

WHO uses procedures that can be easily understood and followed by direct partners

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong

- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[358 - single]

The length of time it takes to complete WHO procedures does not affect implementation

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[359 - single]

WHO adjusts overall portfolio in country quickly, to respond to changing circumstances

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[360 - single]

WHO flexibly adjusts its implementation of individual projects/programs as learning occurs

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[361 - single]

Do you have any additional comments on WHO's performance with regard to ownership?

- ☐ 1. Yes, note:
- ☐ 2. No

[Alignment]

Now some questions about the principle of alignment. According to what you know about WHO, how do you think WHO performs in relation to the practices, systems or behaviours described in each of the following statements?

[362 - single]

WHO's expected disbursements are recorded in governments' national budgets where appropriate

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[363 - single]

WHO uses national budget execution procedures in its projects/programs where appropriate

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[364 - single]

WHO uses national procurement systems in its projects/programs where appropriate

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[365 - single]

WHO uses national financial reporting procedures in its projects/programs where appropriate

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[366 - single]

WHO uses national auditing procedures in its projects/programs where appropriate

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[367 - single]

WHO avoids the use of parallel project implementation units

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[368 - single]

WHO encourages mutual accountability assessment of Paris Declaration and ACCRA Agenda for Action commitments

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[369 - single]

WHO uses country systems (non-financial) as a first option for its operations (i.e. monitoring, auditing, etc.)

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[370 - single]

WHO provides valuable inputs to policy dialogue

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[371 - single]

WHO respects the views of direct partners when it undertakes policy dialogue

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[372 - single]

Do you have any additional comments on WHO's performance with regard to alignment?

- ☐ 1. Yes, note:
- ☐ 2. No

[Harmonisation]

Thinking now about issues related to harmonisation, according to what you know about WHO, how do you think it performs in relation to the practices, systems or behaviours described in each of the following statements?

[373 - single]

WHO participates in joint missions

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[374 - single]

WHO's technical assistance is provided through coordinated programs in support of capacity development

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[375 - single]

WHO participates in program-based approaches (other than through budget support)

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate

- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[376 - single]

Do you have any additional comments on WHO's performance with regard to harmonisation?

- ☐ 1. Yes, note:
- ☐ 2. No

[377 - single]

Which of the following areas do you consider to be the most important in the effective relationship management of the WHO? Choose the one that you find most important:

- ☐ 1. Coordination of aid programming in support of agreed national plans
- ☐ 2. Procedures that take into account local conditions and capacities
- ☐ 3. Use of country systems for disbursement and operations
- ☐ 4. Value added to policy dialogue
- ☐ 5. Harmonisation of arrangements and procedures with other programming partners

[378 - single]

Before moving on to the next section, is there anything further you would like to say about WHO's Relationship Management? This could be anything related to the statements you have rated, or anything else you would like us to know.

- ☐ 1. Yes, please type your answer into the box below.
- ☐ 2. No

[Knowledge Management]

In this last section we would like to ask you about knowledge management within WHO. In this area, we would first of all like to ask you about Performance Monitoring and Evaluation.

[Performance Monitoring]

According to what you know about WHO, how do you think WHO performs in relation to the practices, systems or behaviours described in the following statement(s)?

[379 - single]

WHO has an independent evaluation unit that reports directly to the Board or Governing Council

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[380 - single]

WHO ensures that a sufficient proportion of completed programs/projects are subject to independent evaluation

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[381 - single]

WHO requires the involvement of key direct partners and beneficiaries in monitoring and evaluation functions

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[382 - single]

Do you have any additional comments on WHO's performance monitoring and evaluation?

- ☐ 1. Yes, note:
- ☐ 2. No

[Performance Reporting]

Please think now about Performance Reporting.

According to what you know about WHO, how do you think WHO performs in relation to the practices, systems or behaviours described in each of the following statements?

[383 - single]

WHO reports to the governing body on performance, including progress against

targets set in its corporate strategies

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[384 - single]

WHO reports to its governing body on performance in relation to its Paris Declaration commitments

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[385 - single]

Do you have any additional comments on WHO's performance reporting?

- ☐ 1. Yes, note:
- ☐ 2. No

[Dissemination]

And finally, thinking about the way WHO disseminates lessons learned from its performance.

According to what you know about WHO, how do you think WHO performs in relation to the practices, systems or behaviours described in each of the following statements?

[386 - single]

WHO identifies and disseminates lessons learned from performance information

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate
- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[387 - single]

WHO provides opportunities at all levels of the organisation to share lessons from practical experience

- ☐ 1. 1 - Very weak
- ☐ 2. 2 - Weak
- ☐ 3. 3 - Inadequate

- ☐ 4. 4 - Adequate
- ☐ 5. 5 - Strong
- ☐ 6. 6 - Very strong
- ☐ 7. Don't Know

[388 - single]

Do you have any additional comments on how WHO's disseminates lessons learned?

- ☐ 1. Yes, note:
- ☐ 2. No

[389 - single]

Which of the following areas do you consider to be the most important in the effective knowledge management of the WHO? Choose the one that you find most important:

- ☐ 1. Consistent monitoring and evaluation of its programming/operational activities
- ☐ 2. Reporting on effectiveness
- ☐ 3. Identification, documentation and dissemination of lessons learned

[390 - single]

Is there anything further you would like to say about WHO's Knowledge Management? This could be anything related to the statement(s) you have rated, or anything else you would like us to know.

- ☐ 1. Yes, please type your answer into the box below.
- ☐ 2. No

[Background Questions]

[391 - single]

What MOPAN member country do you work with?

- ☐ 1. Australia
- ☐ 2. Austria
- ☐ 3. Belgium
- ☐ 4. Canada
- ☐ 5. Denmark
- ☐ 6. Finland
- ☐ 7. France
- ☐ 8. Germany
- ☐ 9. Ireland
- ☐ 10. Republic of Korea
- ☐ 11. The Netherlands
- ☐ 12. Norway
- ☐ 13. Spain
- ☐ 14. Sweden
- ☐ 15. Switzerland
- ☐ 16. United Kingdom

[392 - single]

What type of organisation do you work for? Choose the one that best describes your organisation:

- ☐ 1. MOPAN member organisation, in offices in the capital
- ☐ 2. MOPAN member organisation, in the permanent mission or executive board office at the MO
- ☐ 3. Other

[393 - single]

What type of organisation do you work for? Choose the one that best describes your organisation:

- ☐ 1. MOPAN member organisation, in country office (including embassies)
- ☐ 2. Other

[394 - single]

What type of organisation do you work for? Choose the one that best describes your organisation:

- ☐ 1. National parliament or legislature
- ☐ 2. Government - line ministry
- ☐ 3. Government - ministry of finance/statistics/planning/economics
- ☐ 4. Government - other
- ☐ 5. NGO or other civil society organisation
- ☐ 6. Academic institution
- ☐ 7. Parastatal
- ☐ 8. Other

[395 - single]

How would you define your level of seniority within the organisation? Choose the one that best describes your position:

- ☐ 1. Senior-level professional
- ☐ 2. Mid-level professional
- ☐ 3. Junior staff member

[ALMOST DONE]

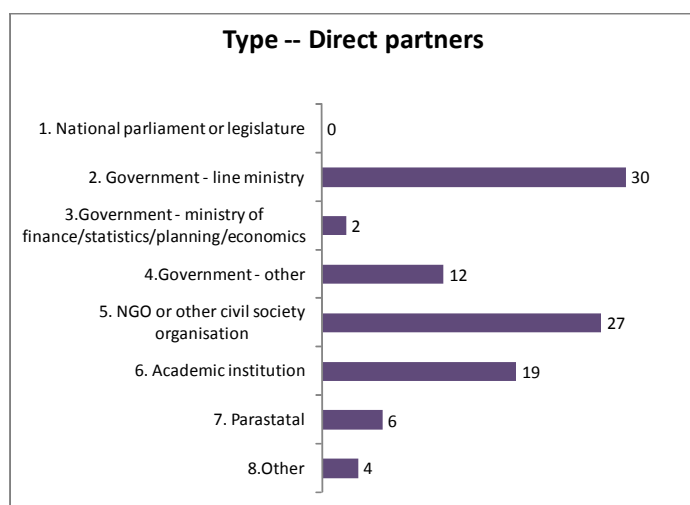
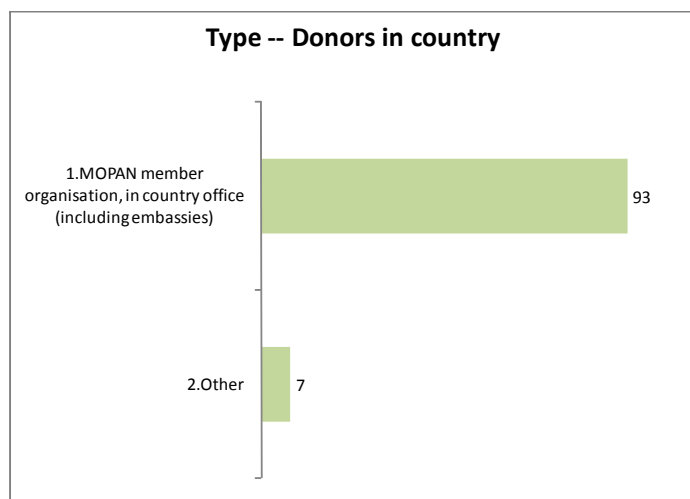
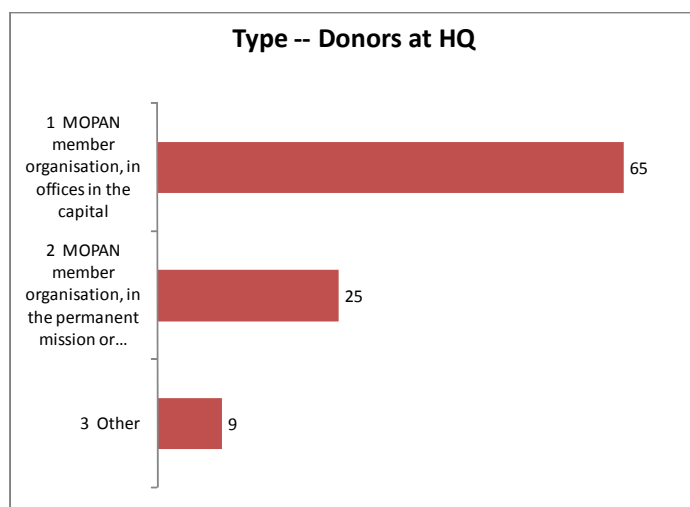
You have now answered the last question. Once you click 'Next' you cannot go back and edit your answers.

[End of Interview]

Thank you very much for sharing your insights and taking time to answer this survey, which is aimed at improving the dialogue on organisational learning and effectiveness of multilateral organisations.

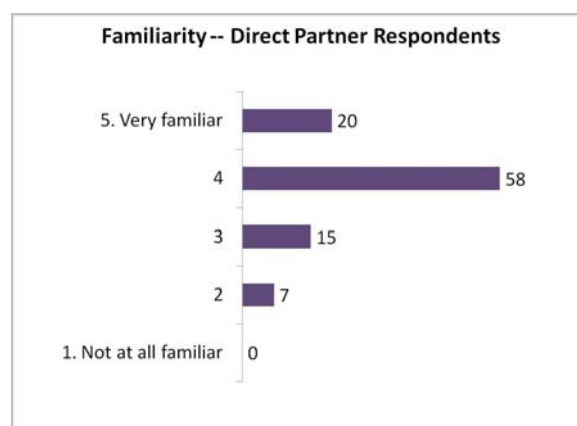
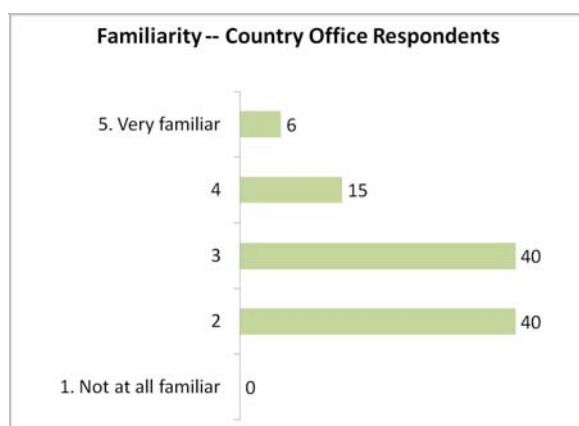
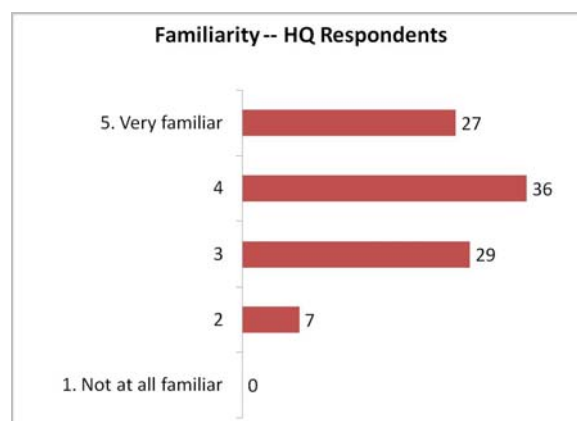
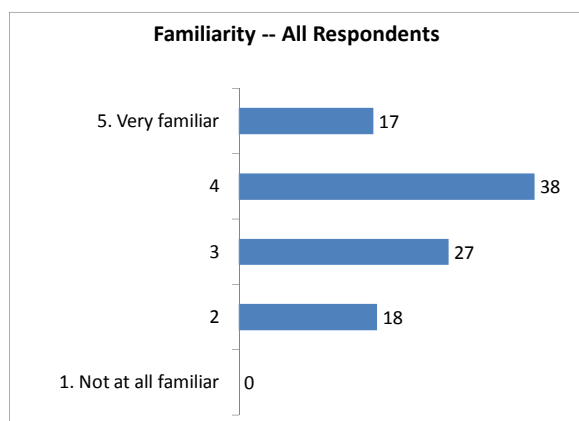
Appendix III Respondent Profile²⁴

Types of Respondents

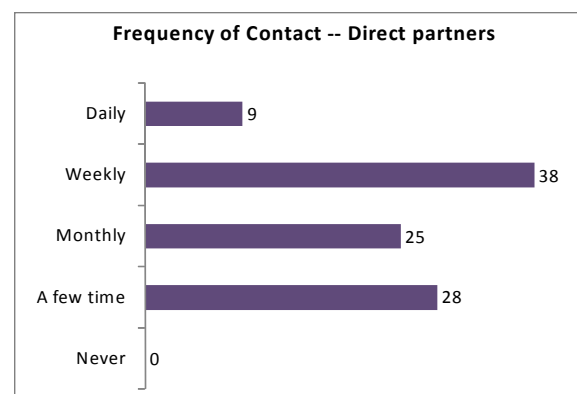
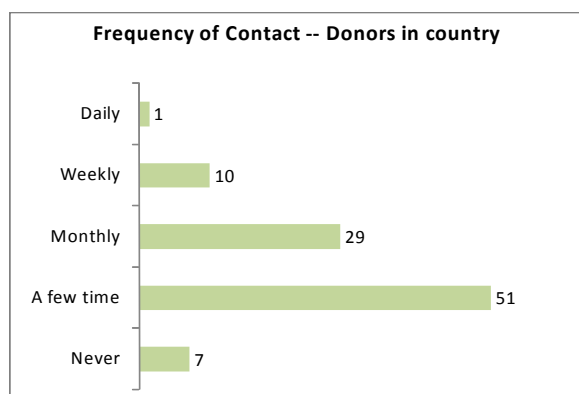
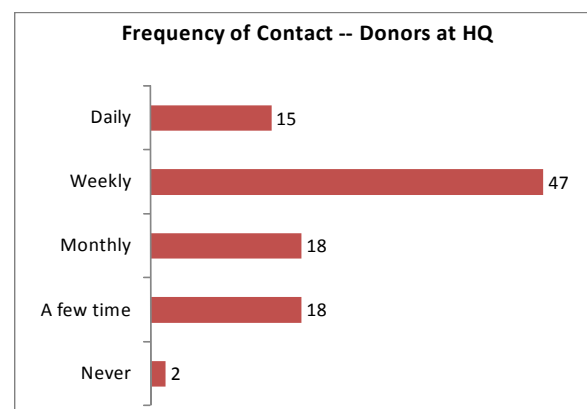
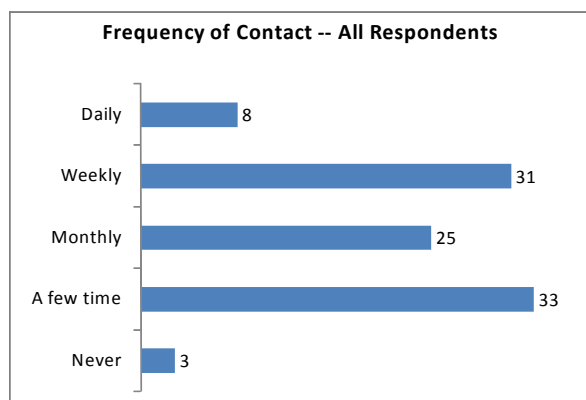


²⁴ All the charts in this appendix show un-weighted frequencies in percentages.

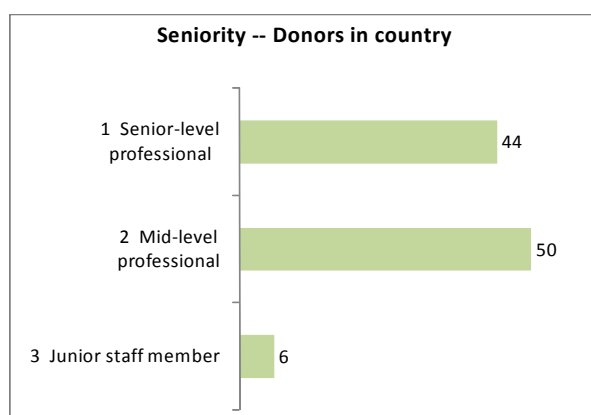
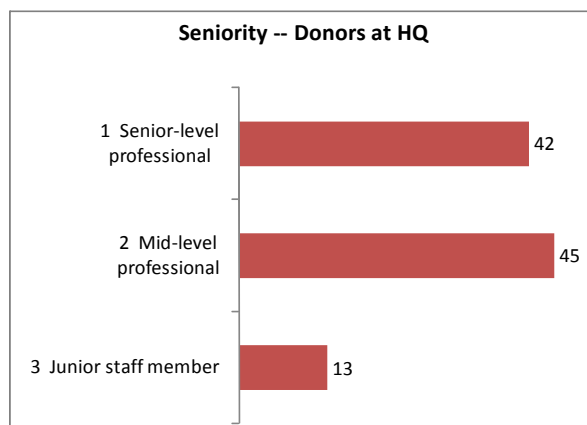
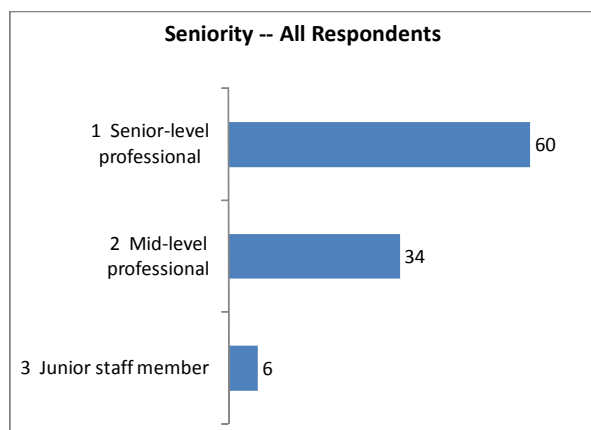
Respondent Familiarity with Multilateral Organisation



Respondent Frequency of Contact with Multilateral Organisation



Respondent Level of Seniority



Appendix IV Base Size and Rate of 'Don't Know' Responses

N (#) = number of respondents who were asked the question (un-weighted data).

% DK = percentage of respondents who indicated "Don't Know" to the question (weighted data).

"--" indicates that the question was not asked among a particular respondent group

I- Strategic Management

	Total		Donors at HQ		Donors in-country		Direct Partners	
	N (#)	% DK	N (#)	% DK	N (#)	% DK	N (#)	% DK
1. The MO's Executive Management provides direction for the achievement of external / beneficiary focused results	208	8	55	5	68	13	85	5
A. MO has a value system that supports a results-orientation and a direct partner focus	208	8	55	5	68	15	85	5
B. MO Executive Management shows leadership on results management	55	5	55	5	--	--	--	--
C. Key MO documents are available to the public.	208	6	55	2	68	11	85	4
2. The MO's corporate strategies and plans are focused on the achievement of results	55	5	55	5	--	--	--	--
A. The MOs organisation wide strategy is based on a clear definition of mandate	55	2	55	2	--	--	--	--
B. MO has an organisation wide policy on results management	55	4	55	4	--	--	--	--
C. Organisation wide plans and strategies contain frameworks of expected management and development results	55	13	55	13	--	--	--	--
D. Results frameworks have casual links from outputs through to impacts / final outcomes	55	7	55	7	--	--	--	--
E. Standard performance indicators included in organisation-wide plans and strategies at a delivery (output) and development results level	55	2	55	2	--	--	--	--
3. The MO has adopted a strategic focus on the cross-cutting thematic priorities identified in its strategic framework, based on its mandate and international commitments	208	17	55	15	68	28	85	9
A. Gender equality	208	16	55	9	68	32	85	8

	Total		Donors at HQ		Donors in-country		Direct Partners	
	N (#)	% DK	N (#)	% DK	N (#)	% DK	N (#)	% DK
B. Environmental policy, environmental assessment practices and overall environmental management system	208	26	55	22	68	42	85	14
C. Good Governance	208	19	55	22	68	27	85	7
D. Private sector development	208	15	55	15	68	23	85	7
E. Other priorities	208	12	55	7	68	20	85	9
4. MO's country strategy is results-focused	153	17	--	--	68	25	85	9
A. Results frameworks that link results at project, program, sector, and country levels	153	18	--	--	68	26	85	10
B. Frameworks include indicators at project, program, sector, and country levels	153	18	--	--	68	24	85	13
C. Statements of expected results consistent with those in the PRSP, national plan, or UNDAF.	153	12	--	--	68	14	85	10
D. Statements of expected results are developed through consultation with direct partners and beneficiaries	153	17	--	--	68	28	85	5
E. Results for cross-cutting thematic priorities are included in-country level results frameworks - gender equality, environment (as appropriate).	153	19	--	--	68	31	85	7

II- Operational Management

	Total		Donors at HQ		Donors in-country		Direct Partners	
	N (#)	% DK	N (#)	% DK	N (#)	% DK	N (#)	% DK
1. The MO makes transparent and predictable aid allocation decisions	208	20	55	12	68	28	85	20
A. The MO publishes its criteria for allocating funding	208	34	55	18	68	51	85	33
B. The MO's allocations follow the criteria	208	6	55	6	68	5	85	8
C. Aid flows or planned resources (financial / technical co-operation, etc) are released according to agreed schedules (in-year)	--	--	--	--	--	--	--	--
2. MOs aid financial management is linked to aid performance management	55	15	55	15	--	--	--	--
A. Aid budget allocations (or lending) are linked to expected development results	55	13	55	13	--	--	--	--
B. Aid or lending disbursements are linked to reported results (variances explained)	55	18	55	18	--	--	--	--
3. MOs have policies and processes for financial accountability (financial accountability, risk management, anti-corruption)	208	34	55	23	68	53	85	27
A. Are external audits (meeting recognised international standards) performed across the organisation.	55	20	55	20	--	--	--	--
B. Are external audits (meeting recognised international standards) are performed at the regional, country or project level (as appropriate)	153	39	--	--	68	50	85	28
C. Are there guidelines in place for immediate measures against irregularities identified at the country (or other) level	153	43	--	--	68	57	85	28
D. Internal financial audit processes are used to provide management / governing bodies with neutral information	55	18	55	18	--	--	--	--
E. Does the MO have a policy on anti-corruption	208	41	55	27	68	62	85	33
F. Are the MO's procurement and contract management processes for the provision of services or goods timely, efficient and effective	153	30	--	--	68	41	85	20
G. MO has strategies in place for risk identification, mitigation, monitoring and reporting	55	25	55	25	--	--	--	--
4. Performance information on results is used by the MO for:	208	29	55	24	68	46	85	18
A. Revising and adjusting policies	55	20	55	20	--	--	--	--
B. Planning new interventions	153	19	--	--	68	26	85	12

	Total		Donors at HQ		Donors in-country		Direct Partners	
	N (#)	% DK	N (#)	% DK	N (#)	% DK	N (#)	% DK
(IFI) C. "unsatisfactory" investments, programs or projects from the previous fiscal year are subject to proactive management	153	45	--	--	68	67	85	24
D. Evaluation recommendations reported to Executive Committee/Board are acted upon by the responsible units	55	27	55	27	--	--	--	--
5. The MO manages human resources using methods to improve organisational performance	208	20	55	26	68	24	85	11
A. Results focused performance agreement systems are in place for senior staff (Including Country Directors)	55	33	55	33	--	--	--	--
B. There is a transparent incentive and reward system for staff performance	55	27	55	27	--	--	--	--
C. Staff recruitment and promotion is meritocratic and transparent	55	18	55	18	--	--	--	--
D. The speed of staff rotation in post is adequate for the development of effective country level partnerships	153	17	--	--	68	24	85	11
6. Country / regional programming processes are performance oriented.	153	19	55	44	68	30	85	7
A. Prior to approval new initiatives are subject to independent benefits analysis (economic, social, etc)	--	--	--	--	--	--	--	--
B. Milestones / targets are set to rate the progress of (project) implementation	153	19	--	--	68	30	85	7
7. The MO delegates decision-making authority (to the country or other levels)	153	30	--	--	68	42	85	18
A. Aid reallocation decisions can be made locally	153	15	--	--	68	21	85	9
B. New aid programs / projects can be approved locally within a budget cap	153	45	--	--	68	63	85	26

III- Relationship Management

	Total		Donors at HQ		Donors in-country		Direct Partners	
	N (#)	% DK	N (#)	% DK	N (#)	% DK	N (#)	% DK
1. The MO coordinates and directs its aid programming (including capacity building) at the country level in support of agreed national plans or partner plans	153	20	--	--	68	31	85	9
A. Extent to which MO supported funding proposals have been fully designed and developed with the national government or direct partners, rather than conceptualised or initiated by MO itself	153	13	--	--	68	22	85	5
2. The MO's procedures take into account local conditions and capacities	153	24	--	--	68	37	85	12
A. The procedures of the MO can be easily understood and completed by partners	153	20	--	--	68	35	85	6
B. The length of time for completing MO procedures does not have a negative effect on implementation	153	25	--	--	68	40	85	9
C. The MO has the operational agility to respond quickly to changing circumstances on the ground	153	26	--	--	68	34	85	19
D. The MO has operational flexibility in the way it implements programs / project and deals with budget issues (during implementation) [The MO has the ability to adjust to changing circumstances as it implements programs / projects]	153	27	--	--	68	39	85	14
3. The MO uses country systems for disbursement and operations	153	41	--	--	68	46	85	36
A % of the MOs overall ODA disbursements / support recorded in the annual budget as revenue, grants, or ODA loans	153	48	--	--	68	56	85	40
B. % of the MOs overall ODA disbursements / support using national systems and procedures	153	43	--	--	68	48	85	39
C. % of all MOs project implementation units that operated in parallel with those of government structures	153	34	--	--	68	37	85	31
D. The extent to which the MO has promoted a mutual assessment of progress in implementing agreed partnership commitments (mutual accountability)	153	36	--	--	68	30	85	42
E. The MO uses country systems (non-financial) as a first option for its operations (i.e. monitoring, auditing, etc)	153	44	--	--	68	57	85	31
4. The MO adds value to policy dialogue with its direct partners	208	10	55	5	68	20	85	6
A. MO has reputation among its stakeholders for high quality, valued policy dialogue inputs	208	10	55	4	68	19	85	7

	Total		Donors at HQ		Donors in-country		Direct Partners	
	N (#)	% DK	N (#)	% DK	N (#)	% DK	N (#)	% DK
B. The MO's policy dialogue is undertaken in a manner which respects partner views and perspectives	208	11	55	5	68	21	85	6
5. The MOs harmonises arrangements and procedures with other programming partners (donors, UN agencies, etc) as appropriate	153	14	--	--	68	20	85	8
A. The extent to which the MO participates in joint missions (coordination, analysis, design, evaluation)	153	14	--	--	68	20	85	8
B. The extent to which MO technical cooperation is disbursed through coordinated programs	153	12	--	--	68	19	85	6
C. % of the MOs overall ODA disbursements / support that is for government-led PBAs (SWAps, basket funding, etc)	153	16	--	--	68	23	85	9

IV- Knowledge Management

	Total		Donors at HQ		Donors in-country		Direct Partners	
	N (#)	% DK	N (#)	% DK	N (#)	% DK	N (#)	% DK
1. The MO consistently monitors and evaluates its delivery and external results	208	25	55	41	69	29	85	6
A. The MO has a structurally independent evaluation unit within its organisational structure that reports to its Executive Management or Board	55	42	55	42	--	--	--	--
B. # of completed programs and projects subject to independent ex-post evaluations conducted subsequent to termination, as % of average # of projects completed annually over last 5 years.	55	40	55	40	--	--	--	--
C. Have direct beneficiaries and stakeholder groups been involved with monitoring and evaluation processes	153	18	--	--	69	29	85	6
2. The MO presents performance information on its effectiveness	55	18	55	18	--	--	--	--
A. Reports on the achievement of outcomes, not just inputs, activities and outputs	55	11	55	11	--	--	--	--
B. Reports performance using data obtained from measuring indicators	--	--	--	--	--	--	--	--
C. Reports against its Corporate Strategy, including expected management and development results	--	--	--	--	--	--	--	--
D. Reports against its Paris Declaration commitments using indicators and country targets	55	25	55	25	--	--	--	--
E. Reports on adjustments made or recommended to the organisation wide policies and strategies based on performance information	--	--	--	--	--	--	--	--
F. Reports on country (or other) level programming adjustments made or recommended based on performance information	--	--	--	--	--	--	--	--
3. The MO encourages identification, documentation and dissemination of lessons learned and/or best practices	55	25	55	25	--	--	--	--
A. Reports on lessons learned based on performance information	55	18	55	18	--	--	--	--
B. Learning opportunities are organised to share lessons (ex. development effectiveness, etc) at all levels of the organisation	55	31	55	31	--	--	--	--

Appendix V KPI and MI Data – by Quadrant

Mean Score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the three respondent groups;
- b) equal weight is given to each of the countries where the survey took place;
- c) equal weight is given to donors in-country and direct partners within each country where the survey took place

However, the base is un-weighted.

For all the tables in the appendix:

HQ = Donors at headquarter, CD = Donors in-country, DP = Direct Partners

Total – includes all respondents

“--” indicates that the question was not asked among a particular respondent group

Strong (4.5-5.49)
Adequate (3.5-4.49)
Inadequate (2.5-3.49)

I- Strategic Management

	Mean scores			
	Total	HQ	CD	DP
Base (unweighted):	208	55	68	85
1. Providing direction for results	4.17	4.01	4.15	4.71
A.i) Institutional culture reinforces a focus on results	3.90	3.33	3.83	4.54
A.ii) Institutional culture is direct partner focused	4.23	3.78	4.24	4.66
B. Leadership on results management	3.88	3.88	--	--
C. Key documents available to the public	4.57	4.59	4.27	4.83
2. Corporate focus on results	3.84	3.84	--	--
A.i) Has a clear mandate	4.72	4.72	--	--
A. ii) Organisation-wide strategies aligned with mandate	4.28	4.28	--	--
B. Organisational policy on results management	3.42	3.42	--	--
C. Plans and strategies contain results frameworks	3.85	3.85	--	--
D. Results frameworks link outputs to final outcomes/impacts	3.72	3.72	--	--
E. Plans and strategies contain performance indicators	3.71	3.71	--	--
3. Focus on thematic priorities	4.27	3.88	4.16	4.73
A. Gender equality	4.20	3.80	4.21	4.59
B. Environment	4.01	3.70	3.73	4.48
C. Good Governance	4.16	3.67	3.91	4.76
D. Human Rights based approaches	4.38	4.02	4.22	4.85
E. HIV/AIDS	4.61	4.20	4.72	4.95
4. Country focus on results	4.48	--	4.18	4.72
A. Frameworks link results at project, program, sector, and country levels	4.39	--	4.13	4.60
B. Frameworks include indicators at project, program, sector, and country levels	4.48	--	4.13	4.79
C. Expected results consistent with national development strategies	4.66	--	4.39	4.92
D. Results developed in consultation with direct partners and beneficiaries	4.47	--	4.20	4.67
E. Results for thematic priorities included in-country level frameworks	4.39	--	4.07	4.63

II- Operational Management

	Mean scores			
	Total	HQ	CD	DP
Base (unweighted):	208	55	68	85
1. Aid allocation decisions	3.88	3.62	3.81	4.24
A. Publishes criteria for allocating core budget resources	3.71	3.42	3.71	4.05
B. Allocations for core budget resources follow the criteria	4.06	3.82	3.90	4.43
2. Linking aid management to performance	3.60	3.60	--	--
A. Allocations linked to expected results	3.63	3.63	--	--
B. Disbursements linked to reported results (variances explained)	3.58	3.58	--	--
3. Financial accountability	4.15	3.89	3.94	4.70
A. External audits performed across the organisation	3.82	3.82	--	--
B. External audits performed at regional, country, and project level	4.38	--	3.99	4.66
C. Guidelines for immediate measures against irregularities	4.41	--	3.99	4.67
D. Internal financial audit processes provide neutral information	4.02	4.02	--	--
E. Policy on anti-corruption	4.20	3.95	3.87	4.67
F. Procurement /contract management timely, efficient and effective	4.41	--	3.89	4.80
G. Strategies for risk management	3.78	3.78	--	--
4. Using performance information	4.02	3.67	3.97	4.60
A. Using information for revising and adjusting policies	3.57	3.57	--	--
B. Using information for planning new interventions	4.57	--	4.33	4.78
C. Subjecting "unsatisfactory" investments to proactive management	4.18	--	3.62	4.42
D. Evaluation recommendations are acted upon	3.78	3.78	--	--
5. Managing human resources	3.48	3.19	4.07	4.59
A. Performance agreement systems for senior staff	3.49	3.49	--	--
B. Transparent incentive/reward system for staff performance	3.20	3.20	--	--
C. Staff recruitment and promotion is meritocratic and transparent	2.89	2.89	--	--
D. Staff rotation is adequate for development of effective partnerships	4.35	--	4.07	4.59
6. Performance oriented programming	4.59	--	4.30	4.80
A. New initiatives subject to benefits analysis	--	--	--	--
B. Milestones / targets to rate progress of implementation	4.59	--	4.30	4.80
7. Delegating decision making	4.46	--	4.18	4.66
A. Aid reallocation decisions can be made locally	4.53	--	4.20	4.82
B. New programs / projects can be approved locally within a budget cap	4.38	--	4.16	4.49

III- Relationship Management

	Mean scores			
	Total	HQ	CD	DP
Base (unweighted):	208	55	68	85
1. Supporting national plans	4.54	--	4.19	4.80
A. Proposals developed with the national government or direct partners	4.58	--	4.27	4.84
2. Adjusting procedures	4.08	--	3.71	4.35
A. Procedures easily understood and completed by direct partners	4.26	--	3.68	4.66
B. Length of time for procedures does not affect implementation	3.90	--	3.49	4.17
C. Ability to respond quickly to changing circumstances	4.13	--	3.94	4.28
D. Flexibility in implementation of projects/programs	4.04	--	3.72	4.27
3. Using country systems	4.17	--	3.66	4.60
A. ODA disbursements/support recorded in annual budget	4.08	--	3.50	4.52
B. i) ODA disbursements / support use national budget execution procedures	3.99	--	3.38	4.52
B. ii) ODA disbursements / support use national procurement systems	4.04	--	3.45	4.50
B. iii) ODA disbursements / support use national financial reporting procedures	4.06	--	3.44	4.58
B. iv) ODA disbursements / support use national auditing procedures	4.03	--	3.42	4.49
C. Avoids project implementation units that operate in parallel with government structures	4.19	--	3.77	4.58
D. Promotes mutual assessment of partnership commitments (mutual accountability)	4.29	--	3.90	4.76
E. Uses country systems (non-financial) for operations (ie monitoring, etc)	4.25	--	3.69	4.61
4. Contributing to policy dialogue	4.63	4.50	4.26	5.09
A. Reputation for high quality, valued policy dialogue inputs	4.67	4.58	4.27	5.12
B. Policy dialogue respects direct partner views and perspectives	4.60	4.42	4.26	5.06
5- Harmonising procedures	4.70	--	4.28	5.06
A. Participates in joint missions	4.70	--	4.29	5.06
B. Technical cooperation disbursed through coordinated programs	4.80	--	4.45	5.11
C. ODA disbursements / support for government-led PBAs	4.61	--	4.12	5.02

IV- Knowledge Management

	Mean scores			
	Total	HQ	CD	DP
Base (unweighted):	208	55	68	85
1. Monitoring external results	3.92	3.63	4.04	4.82
A. Independent evaluation unit	3.75	3.75	--	--
B. Completed programs and projects subject to independent evaluations	3.52	3.52	--	--
C. Direct beneficiaries and stakeholders involved in monitoring and evaluation	4.48	--	4.04	4.82
2. Presenting performance information	3.65	3.65	--	--
A. Reports on results, including outcomes	4.00	4.00	--	--
D. Reports against its Paris Declaration commitments using indicators and country targets	3.29	3.29	--	--
3. Disseminating lessons learned	3.53	3.53	--	--
A. Reports on lessons learned based on performance information	3.58	3.58	--	--
B. Shares lessons at all levels of the organisation	3.47	3.47	--	--

Appendix VI Document Review Ratings, Criteria and Evidence by KPI and MI - WHO

The following table provides the list of criteria used for assessing each of the micro-indicators that were covered by the document review. For further explanation of the approach to rating, which is based on the number of criteria met, please see Appendix I on Methodology.

QUADRANT I – STRATEGIC MANAGEMENT

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
Direction for Results			
1.1C	Key MO documents are available to the public.	1. <i>More than half</i> of the documents in the sample are available on the website	Met - World Health Organization Documentation: HTTP://APPS.WHO.INT/GB/ “Engaging for Health - 11th General Programme of Work, 2006-2015: A Global Health Agenda”: HTTP://WHQLIBDOC.WHO.INT/PUBLICATIONS/2006/GPW_ENG.PDF - Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html - Proposed Programme Budget 2008-2009 http://whqlibdoc.who.int/hq/2007/PB_2008-2009_eng.pdf “Implementation of Programme budget 2008–2009: interim report”: HTTP://APPS.WHO.INT/GB/EBWHA/PDF_FILES/A62/A62_26-EN.PDF “Report of the External Auditor on the Financial Operations of the World Health Organization for the Financial Period 2006–2007”: HTTP://APPS.WHO.INT/GB/EBWHA/PDF_FILES/A61/A61_23-EN.PDF “BASIC DOCUMENTS: Forty-seventh Edition 2009”: HTTP://APPS.WHO.INT/GB/BD/PDF/BD47/EN/BASIC-DOCUMENTS-47-EN.PDF
		2. (If first criterion met) <i>all</i> of the documents in the sample are available on the website	Not met: No evidence found.

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		3. (If first criterion met) most of the documents in the sample are available on the website <i>in multiple languages</i>	Met • “WHO language policy” (informal document): Provided by WHO on 31 May 2010 • PAHO WEBSITE: HTTP://NEW.PAHO.ORG/HQ/INDEX.PHP?LANG=EN • AFRO WEBSITE: HTTP://WWW.AFRO.WHO.INT/PT.HTML • EMRO WEBSITE: HTTP://WWW.EMRO.WHO.INT/ASD/ • EURO WEBSITE: HTTP://WWW.EURO.WHO.INT/EN/HOME • WPRO WEBSITE: HTTP://WWW.WPRO.WHO.INT/
		4. A disclosure / privacy policy exists and is available on the MO website	Not met: No evidence found.
		5. Clear procedures exist to contact the MO	Met • Contacts for media for different topics are clear: http://www.who.int/about/contact/en/index.html
Overall Score MI 1.1C: Adequate		Overall Comments:	-
Corporate Strategy			
1.2A	The MOs organisation wide strategy is based on a clear definition of mandate.	1. A top-level statement of the MO mandate (non-IFI) or articles of agreement (IFI) exists.	Met • See WHO Constitution in “BASIC DOCUMENTS: Forty-seventh Edition, Including amendments adopted, up to 31 May 2009” (2009): WWW.WHO.INT/GOVERNANCE/EB/WHO_CONSTITUTION_EN.PDF
		2. The organisational strategic plan articulates goals & focus priorities.	Met • “Engaging for Health: Eleventh General Programme of Work 2006-2015, A Global Health Agenda”: HTTP://WHQLIBDOC.WHO.INT/PUBLICATIONS/2006/GPW_ENG.PDF • “Medium-term Strategic Plan 2008-2013 and Programme budget 2008-2009”: HTTP://WHQLIBDOC.WHO.INT/PB/2008-2009/MTSP_2008-2013_ENG.PDF

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		3. The organisational strategic plan mentions the MO's mandate/articles of agreement.	Met • Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html • “Engaging for Health: Eleventh General Programme of Work 2006-2015, A Global Health Agenda”: HTTP://WHQLIBDOC.WHO.INT/PUBLICATIONS/2006/GPW_ENG.PDF • See WHO Constitution in “BASIC DOCUMENTS: Forty-seventh Edition, Including amendments adopted, up to 31 May 2009” (2009): WWW.WHO.INT/GOVERNANCE/EB/WHO_CONSTITUTION_EN.PDF
		4. (If first two criteria are met) there is a link, explicit or implicit, between these goals and focus priorities to the organisation's mandate/articles of agreement.	Met • Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html • See WHO Constitution in “BASIC DOCUMENTS: Forty-seventh Edition, Including amendments adopted, up to 31 May 2009” (2009): WWW.WHO.INT/GOVERNANCE/EB/WHO_CONSTITUTION_EN.PDF
		5. (If first three criteria are met) there is an explicit link between these goals and focus priorities to the organisation's mandate/articles of agreement.	Not Met • “Engaging for Health: Eleventh General Programme of Work 2006-2015 A Global Health Agenda”: HTTP://WHQLIBDOC.WHO.INT/PUBLICATIONS/2006/GPW_ENG.PDF • Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html • See WHO Constitution in “BASIC DOCUMENTS: Forty-seventh Edition, Including amendments adopted, up to 31 May 2009” (2009): WWW.WHO.INT/GOVERNANCE/EB/WHO_CONSTITUTION_EN.PDF
	Overall Score MI 1.2A: Very Strong	Overall Comments:	The 11th General Programme of Work links the focus priorities to the mandate of WHO and the resolutions of the WHA. Where relevant in the MTSP, the reference to the WHO resolutions are included.

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
1.2B	MO has an organisation wide policy on results management	1. An organisation-wide policy, strategy, framework, or plan that describes the nature and role of results based management (RBM) in the organisation exists and is corporately approved. (alternatively, the approach to RBM may be described in the context of a strategic plan and further operationalised through other documents)	Met - Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html “Programme Management in WHO Operational Planning: Business rules, Procedures (including Practical guidance)”: Provided by WHO on 8 April 2010 “Engaging for Health: Eleventh General Programme of Work 2006-2015, A Global Health Agenda”: HTTP://WHQLIBDOC.WHO.INT/PUBLICATIONS/2006/GPW_ENG.PDF
		2. (If first criterion is met) this document defines what RBM is within the MO.	Not met Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html
		3. (If first criterion is met) this document identifies the purpose & benefits of RBM (accountability and learning).	Not met Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html
		4. (If first criterion is met) this document describes RBM processes: i.e., how results and indicators are to be identified/developed, and how performance information is to be used.	Met “Programme Management in WHO Operational Planning: Business rules, Procedures (including Practical guidance)”: Provided by WHO on 8 April 2010 - Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html
		5. (If first criterion is met) this document identifies roles, responsibilities and accountabilities for results management.	Met “Programme Management in WHO Operational Planning: Business rules, Procedures (including Practical guidance)”: Provided by WHO on 8 April 2010
Overall Score MI 1.2B: Adequate		Overall Comments:	On criteria 2 and 3, the assessment of Not met is due to the fact that the RBM framework is not well enough developed in terms of defining what RBM is for the organisation and explaining its purpose and benefits. There is potential to better explain WHO’s approach to RBM in a separate document.

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
1.2C	Organisation wide plans and strategies contain frameworks of expected management and development results.	1. A current management results framework (MRF) exists, either contained within the strategic plan or as a separate document which is referred to by the strategic plan.	Met • Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html
		2. A current development results framework (DRF) exists, either contained within the strategic plan or as a separate document which is referred to by the strategic plan.	Met • Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html
		3. (If either first or second criterion met) at least one results framework (MRF or DRF) contains both statements of outputs and expected outcomes.	Met • Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html
		4. (If third criterion met) in at least one results framework, all statements of results are appropriate to their results level (i.e., what are called outputs are actually outputs; what are called outcomes are actually outcomes).	Not met • Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html
		5. (If all above criteria met) all above criteria are met for both MRF and DRF.	Not met • Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html
Overall Score MI 1.2C: Adequate		Overall Comments:	Note: The development and management results frameworks (DRF and MRF) are not separate but are part of a single framework. WHO clarifies that specific outputs are part of the operational plans/workplans, Yet the OWER statements in the MTSP sometimes refer to outputs.
1.2D	Results frameworks have causal links from outputs through to impacts / final outcomes.	1. At least one results framework exists at the organisation-wide level (i.e., MRF and/or DRF)	Met • Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html
		2. (If all above criteria are met) it is clear, either implicitly or explicitly, how the outputs in the results framework(s) are linked to the expected outcomes.	Not Met • Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html
		3. (If all above criteria are met) there is an explicit description, in the strategic plan or in the framework(s), of how the outputs in the results framework(s) are linked to the expected outcomes.	Not met • Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		4. There is a plausible link between outcomes and impacts.	Met Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html
		5. (If all above criteria are met) all above criteria met for both MRF and DRF.	Not met Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html
Overall Score MI 1.2D: Inadequate		Overall Comments:	-
1.2E	Standard performance indicators included in organisation-wide plans and strategies at a delivery (output) and development results level.	1. At least one result framework exists at the organisation-wide level (MRF and/or DRF), and contains a reasonable number of performance indicators at both the output and outcome levels.	Not met Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html
		2. (If first criterion is met) more than half of the performance indicators are relevant to the results they are associated with in the framework(s).	Not met Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html
		3. (If first criterion is met) more than half of the performance indicators are specific enough that it is clear what is to be measured.	Not met Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html
		4. (If first criterion is met) at least some of the indicators are based on or make use of accepted international indices and data elements, as possible.	Met Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html
		5. (If first criterion is met) more than half of the performance indicators have targets set for them, and the date(s) for target achievement is clear.	Met Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html
Overall Score MI 1.2E: Inadequate		Overall Comments:	-
1.3A	Gender equality	1. An organisation-wide strategic plan exists and is corporately approved, and it identifies gender equality as a cross-cutting priority or a focus area	Met Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		2. (If the first criterion is met) the organisation commits to include gender mainstreaming strategies in its <i>operational management</i> , either in the organisation-wide strategic plan or in a separate policy document. This includes results statements on this cross-cutting issue or focus area stated in its MRF.	Met “Strategy for Integrating Gender Analysis and Actions into the Work of WHO”: HTTP://WHQLIBDOC.WHO.INT/HQ/2008/WHO_FCH_GWH_08.1_ENG.PDF
		3. (If the first criterion is met) the organisation commits to include gender mainstreaming strategies in its <i>programming</i> , either in the organisation-wide strategic plan or in a separate policy document. This includes results statements on this cross-cutting issue or focus area stated in its DRF.	Met Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html
		4. (If either criteria 2 and/or 3 are met) the organisation-wide strategic plan or gender policy commits the organisation to evaluate the implementation of the gender policy/strategy. There also must be evidence of this commitment in its financial resource allocation, i.e., budgets must indicate that money is being allocated to evaluate this area.	Met “Strategy for Integrating Gender Analysis and Actions into the Work of WHO”: HTTP://WHQLIBDOC.WHO.INT/HQ/2008/WHO_FCH_GWH_08.1_ENG.PDF “Programme Budget 2008-2009 Performance Assessment Report”: HTTP://WWW.WHO.INT/ABOUT/RESOURCES_PLANNING/PBPA-1.PDF
		5. An evaluation or review has been undertaken and illustrates progress in implementing the commitment to gender equality. However, if the review or evaluation notes that there are still several areas for improvement, the organisation should be rated no better than adequate and the findings of this evaluation should be noted in the narrative of the report. If the review notes that the organisation is quite deficient in this area then the rating should be inadequate.	Not met – no evaluation yet; baseline assessment will soon be published “Human resources: annual report Staffing profile, report by the Secretariat” for Sixty-Third World Health Assembly A63/40 - Provisional agenda item 17.2 22 April 2010: Provided by WHO on May 31st. “Human resources: annual report: gender Balance, Report by The Secretariat”, for Fifty-Sixth World Health Assembly A56/39 - Provisional agenda item 18.1 16 May 2003: Provided by WHO on 31 May 2010. “Programme Budget 2008-2009 Performance Assessment Report”: HTTP://WWW.WHO.INT/ABOUT/RESOURCES_PLANNING/PBPA-1.PDF
		Overall Score MI 1.3A: Strong	Overall Comments:

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
1.3B	Environmental policy, environmental assessment practices and overall environmental management system	1. An organisation-wide strategic plan exists and is corporately approved, and it identifies environment/climate change as a cross-cutting priority	Met - Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html “WHO workplan on climate change and health”: HTTP://WWW.WHO.INT/GLOBALCHANGE/WHA_PLANS_OBJECTIVES/EN/INDEX.HTM L
		2. (If the first criterion is met) the organisation commits to environmentally responsible practices (include environmental assessments if applicable) in its <i>operational management</i> activities, either in the organisation-wide strategic plan or in a separate policy document	Met WHO Environmental Due Diligence Process (Draft) June 2010 Excerpt from a WHO Manual (title unknown) on Procurement of Goods and Services (February 2007)
		3. (If the first criterion is met) the organisation commits to environmentally responsible practices (include environmental assessments if applicable) in its <i>programming</i> , either in the organisation-wide strategic plan or in a separate policy document.	Met “WHO Public Health and Environment Global Strategy Overview”: Provided by WHO on 8 April 2010
		4. (If either criteria 2 and/or 3 are met) the organisation-wide strategic plan or environment policy commits the organisation to evaluate the implementation of the environmental policy/strategy.	Met Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html
		5. (If criterion 4 is met) An evaluation or review has been undertaken and illustrates progress in implementing the commitment to environment. However, if the review or evaluation notes that there are still several areas for improvement, the organisation should be rated no better than adequate and the findings of this evaluation should be noted in the narrative of the report. If the review notes that the organisation is quite deficient in this area then the rating should be inadequate.	Not Met – no evidence of an evaluation commenting on progress in this area
Overall Score MI 1.3B: Strong		Overall Comments:	

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
1.3C	Good Governance	1. An organisation-wide strategic plan exists and is corporately approved, and it identifies good governance as a cross-cutting priority	Met Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html
		2. (If the first criterion is met) the organisation commits to good governance principles in its programming, either in the organisation-wide strategic plan or in a separate policy document	Met “Everybody's Business: Strengthening Health Systems to Improve Health Outcomes: WHO's Framework for Action” (2007): HTTP://WWW.WPRO.WHO.INT/NR/RDONLYRES/5BA80B95-DC1F-4427-8E8B-0D9B1E9AF776/0/EB.PDF, See p.23 ‘Leadership and Governance’
		3. (If the second criterion is met) the organisation-wide strategic plan or governance policy commits the organisation to evaluate the implementation of its work in promoting good governance	Met “Programme Budget 2008-2009 Performance Assessment Report”: HTTP://WWW.WHO.INT/ABOUT/RESOURCES_PLANNING/PBPA-1.PDF
		4. (If the second criterion is met) the organisation-wide strategic plan or governance policy includes at least three of the following six dimensions of governance: Voice and Accountability; Political Stability and Absence of Violence; Government Effectiveness; Regulatory Quality; Rule of Law; and Control of Corruption	Not met “Everybody's Business: Strengthening Health Systems to Improve Health Outcomes: WHO's Framework for Action” (2007): HTTP://WWW.WPRO.WHO.INT/NR/RDONLYRES/5BA80B95-DC1F-4427-8E8B-0D9B1E9AF776/0/EB.PDF
		5. An evaluation or review has been undertaken and illustrates progress in implementing the commitment to promoting good governance. However, if the review or evaluation notes that there are still several areas for improvement, the organisation should be rated no better than adequate and the findings of this evaluation should be noted. If the review notes that the organisation is quite deficient in this area then the rating should be inadequate.	Not met – no evidence of an evaluation commenting on progress in this area “Programme Budget 2008-2009 Performance Assessment Report”: HTTP://WWW.WHO.INT/ABOUT/RESOURCES_PLANNING/PBPA-1.PDF
Overall Score MI 1.3C: Adequate		Overall Comments:	

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
1.3D	Human Rights based approaches	1. An organisation-wide strategic plan exists and is corporately approved, and it commits the organisation to adopt a human rights based approach to programming.	Met - Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html “Engaging for Health: Eleventh General Programme of Work 2006-2015, A Global Health Agenda”: HTTP://WHOLIBDOC.WHO.INT/PUBLICATIONS/2006/GPW_ENG.PDF “WHO Mandate on Health and Human Rights”: Provided by WHO on 8 April 2010
		2. (If the first criterion is met) the organisation commits to adopt human rights based approaches in its <i>operational management activities</i> , either in the organisation-wide strategic plan or in a separate policy document (This refers to organisational efforts to improve staff capacity, system capacity, to be able to implement HRB approaches).	Met “WHO Ethical Principles and Staff Conduct”: Provided by WHO on 8 April 2010 “A Human Rights-Based Approach to Health”, issued in 2010 by the Office of the High Commissioner for Human Rights (OHCHR) and the WHO: WWW.WHO.INT/ENTITY/HHR/NEWS/HRBA_TO_HEALTH2.PDF “Human Rights, Health and Poverty Reduction Strategies” (tool): HTTP://WWW.WHO.INT/HHR/ACTIVITIES/INDICATORS/EN/INDEX.HTML
		3. (If the first criterion is met) the organisation commits to adopt human rights based approaches in its <i>programming</i> , either in the organisation-wide strategic plan or in a separate policy document. (While there are UN system wide policy and guidelines, we do believe that it is important for an organisation to outline how it will take on the HRB approach and what it means for their specific areas and ways of working.)	Met - Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html “Engaging for Health: Eleventh General Programme of Work 2006-2015, A Global Health Agenda”: HTTP://WHOLIBDOC.WHO.INT/PUBLICATIONS/2006/GPW_ENG.PDF “WHO Mandate on Health and Human Rights”: Provided by WHO on 8 April 2010
		4. (If either criteria 2 and/or 3 are met) the organisation-wide strategic plan or human rights policy commits the organisation to evaluate the implementation of the human rights policy/strategy (Or is their evidence that the organisation has integrated a review of HRB in the evaluations they have recently conducted?)	Met - Web page of the WHO Health and Human Rights Programme: WWW.WHO.INT/HHR/LINKS/EN/ “Human Rights, Health and Poverty Reduction Strategies” (tool): HTTP://WWW.WHO.INT/HHR/ACTIVITIES/INDICATORS/EN/INDEX.HTML - Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		5. (If criterion 4 is met) An evaluation or review has been undertaken and illustrates progress in implementing the commitment to human rights based approaches. However, if the review or evaluation notes that there are still several areas for improvement, the organisation should be rated no better than adequate and the findings of this evaluation should be noted in the narrative of the report. If the review notes that the organisation is quite deficient in this area then the rating should be inadequate..	Not Met
Overall Score MI 1.3D: Strong		Overall Comments:	
1.3E	Other priorities as identified (ex HIV and AIDS); example follows on HIV/AIDS	1. An organisation-wide strategic plan exists and is corporately approved, and it identifies HIV/AIDS prevention and/or treatment as a cross-cutting priority	Met Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html
		2. (If the first criterion is met) the organisation commits to integrating HIV/AIDs prevention/treatment in its <i>operational management activities</i> , either in the organisation-wide strategic plan or in a separate policy document	Met "WHO LIVES: The expanded programme on HIV and AIDS in the WHO Workplace - Core Principles and Minimum Standards; Information Note 46/2006" (2006): Provided by WHO on 8 April 2010 "Human Resources: Annual Report" (2009): APPS.WHO.INT/GB/EBWHA/PDF_FILES/EB126/B126_33-EN.PDF
		3. (If the first criterion is met) the organisation commits to integrating HIV/AIDs prevention/treatment in its <i>programming</i> , either in the organisation-wide strategic plan or in a separate policy document	Met World Health Organisation (WHO) HIV/AIDS Department: HTTP://WWW.WHO.INT/HIV/EN/
		4. (If either criteria 2 and/or 3 are met) the organisation-wide strategic plan or HIV/AIDS policy commits the organisation to evaluate the implementation of the HIV/AIDS policy/strategy	Not met Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		5. (If criterion 4 is met) An evaluation or review has been undertaken and illustrates progress in implementing the commitment to HIV/AIDS prevention and/or treatment. However, if the review or evaluation notes that there are still several areas for improvement, the organisation should be rated no better than adequate and the findings of this evaluation should be noted in the narrative of the report. If the review notes that the organisation is quite deficient in this area then the rating should be inadequate.	Met - Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html “Programme Budget 2008-2009 Performance Assessment Report”: HTTP://WWW.WHO.INT/ABOUT/RESOURCES_PLANNING/PBPA-1.PDF “HIV/AIDS Programme Highlights 2008-2009” (2010): HTTP://WHQLIBDOC.WHO.INT/PUBLICATIONS/2010/9789241599450_ENG.PDF
Overall Score MI 1.3E: Strong		Overall Comments:	
Strategies – Country, Regional, Thematic			
1.4A	Results frameworks that link results at project, program, sector, and country levels	1. The MO has strategies at the country level, at least two of which contain statements of expected results articulated at output and outcome levels	Met - Country Cooperation Strategies for Viet Nam, Indonesia, Kenya, Colombia and Afghanistan: HTTP://WWW.WHO.INT/COUNTRYFOCUS/COOPERATION_STRATEGY/LISTOFCCS/EN/INDEX.HTML - Country Workplans 2010-2011 for Indonesia, Afghanistan, Viet Nam, Kenya, and Colombia: Provided by WHO on 31 May 2010
		2. (If first criterion met) in more than half of the country strategies, all statements of results are appropriate to their results level (i.e., what are called outputs are actually outputs; what are called outcomes are actually outcomes)	Not met - Country Cooperation Strategies for Viet Nam, Indonesia, Kenya, Colombia and Afghanistan: HTTP://WWW.WHO.INT/COUNTRYFOCUS/COOPERATION_STRATEGY/LISTOFCCS/EN/INDEX.HTML - Country Workplans 2010-2011 for Indonesia, Afghanistan, Viet Nam, Kenya, and Colombia: Provided by WHO on 31 May 2010

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		3. (If first criterion is met) more than half of the country strategies sampled explicitly link expected results of the MO's projects and/or programs to the MO's expected results at country level	Met - Country Cooperation Strategies for Viet Nam, Indonesia, Kenya, Colombia and Afghanistan: HTTP://WWW.WHO.INT/COUNTRYFOCUS/COOPERATION_STRATEGY/LISTOFCCS/EN/INDEX.HTML - Country Workplans 2010-2011 for Indonesia, Afghanistan, Viet Nam, Kenya, and Colombia: Provided by WHO on 31 May 2010
		4. (If first criterion is met) at least two of the country strategies sampled explicitly link expected results of the MO's sector strategies to the MO's expected results at country level	Met - Country Cooperation Strategies for Viet Nam, Indonesia, Kenya, Colombia and Afghanistan: HTTP://WWW.WHO.INT/COUNTRYFOCUS/COOPERATION_STRATEGY/LISTOFCCS/EN/INDEX.HTML - Country Workplans 2010-2011 for Indonesia, Afghanistan, Viet Nam, Kenya, and Colombia: Provided by WHO on 31 May 2010
		5. (If all above criteria are met) all of the above criteria are met for all country strategies sampled	Not met - Country Cooperation Strategies for Viet Nam, Indonesia, Kenya, Colombia and Afghanistan: HTTP://WWW.WHO.INT/COUNTRYFOCUS/COOPERATION_STRATEGY/LISTOFCCS/EN/INDEX.HTML - Country Workplans 2010-2011 for Indonesia, Afghanistan, Viet Nam, Kenya, and Colombia: Provided by WHO on 31 May 2010
Overall Score MI 1.4A: Adequate		Overall Comments:	
1.4B	Frameworks include indicators at project, program, sector, and country levels	1. Country strategies exist, at least two of which include a reasonable number of performance indicators	Met Country Workplans 2010-2011 for Indonesia, Afghanistan, Viet Nam, Kenya, and Colombia: Provided by WHO on 31 May 2010
		2. (If first criterion is met) more than half of the performance indicators are relevant to the results they are associated with in the country strategies	Not met Country Workplans 2010-2011 for Indonesia, Afghanistan, Viet Nam, Kenya, and Colombia: Provided by WHO on 31 May 2010
		3. (If first criterion is met) more than half of the performance indicators are specific enough that it is clear what is to be measured	Met Country Workplans 2010-2011 for Indonesia, Afghanistan, Viet Nam, Kenya, and Colombia: Provided by WHO on 31 May 2010

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		4. (If first criterion is met) data sources and data collection methods are clear for more than half of the performance indicators	Not met Country Workplans 2010-2011 for Indonesia, Afghanistan, Viet Nam, Kenya, and Colombia: Provided by WHO on May 31st.
		5. (If first criterion is met) more than half of the performance indicators have targets set for them, and the date(s) for target achievement is clear	Met Country Workplans 2010-2011 for Indonesia, Afghanistan, Viet Nam, Kenya, and Colombia: Provided by WHO on 31 May 2010
Overall Score MI 1.4B: Adequate		Overall Comments:	-
1.4C	Statements of expected results consistent with those in the national development strategy, PRSP or UNDAF	1. At least two of the country strategies sampled contain statements of expected results	Met - Country Cooperation Strategies for Viet Nam, Indonesia, Kenya, Colombia and Afghanistan: HTTP://WWW.WHO.INT/COUNTRYFOCUS/COOPERATION_STRATEGY/LISTOFCCS/EN/INDEX.HTML - Country Workplans 2010-2011 for Indonesia, Afghanistan, Viet Nam, Kenya, and Colombia: Provided by WHO on 31 May 2010
		2. At least two country strategies contain reference to the country's national development strategy, PRSP or UNDAF as applicable	Met - Country Cooperation Strategies for Viet Nam, Indonesia, Kenya, Colombia and Afghanistan: HTTP://WWW.WHO.INT/COUNTRYFOCUS/COOPERATION_STRATEGY/LISTOFCCS/EN/INDEX.HTML - Country Workplans 2010-2011 for Indonesia, Afghanistan, Viet Nam, Kenya, and Colombia: Provided by WHO on 31 May 2010
		3. (If first two criteria are met) in at least two cases, the link between the MO's expected results and those identified in the national development strategy, PRSP or UNDAF is clear, <i>either explicitly or implicitly</i>	Met - Country Cooperation Strategies for Viet Nam, Indonesia, Kenya, Colombia and Afghanistan: HTTP://WWW.WHO.INT/COUNTRYFOCUS/COOPERATION_STRATEGY/LISTOFCCS/EN/INDEX.HTML - Country Workplans 2010-2011 for Indonesia, Afghanistan, Viet Nam, Kenya, and Colombia: Provided by WHO on 31 May 2010

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		4. (If all above criteria are met) at least two country strategies <i>explicitly</i> demonstrate how the MO's expected results are consistent with those in the national development strategy, PRSP or UNDAF	Met - Country Cooperation Strategies for Viet Nam, Indonesia, Kenya, Colombia and Afghanistan: HTTP://WWW.WHO.INT/COUNTRYFOCUS/COOPERATION_STRATEGY/LISTOFCCS/EN/INDEX.HTML - Country Workplans 2010-2011 for Indonesia, Afghanistan, Viet Nam, Kenya, and Colombia: Provided by WHO on 31 May 2010
		5. (If all above criteria are met) all above criteria are met for all country strategies sampled	Not met - Country Cooperation Strategies for Viet Nam, Indonesia, Kenya, Colombia and Afghanistan: HTTP://WWW.WHO.INT/COUNTRYFOCUS/COOPERATION_STRATEGY/LISTOFCCS/EN/INDEX.HTML - Country Workplans 2010-2011 for Indonesia, Afghanistan, Viet Nam, Kenya, and Colombia: Provided by WHO on 31 May 2010
Overall Score MI 1.4C: Strong		Overall Comments:	-
1.4E	Results for cross-cutting thematic priorities are included in country level results frameworks - gender equality, environment (as appropriate)	1. At least two of the country strategies sampled identify at least two of the organisationally relevant cross-cutting themes (the same ones assessed in KPI 3) in the results frameworks	Met - Country Cooperation Strategies for Viet Nam, Indonesia, Kenya, Colombia and Afghanistan: HTTP://WWW.WHO.INT/COUNTRYFOCUS/COOPERATION_STRATEGY/LISTOFCCS/EN/INDEX.HTML - Country Workplans 2010-2011 for Indonesia, Afghanistan, Viet Nam, Kenya, and Colombia: Provided by WHO on 31 May 2010
		2. (If first criterion is met) more than half of country strategies sampled describe results which integrate at least two of the issues / themes, as relevant	Met - Country Cooperation Strategies for Viet Nam, Indonesia, Kenya, Colombia and Afghanistan: HTTP://WWW.WHO.INT/COUNTRYFOCUS/COOPERATION_STRATEGY/LISTOFCCS/EN/INDEX.HTML - Country Workplans 2010-2011 for Indonesia, Afghanistan, Viet Nam, Kenya, and Colombia: Provided by WHO on 31 May 2010

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		3. More than half of the country strategies sampled describe all of the key cross-cutting themes for the organisation being assessed	Not met - Country Cooperation Strategies for Viet Nam, Indonesia, Kenya, Colombia and Afghanistan: HTTP://WWW.WHO.INT/COUNTRYFOCUS/COOPERATION_STRATEGY/LISTOFCCS/EN/INDEX.HTML - Country Workplans 2010-2011 for Indonesia, Afghanistan, Viet Nam, Kenya, and Colombia: Provided by WHO on 31 May 2010
		4. (If first criterion is met) more than half of country strategies sampled describe strategies & approaches to address or apply the issue / theme (in other words, there is evidence that the MO is trying to implement its strategic focus on the cross-cutting issue in its programming at the country level)	Met - Country Cooperation Strategies for Viet Nam, Indonesia, Kenya, Colombia and Afghanistan: HTTP://WWW.WHO.INT/COUNTRYFOCUS/COOPERATION_STRATEGY/LISTOFCCS/EN/INDEX.HTML - Country Workplans 2010-2011 for Indonesia, Afghanistan, Viet Nam, Kenya, and Colombia: Provided by WHO on 31 May 2010
		5. (If first criterion is met) more than half of country strategies sampled contain reference to international agreements, treaties & conventions governing the theme / issue	Met - Country Cooperation Strategies for Viet Nam, Indonesia, Kenya, Colombia and Afghanistan: HTTP://WWW.WHO.INT/COUNTRYFOCUS/COOPERATION_STRATEGY/LISTOFCCS/EN/INDEX.HTML - Country Workplans 2010-2011 for Indonesia, Afghanistan, Viet Nam, Kenya, and Colombia: Provided by WHO on 31 May 2010
		Overall Score MI 1.4E: Strong	Overall Comments:

QUADRANT II – OPERATIONAL MANAGEMENT

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
Financial Resources and Risk Management			
2.1A	The MO publishes its criteria for allocating funding.	1. A model/formula for allocating concessional funds in the case of IFIs, or core budget resources in the case of UN agencies, exists (often referred to as resource allocation systems)	Met “Guiding Principles for Strategic Resource Allocation, including validation mechanism” (2006): HTTP://APPS.WHO.INT/GB/EBWHA/PDF_FILES/EB117/B117_17-EN.PDF
		2. (If first criterion is met) this model/formula is up to date (applies to 2010)	Met “Guiding Principles for Strategic Resource Allocation, including validation mechanism” (2006): HTTP://APPS.WHO.INT/GB/EBWHA/PDF_FILES/EB117/B117_17-EN.PDF
		3. (If first criterion is met) this model/formula is published on the MO web site	Met “Guiding Principles for Strategic Resource Allocation, including validation mechanism” (2006): HTTP://APPS.WHO.INT/GB/EBWHA/PDF_FILES/EB117/B117_17-EN.PDF
Overall Score MI 2.1A: Adequate		Overall Comments:	WHO provides principles, rather than a model or formula per se, and this is considered adequate. Its results-based planning and budgeting process provides the framework for making allocation decisions.
2.1C	Aid flows or planned resources (financial / technical co-operation, etc) are released according to agreed schedules (in-year).	Very weak = Less than 20% of MO's aid flows are released according to agreed schedules in annual or multiyear frameworks.	Met PowerPoint presentations: “Global Progress in Harmonization & Alignment, WHO's Contribution to the PD Survey 2008”: Provided by WHO on April 8th. “Compliance with Paris Declaration Principles: Challenges and responses for WHO country teams” (June 2009): Provided by WHO on 8 April 2010
		Weak = Between 20% and 30% (inclusively) of MO's aid flows are released according to agreed schedules in annual or multiyear frameworks.	Not met
		Inadequate = Between 31% and 50% (inclusively) of MO's aid flows are released according to agreed schedules in annual or multiyear frameworks.	Not met

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		Adequate = Between 51% and 70% (inclusively) of MO's aid flows are released according to agreed schedules in annual or multiyear frameworks.	Not met
		Strong = Between 71% and 80% (inclusively) of MO's aid flows are released according to agreed schedules in annual or multiyear frameworks.	Not met
Overall Score MI 2.1C: Very weak		Overall Comments:	Please also see the WHO report “ The future of financing for WHO, Report of an informal consultation convened by the Director General, 12-13 January 2010”, http://www.who.int/dg/future_financing/who_dgo_2010_1/en/index.html
2.2A	Aid budget allocations (or lending) are linked to expected development results.	1. In the most recent annual or multi-year organisation-wide budget, an attempt has been made to present budget information in a results-oriented way	Met - Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html
		2. Some outputs and/or outcomes from the DRF and MRF are costed in the budget document	Not met Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html
		3. Most outputs and/or outcomes in the DRF and MRF are costed in the budget document	Not met Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html
		4. There is evidence of improvement over time in budget documents reviewed (evidence of building a better system)	Met - For background information on the introduction of results-based budgeting in WHO: “Evaluation of WHO's strategic budgeting and planning process, Report of the Director-General” (see p.3, para.5-6-7): http://www.who.int/governance/eb/committees/ebpdc82.en.pdf - For improvement of proposed programme budgets since 2000-2001, see the biennium budgets at: HTTP://APPS.WHO.INT/GB/ARCHIVE/ and HTTP://APPS.WHO.INT/GB/ for those from 2006-2007 to today's 2010-2011
		5. There is evidence (from evaluations or audits conducted in this area) of a system that allows the organisation to track costs from activity through to impact	Not met: No evidence found.

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
Overall Score MI 2.2A: Inadequate		Overall Comments:	OWERs are costed in the MTSP. However, OWERs sometimes represent outputs and sometimes represent outcomes, although they are not labelled as such.
2.2B	Aid or lending disbursements are linked to reported results (variances explained).	1. The most recent annual financial report clearly shows financial amounts aligned with achieved results (i.e., the report shows how much was spent to achieve each result)	Met “Programme Budget 2008-2009 Performance Assessment Report”: HTTP://WWW.WHO.INT/ABOUT/RESOURCES_PLANNING/PBPA-1.PDF
		2. In the most recent annual financial report, statements of results achieved are aligned with expected results described in the organisation-wide strategic plan	Not met “Programme Budget 2008-2009 Performance Assessment Report”: HTTP://WWW.WHO.INT/ABOUT/RESOURCES_PLANNING/PBPA-1.PDF - Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html
		3. In the most recent annual financial report, operational expenditure variances and variances in results achievements are reported	Not met “Programme Budget 2008-2009 Performance Assessment Report”: HTTP://WWW.WHO.INT/ABOUT/RESOURCES_PLANNING/PBPA-1.PDF
		4. In the most recent annual financial report, operational expenditure variances and variances in results achievements are reported AND justified.	Not met “Programme Budget 2008-2009 Performance Assessment Report”: HTTP://WWW.WHO.INT/ABOUT/RESOURCES_PLANNING/PBPA-1.PDF
		5. There is evidence of improvement over time in financial reports reviewed.	Met - For background information on the introduction of results-based budgeting in WHO: “Evaluation of WHO’s strategic budgeting and planning process, Report of the Director-General” (see p.3, para.5-6-7): HTTP://WWW.WHO.INT/GOVERNANCE/EB/COMMITTEES/EBPDC82.EN.PDF - For improvement of programme budgets performance assessments (PBPAs) reports since 2004-2005, see the biennium PBPAs at: HTTP://WWW.WHO.INT/ABOUT/RESOURCES_PLANNING/EN/.
Overall Score MI 2.2B: Inadequate		Overall Comments:	-
2.3A	Are external financial audits (meeting recognised international standards) performed across the organisation.	1. Annual organisation-wide reports on financial performance exist (In the case of UN organisations, the schedule for external audit may be determined by the Board of Auditors, therefore the requirement of “annual” may not apply.)	Met “Financial Report of WHO for the period 2006–2007”: HTTP://APPS.WHO.INT/GB/EBWHA/PDF_FILES/A61/A61_20-EN.PDF

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		2. (If first criterion is met) the most recent annual financial report reviewed contains a letter from an external auditor confirming an external financial audit was undertaken at the organisation-wide level (Or the report and/or audit opinion comes from the Board of Auditors, in case of the UN agencies)	Met “Financial Report of WHO for the period 2006–2007”: HTTP://APPS.WHO.INT/GB/EBWHA/PDF_FILES/A61/A61_20-EN.PDF
		3. (If first two criteria are met) the letter from the external auditor confirms that the external financial audit was undertaken in adherence to international standards (GAAP or equivalent) (In case of UN Agencies, all BOA audits are carried out using international standards.)	Met “Financial Report of WHO for the period 2006–2007”: HTTP://APPS.WHO.INT/GB/EBWHA/PDF_FILES/A61/A61_20-EN.PDF - Standards of Auditing of the Panel of External Auditors of the United Nations: HTTP://WWW.UN.ORG/AUDITORS/PANEL/MOP.SHTML
		4. (If first criterion is met) <i>all</i> annual financial reports reviewed contain a letter from an external auditor confirming an external financial audit was undertaken at the organisation-wide level (Or the report /audit opinion comes from the Board of Auditors, in case of the UN agencies)	Met “Financial Report and Audited Financial Statements for the period 1 January 2004 – 31 December 2005 and Report of the External Auditor to the World Health Assembly”: whqlibdoc.who.int/hq/2006/A59_28_Fin-Rpt_04-05_eng.pdf “Financial Report of WHO for the period 2006–2007” (presented March 2008): http://apps.who.int/gb/ebwha/pdf_files/A61/A61_20-en.pdf
		5. (If criterion 4 is met) in <i>all</i> financial reports reviewed, the letter from the external auditor confirms that the external financial audit was undertaken in adherence to international standards (GAAP or equivalent) (Or the report /audit opinion comes from the Board of Auditors, in case of the UN agencies)	Met “Financial Report and Audited Financial Statements for the period 1 January 2004 – 31 December 2005 and Report of the External Auditor to the World Health Assembly”: whqlibdoc.who.int/hq/2006/A59_28_Fin-Rpt_04-05_eng.pdf “Financial Report of WHO for the period 2006–2007” (presented March 2008): http://apps.who.int/gb/ebwha/pdf_files/A61/A61_20-en.pdf
	Overall Score MI 2.3A: Very strong		Overall Comments:

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
2.3B	External financial audits (meeting recognised international standards) are performed at the regional, country or project level (as appropriate).	1. The suite of documents available provide sufficient evidence that the organisation requires external financial audits to be performed at the regional, country and/or project levels	Met • “Report of the External Auditor to the Health Assembly” based on Financial Report 2006-2007 (presented in May 2008): http://apps.who.int/gb/ebwha/pdf_files/A61/A61_23-en.pdf • “Financial Report and Audited Financial Statements for the period 1 January 2004 – 31 December 2005 and Report of the External Auditor to the World Health Assembly”: whqlibdoc.who.int/hq/2006/A59_28_Fin-Rpt_04-05_eng.pdf
		2. The evidence also indicates that the audits will be carried out using international standards, or provides an indication that the MO will be using national audit systems and procedures	Met • “Financial Report and Audited Financial Statements for the period 1 January 2004 – 31 December 2005 and Report of the External Auditor to the World Health Assembly”: whqlibdoc.who.int/hq/2006/A59_28_Fin-Rpt_04-05_eng.pdf • “Financial Report of WHO for the period 2006–2007” (presented March 2008): http://apps.who.int/gb/ebwha/pdf_files/A61/A61_20-en.pdf
		3. (If first criterion is met) the suite of documents available provide sufficient evidence that the external financial audits are taking place at regional, country and/or project levels	Met • “Financial Report and Audited Financial Statements for the period 1 January 2004 – 31 December 2005 and Report of the External Auditor to the World Health Assembly”: whqlibdoc.who.int/hq/2006/A59_28_Fin-Rpt_04-05_eng.pdf • “Financial Report of WHO for the period 2006–2007” (presented March 2008): http://apps.who.int/gb/ebwha/pdf_files/A61/A61_20-en.pdf
		4. The suite of documents available provide extensive evidence that the external financial audits are taking place at regional, country and/or project levels	Not met • “Financial Report and Audited Financial Statements for the period 1 January 2004 – 31 December 2005 and Report of the External Auditor to the World Health Assembly”: whqlibdoc.who.int/hq/2006/A59_28_Fin-Rpt_04-05_eng.pdf • “Financial Report of WHO for the period 2006–2007” (presented March 2008): http://apps.who.int/gb/ebwha/pdf_files/A61/A61_20-en.pdf
		5. External financial audit reports at country/project/regional level are made available to the public by the MO	Not met: No evidence found.

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
Overall Score MI 2.3B: Adequate		Overall Comments:	Internal audits reports are not available for public use.
2.3C	Are there guidelines in place for immediate measures against irregularities identified in external financial audits at the country (or other) level.	1. Guidelines, a policy or strategy exists <i>at any organisational level</i> , that describes the procedure for a response to irregularities identified during an external financial audit	Met • “External and internal audit recommendations: tracking of implementation” (2009) (EB117/20): http://apps.who.int/gb/ebwha/pdf_files/EB117/B117_20-en.pdf • For the reporting done on progress in implementing external audits recommendations, see: “External and internal audit recommendations: progress on implementation” (December 2009): http://apps.who.int/gb/pbac/pdf_files/Eleventh/PBAC11_5-en.pdf • “External and internal audit recommendations: progress on implementation” (December 2008): http://apps.who.int/gb/pbac/pdf_files/Ninth/PBAC9_6-en.pdf
		2. Guidelines, a policy or strategy exists and is corporately approved <i>at the organisation-wide level</i> that describes the procedure for a response to irregularities identified during an external financial audit	Not met • For the reporting done on progress in implementing external audits recommendations, see: “External and internal audit recommendations: progress on implementation” (December 2009): http://apps.who.int/gb/pbac/pdf_files/Eleventh/PBAC11_5-en.pdf • “External and internal audit recommendations: progress on implementation” (December 2008): http://apps.who.int/gb/pbac/pdf_files/Ninth/PBAC9_6-en.pdf
		3. (If second criterion is met) these guidelines set timelines for the response to irregularities identified during an external financial audit (in other words, the managers have to respond to audit findings within a certain period of time)	Not met: No evidence found.
		4. There is sufficient evidence (in the suite of documents about audit) that there is a process for following up on audits	Met • For the reporting done on progress in implementing external audits recommendations, see: “External and internal audit recommendations: progress on implementation” (December 2009): http://apps.who.int/gb/pbac/pdf_files/Eleventh/PBAC11_5-en.pdf • “External and internal audit recommendations: progress on implementation” (December 2008): http://apps.who.int/gb/pbac/pdf_files/Ninth/PBAC9_6-en.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		5. There is extensive evidence (in the suite of documents about audit) that there is a process for following up on audits.	Met - For the reporting done on progress in implementing external audits recommendations, see: “External and internal audit recommendations: progress on implementation” (December 2009): http://apps.who.int/gb/pbac/pdf_files/Eleventh/PBAC11_5-en.pdf “External and internal audit recommendations: progress on implementation” (December 2008): http://apps.who.int/gb/pbac/pdf_files/Ninth/PBAC9_6-en.pdf
Overall Score MI 2.3C: Adequate		Overall Comments:	-
2.3D	Internal financial audit processes are used to provide management / governing bodies with neutral information.	1. There is evidence (in a suite of documents) of practice of internal financial audits in the organisation	Met “Report of the Internal Auditor” (March 2009): http://apps.who.int/gb/ebwha/pdf_files/A62/A62_27-en.pdf
		2. (If the first criterion is met) an organisation-wide guideline/policy for the practice of internal financial audits exists and is corporately approved	Met See WHO Financial Regulations and Additional Terms of Reference governing the External Audit in “BASIC DOCUMENTS: Forty-seventh Edition, Including amendments adopted, up to 31 May 2009” (2009): http://apps.who.int/gb/bd/PDF/bd47/EN/financial-regu-en.pdf
		3. (If first criterion is met) there is evidence in these documents that the internal audit function is separated enough from the programming areas to be able to provide an “independent” audit opinion (it reports to the CEO of the MO or to Finance VP.) The key is that internal auditors are not influenced by the programs they are auditing.	Met “Report of the Internal Auditor” (March 2009): http://apps.who.int/gb/ebwha/pdf_files/A62/A62_27-en.pdf
		4. There is evidence in these documents that the internal audit function reports directly to the Board, thus providing maximum assurance of its independence from programming	Met “Report of the Internal Auditor” (March 2009): http://apps.who.int/gb/ebwha/pdf_files/A62/A62_27-en.pdf
		5. Reports available from the Audit Committee (or equivalent) of the Executive Board confirm receipt of internal audit information	Met “Report of the Internal Auditor” (March 2009): http://apps.who.int/gb/ebwha/pdf_files/A62/A62_27-en.pdf
Overall Score MI 2.3D: Very strong		Overall Comments:	-

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
2.3E	Does the MO have a policy on anti-corruption	1. Guidelines, policy or a framework on anti-corruption exists and is and are corporately approved (in other words, not in draft form)	Met • “Fraud Prevention Policy & Fraud Awareness Guidelines” (2005): Provided by WHO on April 8th. • “WHO Whistleblower Protection” (2006): Provided by WHO on 8 April 2010 • “WHO Accountability Framework: A Policy Paper” (January 2006): Provided by WHO on 8 April 2010
		2. (If first criterion is met) these documents indicates that the MO is committed to the principles and norms established in the international framework on anti corruption	Met • “Fraud Prevention Policy & Fraud Awareness Guidelines” (2005): Provided by WHO on 8 April 2010 • United Nations International Civil Service Commission (ICSC) - Quote comes from: http://icsc.un.org/about.asp • “Standards of Conduct for the International Civil Service”: http://icsc.un.org/csd.asp
		3. (If first criterion is met) the policy commits the organisation to design and manage programs and services which are compliant with preventing and combating fraud and corruption	Met • “Fraud Prevention Policy & Fraud Awareness Guidelines” (2005): Provided by WHO on 8 April 2010
		4. (If first criterion is met) the policy defines the roles, responsibilities and accountabilities of Management, Staff and Experts / Specialists in implementing & complying with the policy	Met • “Fraud Prevention Policy & Fraud Awareness Guidelines” (2005): Provided by WHO on 8 April 2010 • “WHO Whistleblower Protection” (2006): Provided by WHO on 8 April 2010 • “WHO Accountability Framework: A Policy Paper” (January 2006): Provided by WHO on 8 April 2010

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		5. (If first criterion is met) the policy commits the organisation to review its activities on combating fraud and corruption or there is other evidence that the organisation has reviewed its policy and/or practice in this area.	Met • “WHO Evaluation Guidelines” (March 2006): Provided by WHO on 8 April 2010 • See WHO Financial Regulations and Additional Terms of Reference governing the External Audit in “BASIC DOCUMENTS: Forty-seventh Edition, Including amendments adopted, up to 31 May 2009” (2009): http://apps.who.int/gb/bd/PDF/bd47/EN/financial-regu-en.pdf • “Independent Expert Oversight Advisory Committee Terms of Reference” (2009) Available here: HTTP://APPS.WHO.INT/GB/EBWHA/PDF_FILES/EB125/B125_R1-EN.PDF
Overall Score MI 2.3E: Very strong		Overall Comments:	-
2.3G	MO has strategies in place for risk identification, mitigation, monitoring and reporting.	1. An organisation-wide policy, strategy, framework or guidelines (or a suite of documents) on risk management exists and is corporately approved (if is not in draft form; if it has been in draft form for more than 6 months that is of concern)	Met • “Developing GMG’s Risk Management Framework” (May 2009, Confidential): Provided by WHO on 8 April 2010. We received WHO confirmation that the framework was corporately approved (yet, cannot be found on the web).
		2. (If first criterion is met) this document contains a reference to international standards on managing risk, and describes roles and responsibilities of key actors	Met • “Developing GMG’s Risk Management Framework” (May 2009, Confidential): Provided by WHO on 8 April 2010 • “Report of the Internal Auditor” (March 2009): http://apps.who.int/gb/ebwha/pdf_files/A62/A62_27-en.pdf • “WHO Accountability Framework: A Policy Paper” (January 2006): Provided by WHO on 8 April 2010
		3. (If first criterion is met) this document commits the MO to risk management in its operational management practices	Not met • “Developing GMG’s Risk Management Framework” (May 2009, Confidential): Provided by WHO on 8 April 2010
		4. (If first criterion is met) this document commits the MO to risk management in its project/program delivery	Not met • “Developing GMG’s Risk Management Framework” (May 2009, Confidential): Provided by WHO on 8 April 2010. We received WHO confirmation that the framework was corporately approved (yet, cannot be found on the web).

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		5. (If first criterion is met) this document describes the approaches and methods of risk management, including how to identify risk, how to assess risk, how to develop risk mitigation strategies, how to monitor and report on risk, and how to respond to adverse events	Met “Developing GMG’s Risk Management Framework” (May 2009, Confidential): Provided by WHO on 8 April 2010
		OR, if the first criterion is not met	
		6. At least one policy, strategy, framework or guidelines on risk management exists at the country, regional or other level	n/a
		7. (If the sixth criterion met) at least one such policy, strategy, framework or guidelines meets criteria 2 through 5, above	n/a
Overall Score MI 2.3G: Adequate		Overall Comments:	-
Performance Management			
2.4A	Revising and adjusting policies	1. Information on organisation-wide performance (i.e., outcomes achieved) is available, for instance in annual performance reports, or from an organisation-wide evaluation	Met “Programme budget 2008-2009 Performance Assessment Report” (PBPA 2008-2009): http://www.who.int/about/resources_planning/PBPA-1.pdf “Programme budget 2006-2007 Performance Assessment Report” (PBPA 2006-2007): http://whqlibdoc.who.int/pb/2006-2007/PBPA_06-07_eng.pdf
		2. (If first criterion is met) there is a description, in some available document, of the implications of this performance information or other sources of information on organisational performance on the MO’s policies (i.e., what policies need to be changed, removed, or added as a result about what has been learned from collecting performance information through monitoring systems or evaluations that address results achievement and other organisational performance issues)	Met - Medium-term Strategic Plan 2008-2013 Amended (Draft) - Proposed Programme Budget 2010-2011 - Programme budget 2008-2009 Performance Assessment Report” (PBPA 2008-2009): http://www.who.int/about/resources_planning/PBPA-1.pdf “Programme budget 2006-2007 Performance Assessment Report” (PBPA 2006-2007): http://whqlibdoc.who.int/pb/2006-2007/PBPA_06-07_eng.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		3. (If first two criteria are met) changes to <i>at least one</i> policy (addressing either internal organisational functions or programming) have been made subsequent to this performance information, that are in line with what has been learned	Met Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html
		4. (If all above criteria are met) programmatic changes to <i>more than one</i> policy have been made subsequent to this performance information, that are in line with what has been learned	Not met “External and internal audit recommendations: progress on implementation” (December 2008) : HTTP://APPS.WHO.INT/GB/PBAC/PDF_FILES/NINTH/PBAC9_6-EN.PDF “Report of the Programme, Budget and Administration Committee of the Executive Board” (January 2010) http://apps.who.int/gb/ebwha/pdf_files/EB126/B126_3-en.pdf
		5. (If the first three criteria are met) there is documentary evidence, in the policy document itself, in board meeting minutes or in some other place, that policy changes resulted at least in part from performance information	Not met “Report of the Programme, Budget and Administration Committee of the Executive Board” (January 2010): http://apps.who.int/gb/ebwha/pdf_files/EB126/B126_3-en.pdf
Overall Score MI 2.4A: Adequate		Overall Comments:	The changes in the MTSP 2008-2013 that have been made as a result of reflections emerging from the biennium assessments(2006-2007 PBPA) have been considered as a change to Policy.
2.4B	Planning new interventions	1. Information on country performance (i.e., outcomes achieved) is available, for instance in annual country performance reports or in country planning documents (describing results from the previous cycle)	Met End-of-Biennium Performance Assessment Office-Specific Expected Result (OSER) Reports 2008-2009 for Viet Nam, Indonesia, Kenya, Columbia, and Afghanistan: Provided by WHO on 31 May 2010

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		2. (If first criterion is met) for at least two countries, there is a description, in the annual performance reports or elsewhere, of the implications of this performance information on planning new interventions (i.e., how new interventions in the planning stage need to be altered, or what new interventions should be developed in reaction to the performance information)	Met - End-of-Biennium Performance Assessment Office-Specific Expected Result (OSER) Reports 2008-2009 for Viet Nam, Indonesia, Kenya, Columbia, and Afghanistan: Provided by WHO on 31 May 2010. “Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html - Country Cooperation Strategies for Viet Nam, Indonesia, Kenya, Columbia and Afghanistan: http://www.who.int/countryfocus/cooperation_strategy/listofccs/en/index.html “WHO Country Cooperation Strategies: a Guiding Framework”: http://www.who.int/entity/countryfocus/resources/ccs_guide_english.pdf
		3. (If first two criteria are met) for at least two countries, there is evidence from project/program level planning documents, such as PIPs, PADs or similar documents, that the changes required to the planning of new interventions have been made	Not met – this type of project documentation is not used in WHO Country Cooperation Strategies for Viet Nam, Indonesia, Kenya, Columbia and Afghanistan: http://www.who.int/countryfocus/cooperation_strategy/listofccs/en/index.html
		4. (If all above criteria are met) for at least two countries, there is evidence from country reports that new interventions have been implemented according to the required changes	Met – based on review of CCS and End-of-Biennium OSER Reports - End-of-Biennium Performance Assessment Office-Specific Expected Result (OSER) Reports 2008-2009 for Viet Nam, Indonesia, Kenya, Columbia, and Afghanistan: “Kenya Country Cooperation Strategy 2008-2013”: http://www.who.int/countryfocus/cooperation_strategy/listofccs/en/index.html
		5. (If all above criteria are met) all criteria met for all countries	Not met - End-of-Biennium Performance Assessment Office-Specific Expected Result (OSER) Reports 2008-2009 for Viet Nam, Indonesia, Kenya, Columbia, and Afghanistan: - Country Cooperation Strategies for Viet Nam, Indonesia, Kenya, Columbia and Afghanistan: http://www.who.int/countryfocus/cooperation_strategy/listofccs/en/index.html

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
Overall Score MI 2.4B: Adequate		Overall Comments:	However, the sequencing of the documents (reports, CCS) in the sample does not facilitate the analysis of how the information from the reports are then taken up in the new CCS.
2.4D	Evaluation recommendations reported to Executive Committee/Board are acted upon by the responsible units	1. MO Evaluation Policy or guidelines include the requirement of a management response, action plan and/or agreement stating responsibilities and accountabilities for follow-up to evaluations (accepting recommendations)	Met • “WHO Evaluation Guidelines” (2006): Provided by WHO on 8 April 2010
		2. MO Evaluation Policy outlines a process for follow-up to evaluations (approach to presenting and tracking the implementation of accepted recommendations)	Not met • “External and internal audit recommendations: tracking of implementation” (2009) (EB117/20): http://apps.who.int/gb/ebwha/pdf_files/EB117/B117_20-en.pdf
		3. There is evidence that the management response, action plan and/or agreement accepting recommendations are presented to the Executive Management (Head of the Organisation) and/or Governing Bodies (Executive Boards).	Not met: No evidence found.
		4. There is evidence of <u>periodic reports</u> on the status of the implementation of these evaluation recommendations accepted by management/governing body.	Not met: No evidence found.
		5. There is evidence of a systematic process (regularly on the agenda of the Executive Board; reports or presentations to Board illustrate regular tracking of follow up) for follow-up on the evaluation of the recommendations accepted by management/governing body.	Not met • “Report of the Programme, Budget and Administration Committee of the Executive Board” (2010): http://apps.who.int/gb/ebwha/pdf_files/EB126/B126_3-en.pdf • “Report of the Programme, Budget and Administration Committee of the Executive Board” (2009): http://apps.who.int/gb/ebwha/pdf_files/EB124/B124_3-en.pdf
Overall Score MI 2.4D: Weak		Overall Comments:	Although reports on follow up to recommendations of audit are presented, there is no similar mechanism for evaluation.

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
Human Resources Management			
2.5A	Results focused performance agreement systems are in place for senior staff (Including Country Directors)	1. There is evidence in the suite of documents reviewed that a system is in place that requires performance agreements for at least some staff	Met - See WHO Staff Regulations in Basic Documents: http://apps.who.int/gb/bd/PDF/bd47/EN/staff-regu-en.pdf - Staff Regulations and Staff Rules (2010): http://www.who.int/entity/employment/staff_regulations_rules/EN_staff_regulations_and_staff_rules.pdf "Improving performance management Strategy and implementation plan": Provided by WHO on 8 April 2010 "Performance Management and Development System (PMDS) Users' Guide": Provided by WHO on 8 April 2010 - Human Resources: Annual Report (2007) (note: more said regarding performance): http://apps.who.int/gb/ebwha/pdf_files/EB122/B122_24-en.pdf
		2. The evidence suggests that this applies to all staff or that it explicitly includes senior staff (e.g., president/CEO, vice presidents, sector/program/division directors, country representatives, country directors)	Met Staff Regulations and Staff Rules (2010): http://www.who.int/entity/employment/staff_regulations_rules/EN_staff_regulations_and_staff_rules.pdf
		3. The system is fairly well described in the suite of documents provided, giving an understanding of the approach to creating performance agreements and the content of those agreements	Met - Staff Regulations and Staff Rules (2010): http://www.who.int/entity/employment/staff_regulations_rules/EN_staff_regulations_and_staff_rules.pdf "Performance Management and Development System (PMDS) Users' Guide": Provided by WHO on 8 April 2010
		4. (If the first two criteria are met) There is an explicit policy (HR or other wise) that summarises all the aims and content of the performance management system for staff	Met "Performance Management and Development System (PMDS) Users' Guide": Provided by WHO on 8 April 2010

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		5. There is evidence of compliance with the performance management system. In other words, there are management indicators that pay attention to the application of the performance management system, or there are other sources – newsletters, reports etc—that comment on how many staff (or % of all staff) that go through this system every year.	Not met • “Performance Management and Development System (PMDS) Users’ Guide”: Provided by WHO on 8 April 2010
Overall Score MI 2.5A: Strong		Overall Comments:	-
2.5B	There is a transparent incentive and reward system for staff performance	1. There is evidence (either in an HR policy or through a suite of documents) that the MO has a system for managing staff performance (see Q II KPI 5 A)	Met • Staff Regulations and Staff Rules (2010): http://www.who.int/entity/employment/staff_regulations_rules/EN_staff_regulations_and_staff_rules.pdf • See “WHO Financial Regulations” in “BASIC DOCUMENTS: Forty-seventh Edition, Including amendments adopted, up to 31 May 2009” (2009): http://apps.who.int/gb/bd/PDF/bd47/EN/financial-regu-en.pdf • United Nations International Civil Service Commission (ICSC) “Standards of Conduct for the International Civil Service”: HTTP://ICSC.UN.ORG/CSD.ASP • “Fraud Prevention Policy & Fraud Awareness Guidelines” (2005): Provided by WHO on 8 April 2010
		2. There is evidence that the system for managing staff performance is operational	Met • Staff Regulations and Staff Rules (2010): http://www.who.int/entity/employment/staff_regulations_rules/EN_staff_regulations_and_staff_rules.pdf • See “WHO Financial Regulations” in “BASIC DOCUMENTS: Forty-seventh Edition, Including amendments adopted, up to 31 May 2009” (2009): http://apps.who.int/gb/bd/PDF/bd47/EN/financial-regu-en.pdf • United Nations International Civil Service Commission (ICSC) “Standards of Conduct for the International Civil Service”: http://icsc.un.org/csd.asp • “Fraud Prevention Policy & Fraud Awareness Guidelines” (2005): Provided by WHO on 8 April 2010

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		3. There is evidence that the organisation is making efforts to better link the assessment of staff performance with incentives and/or rewards (is it looking at this issue at all – for example, has it set up a working group, is it reviewing its policy to better address this, is it seeking data from other UN agencies, etc.)	Met - Staff Regulations and Staff Rules (2010): http://www.who.int/entity/employment/staff_regulations_rules/EN_staff_regulations_and_staff_rules.pdf “Performance Management and Development System (PMDS) Users’ Guide”: Provided by WHO on 8 April 2010
		4. There is an explicit effort to explain how performance of staff relates to promotion (advancing from one grade to the next), sanctions or rewards .	Met - Staff Regulations and Staff Rules (2010): http://www.who.int/entity/employment/staff_regulations_rules/EN_staff_regulations_and_staff_rules.pdf “Performance Management and Development System (PMDS) Users’ Guide”: Provided by WHO on 8 April 2010
		5. There is a review or evaluation that comments positively on the performance management system and MO transparency in HR decisions, specifically with regards to incentives and rewards. If the review is a recent one and comments quite negatively on its HR systems, particularly in relation to performance management system, transparency of the system, etc., then the organisation should not be rated higher than adequate on this indicator..	Not met - Human Resources: Annual Report (2009): http://apps.who.int/gb/ebwha/pdf_files/EB126/B126_33-en.pdf - Human Resources: Annual Report (2008) (note: not much said regarding performance): http://apps.who.int/gb/ebwha/pdf_files/EB124/B124_30-en.pdf - Human Resources: Annual Report (2007) (note: more said regarding performance): http://apps.who.int/gb/ebwha/pdf_files/EB122/B122_24-en.pdf
Overall Score MI 2.5B: Strong		Overall Comments:	-
Portfolio Management			
2.6B	Milestones / targets are set to rate the progress of (project) implementation	1. <i>At least two of the PIPs or country workplans</i> sampled contain a description of milestones and/or targets for project/program implementation	Met Country Workplans 2010-2011 for Afghanistan and Indonesia: Provided by WHO
		2. (If first criterion is met) <i>all of the PIPs or country workplans</i> sampled contain a description of milestones and/or targets for project/program implementation	Not met Country Workplans 2010-2011 for Viet Nam, Kenya, and Columbia: Provided by WHO

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		3. (If first criterion is met) in most cases, the milestones/target provided align with activities described in the project/program implementation	Met Country Workplans 2010-2011 for Afghanistan and Indonesia: Provided by WHO
		4. (If first criterion is met) dates are established for the milestones/targets, <i>in more than half of the PIPs or country workplans sampled</i>	Met Country Workplans 2010-2011 for Indonesia, Afghanistan, Viet Nam, Kenya, and Columbia: Provided by WHO.
		5. (If all above criteria met) all above criteria met for all PIPs or country workplans sampled	Not met Country Workplans 2010-2011 for Viet Nam, Kenya, and Columbia: Provided by WHO
Overall Score MI 2.6B: Adequate		Overall Comments:	-
2.7A	Aid reallocation decisions can be made locally	1. An organisation-wide policy or guidelines exists and is corporately approved that describes financial decision-making authorities (including aid reallocation) at different levels within the organisation	Met “WHO Accountability Framework” (2006) “Programme Management in WHO Operational Planning: Business rules, Procedures (including Practical guidance)”: “WHO Country Cooperation Strategies: a Guiding Framework”: http://www.who.int/entity/countryfocus/resources/ccs_guide_english.pdf - See “WHO Financial Regulations” in “BASIC DOCUMENTS: Forty-seventh Edition, Including amendments adopted, up to 31 May 2009” (2009): http://apps.who.int/gb/bd/PDF/bd47/EN/financial-regu-en.pdf
		2. (If first criterion is met) this policy or other documents provide sufficient evidence of the types of aid reallocation decisions that can be made at the country level (in other words, MO staff in the country office can make decisions about reallocating funds)	Met “WHO Country Cooperation Strategies: a Guiding Framework”: http://www.who.int/entity/countryfocus/resources/ccs_guide_english.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		3. (If first two criteria are met) in the suite of documents available, it is possible to identify the financial amounts or parameters within which the local level does not require central level approval prior to making decisions on aid reallocation	Met • “WHO Accountability Framework” (2006). • “Programme Management in WHO Operational Planning: Business rules, Procedures (including Practical guidance)”: Provided by WHO on 8 April 2010 • “WHO Country Cooperation Strategies: a Guiding Framework”: http://www.who.int/entity/countryfocus/resources/ccs_guide_english.pdf • See “WHO Financial Regulations” in “BASIC DOCUMENTS: Forty-seventh Edition, Including amendments adopted, up to 31 May 2009” (2009): http://apps.who.int/gb/bd/PDF/bd47/EN/financial-regu-en.pdf
		4. The organisation has made efforts to improve delegation of decision making to the country or other relevant levels (particularly relevant for those MOs with limited field presence)	• “Programme Management in WHO Operational Planning: Business rules, Procedures (including Practical guidance)”
		5. An operational review/evaluation of the MO comments positively on progress in the delegation of aid reallocation decisions to the country or other relevant level	Not met: No evidence found.
		Overall Score MI 2.7A: Strong	Overall Comments: -
2.7B	New aid programs / projects can be approved locally within a budget cap	1. An organisation-wide policy or other document exists and is corporately approved that describes financial decision-making authorities (including aid reallocation) at different levels within the organisation	Met • “WHO Country Cooperation Strategies: a Guiding Framework”: http://www.who.int/entity/countryfocus/resources/ccs_guide_english.pdf • “Programme Management in WHO Operational Planning: Business rules, Procedures (including Practical guidance)”: Provided by WHO on 8 April 2010
		2. (If first criterion is met) this policy or other document provide sufficient evidence of the types of decisions about funding new initiatives (plans, projects, programs) that can be made at the country level (or other local level as appropriate). In other words, MO staff in the country office can approve funding.	Met • “WHO Country Cooperation Strategies: a Guiding Framework”: http://www.who.int/entity/countryfocus/resources/ccs_guide_english.pdf

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		3. (If first two criteria are met) in the suite of documents available, it is possible to identify the financial amounts (budget ceilings or allocations) or parameters within which the local level does not require central level approval prior to making decisions on new initiatives	Not met • “WHO Country Cooperation Strategies: a Guiding Framework”: http://www.who.int/entity/countryfocus/resources/ccs_guide_english.pdf
		4. The organisation has made efforts to improve delegation of decision making to the country or other relevant levels (particularly relevant for those MOs with limited field presence)	Met • “Programme Management in WHO Operational Planning: Business rules, Procedures (including Practical guidance)”: Provided by WHO on 8 April 2010
		5. An operational review/evaluation of the MO comments positively on progress in the delegation of authority to approve new aid programs/projects to the country or other relevant level (Note: it there is a review/evaluation that comments negatively on this point, the findings should be noted and the rating should probably not be higher than adequate)	Not met: No evidence found.
Overall Score MI 2.7B: Adequate		Overall Comments:	-

QUADRANT III – RELATIONSHIP MANAGEMENT

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
Alignment			
3.3A	% of the MOs overall ODA disbursements / support recorded in the annual budget as revenue, grants, or ODA loans	Very weak = Less than 30% of MO's aid flows are aligned on national procedures.	-
		Weak = Between 30% and 49% (inclusively) of MO's aid flows are aligned on national procedures.	Met PowerPoint presentations: • “Global Progress in Harmonization & Alignment, WHO's Contribution to the PD Survey 2008”: Provided by WHO on 8 April 2010 • “Compliance with Paris Declaration Principles: Challenges and responses for WHO country teams” (June 2009): Provided by WHO on 8 April 2010
		Inadequate = Between 50% and 69% (inclusively) of MO's aid flows are aligned on national procedures.	Not met
		Adequate = Between 70% and 84% (inclusively) of MO's aid flows are aligned on national procedures.	Not met
		Strong = Between 85% and 90% (inclusively) of MO's aid flows are aligned on national procedures.	Not met
		Very strong = More than 90% of MO's aid flows are aligned on national procedures.	Not met
		Overall Score MI 3.3A: Weak	
3.3B	% of the MOs overall ODA disbursements / support using national systems and procedures	Very weak = Less than 20% of MO's aid flows use national financial management / procurement systems.	PD Indicator 5b. Met PowerPoint presentations: • “Global Progress in Harmonization & Alignment, WHO's Contribution to the PD Survey 2008”: Provided by WHO on 8 April 2010 • “Compliance with Paris Declaration Principles: Challenges and responses for WHO country teams” (June 2009): Provided by WHO on 8 April 2010

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		Weak = Between 20% and 39% (inclusively) of MO's aid flows use national financial management/ procurement systems.	PD Indicator 5a. Met PowerPoint presentations: • “Global Progress in Harmonization & Alignment, WHO’s Contribution to the PD Survey 2008”: Provided by WHO on 8 April 2010. • “Compliance with Paris Declaration Principles: Challenges and responses for WHO country teams” (June 2009): Provided by WHO on 8 April 2010
		Inadequate = Between 40% and 59% (inclusively) of MO's aid flows use national financial management/ procurement systems.	Not met
		Adequate = Between 60% and 79% (inclusively) of MO's aid flows use national financial management/ procurement systems.	Not met
		Strong = Between 80% and 90% (inclusively) of MO's aid flows use national financial management/ procurement systems.	Not met
		Very strong = More than 90% of MO's aid flows use national financial management/ procurement systems.	Not met
Overall Score MI 3.3B: Weak		Overall Comments:	-
3.3C	Reduction in total stock of PIUs	Very weak = The number of parallel Project Implementation Units (PIUs) of the MO has not been reduced or has been increased.	-
		Weak = The number of parallel Project Implementation Units (PIUs) of the MO has been reduced between 1 and 24% (inclusively).	-
		Inadequate = The number of parallel Project Implementation Units (PIUs) of the MO has been reduced between 25 and 49% (inclusively).	-
		Adequate = The number of parallel Project Implementation Units (PIUs) of the MO has been reduced between 50 and 65% (inclusively).	-

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		Strong = The number of parallel Project Implementation Units (PIUs) of the MO has been reduced between 66% (two-thirds) and 75% (inclusively).	Met PowerPoint presentations: • “Global Progress in Harmonization & Alignment, WHO’s Contribution to the PD Survey 2008”: Provided by WHO on 8 April 2010 • “Compliance with Paris Declaration Principles: Challenges and responses for WHO country teams” (June 2009): Provided by WHO on 8 April 2010
		Very strong = The number of parallel Project Implementation Units (PIUs) of the MO has been reduced in more than 75%.	Not met
Overall Score MI 3.3C: Strong		Overall Comments:	WHO was considered to be Strong based on the data that indicates it has only one PIU.
HARMONISATION			
3.5A	The extent to which the MO participates in joint missions (coordination, analysis, design, evaluation)	Very weak = Less than 10% of MO’s missions to the field are joint.	-
		Weak = Between 10% and 19% (inclusively) of MO’s missions to the field are joint.	-
		Inadequate = Between 20% and 29% (inclusively) of MO’s missions to the field are joint.	-
		Adequate = Between 30% and 39%(inclusively) of MO’s missions to the field are joint.	-
		Strong = Between 40% and 50% (inclusively) of MO’s missions to the field are joint.	-
		Very strong = More than 50% of MO’s missions to the field are joint.	Met PowerPoint presentations: • “Global Progress in Harmonization & Alignment, WHO’s Contribution to the PD Survey 2008”: Provided by WHO on 8 April 2010 • “Compliance with Paris Declaration Principles: Challenges and responses for WHO country teams” (June 2009): Provided by WHO on 8 April 2010

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
Overall Score MI 3.5A: Very strong		Overall Comments:	-
3.5B	The extent to which MO technical cooperation is disbursed through coordinated programs	Very weak = Less than 10% of MO's capacity-development support is provided through coordinated programs.	-
		Weak = Between 10% and 20% (inclusively) of MO's capacity-development support is provided through coordinated programs.	-
		Inadequate = Between 21% and 35% (inclusively) of MO's capacity-development support is provided through coordinated programs.	-
		Adequate = Between 36% and 50% (inclusively) of MO's capacity-development support is provided through coordinated programs.	-
		Strong = Between 50% and 60% (inclusively) of MO's capacity-development support is provided through coordinated programs.	-
		Very strong = More than 60% of MO's capacity-development support is provided through coordinated programs.	Met PowerPoint presentations: • “Global Progress in Harmonization & Alignment, WHO's Contribution to the PD Survey 2008”: Provided by WHO on 8 April 2010 • “Compliance with Paris Declaration Principles: Challenges and responses for WHO country teams” (June 2009): Provided by WHO on 8 April 2010
Overall Score MI 3.5B: Very strong		Overall Comments:	-
3.5C	% of the MOs overall ODA disbursements /	Very weak = Less than 20% of MO's aid is provided as program-based approaches.	-

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
	support that is for government-led PBAs (SWAps, basket funding, etc)	Weak = Between 20% and 35% (inclusively) of MO's aid is provided as program-based approaches.	Met PowerPoint presentations: • “Global Progress in Harmonization & Alignment, WHO’s Contribution to the PD Survey 2008”: Provided by WHO on 8 April 2010 • “Compliance with Paris Declaration Principles: Challenges and responses for WHO country teams” (June 2009): Provided by WHO on 8 April 2010
		Inadequate = Between 36% and 50% (inclusively) of MO's aid is provided as program-based approaches.	Not met
		Adequate = Between 51% and 65% (inclusively) of MO's aid is provided as program-based approaches.	Not met
		Strong = Between 66% and 80% (inclusively) of MO's aid is provided as program-based approaches.	Not met
		Very strong = More than 80% of MO's aid is provided as program-based approaches.	Not met
Overall Score MI 3.5C: Weak		Overall Comments:	-

QUADRANT IV – KNOWLEDGE MANAGEMENT

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
Performance Monitoring and Evaluation			
4.1A	The MO has a structurally independent evaluation unit within its organisational structure that reports to its Executive Management or Board	1. An organisation-wide (central) evaluation unit or function exists	Met • “WHO Evaluation Guidelines” (March 2006): Provided by WHO on 8 April 2010
		2. An organisation-wide evaluation policy exists and is corporately approved, which establishes that the evaluation unit has the independence to carry out evaluations without undue influence from other units of the MO.	Met • “WHO Evaluation Guidelines” (March 2006): Provided by WHO on 8 April 2010
		3. (If first three criterion is met) there is evidence of regular reports being provided by the evaluation unit or function to Executive Management (Head of Organisation) or Board on evaluations and follow-up to evaluations	Not met
		4. If a central evaluation unit exists, it is structurally independent (i.e., there is a structural separation between the evaluation unit and the line management responsible for planning and managing development assistance).	Met • “WHO Evaluation Guidelines” (March 2006): Provided by WHO on 8 April 2010 • Eleventh General Programme of Work: monitoring process, EBPBAC7/4, 10 January 2008
		5. The central evaluation unit reports directly to the MO’s Executive Board	Not Met • “Report on the activities of the internal oversight services” CE136/21, 19 may 2005 www.paho.org/english/gov/ce/ce136-21-e.pdf (art.3) • “Report on Internal Oversight Services” CE142/INF/9, 9 June 2008 www.paho.org/english/gov/ce/ce142-inf9-e.pdf • See “WHO Financial Regulations” in “BASIC DOCUMENTS: Forty-seventh Edition, Including amendments adopted, up to 31 May 2009” (2009): http://apps.who.int/gb/bd/PDF/bd47/EN/financial-regu-en.pdf
Overall Score MI 4.1A: Adequate		Overall Comments:	-

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
4.1B	# of completed programs and projects subject to independent ex-post evaluations conducted subsequent to termination, as % of average # of projects completed annually over last 5 years.	1. An organisation-wide evaluation policy or plan exists and is corporately approved which identifies the need for independent, ex-post evaluations of projects and programs	Met • “WHO Evaluation Guidelines” (March 2006): Provided by WHO on 8 April 2010
		2. (If first criterion met) this policy or plan defines the evaluation coverage of projects and programs (i.e., the number or percent of projects/programs requiring evaluations of <i>any type</i>) or it clearly explains how evaluations are planned and prioritised .	Met • “WHO Evaluation Guidelines” (March 2006): Provided by WHO on 8 April 2010 • “Evaluation Inventory at 1 March 2010”: Provided by WHO on 8 April 2010
		3. (If first criterion met) this policy or plan defines the amount or % of programming (or % of expenditures) that needs an <i>independent ex-post</i> evaluation	Not met • “WHO Evaluation Guidelines” (March 2006): Provided by WHO on 8 April 2010
		4. Reports of independent, ex-post evaluations are available for <i>at least two</i> countries sampled	Not met: No evidence found.
		5. (If fourth criterion met) reports of independent, ex-post evaluations exist for <i>all</i> countries sampled	Not met: No evidence found.
		Overall Score MI 4.1B: Inadequate	Overall Comments:
Performance Reporting			
4.2A	Reports on the achievement of outcomes, not just inputs, activities and outputs	1. Annual performance reports exist at the organisation-wide level	Met • “Programme budget 2008-2009 Performance Assessment Report” (PBPA 2008-2009): HTTP://WWW.WHO.INT/ABOUT/RESOURCES_PLANNING/PBPA-1.PDF • “Programme budget 2006-2007 Performance Assessment Report” (PBPA 2006-2007): HTTP://WHQLIBDOC.WHO.INT/PB/2006-2007/PBPA_06-07_ENG.PDF
		2. (If first criterion is met) the most recent performance report sampled describes outcomes achieved in addition to outputs	Met • “Programme budget 2008-2009 Performance Assessment Report” (PBPA 2008-2009): HTTP://WWW.WHO.INT/ABOUT/RESOURCES_PLANNING/PBPA-1.PDF

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		3. The most recent performance report sampled discusses both expected and unexpected outcomes achieved	Not met “Programme budget 2008-2009 Performance Assessment Report” (PBPA 2008-2009): HTTP://WWW.WHO.INT/ABOUT/RESOURCES_PLANNING/PBPA-1.PDF
		4. The most recent performance report sampled provides evidence for the MO’s contribution to outcome achievement (i.e., establishes a link between outputs and outcomes)	Not met “Programme budget 2008-2009 Performance Assessment Report” (PBPA 2008-2009): HTTP://WWW.WHO.INT/ABOUT/RESOURCES_PLANNING/PBPA-1.PDF
		5. (If all above criteria are met) all above criteria are met <i>for all performance reports sampled</i>	Not met “Programme budget 2006-2007 Performance Assessment Report” (PBPA 2006-2007): HTTP://WHQLIBDOC.WHO.INT/PB/2006-2007/PBPA_06-07_ENG.PDF “Proposed Programme Budget 2006-2007”: HTTP://APPS.WHO.INT/GB/E/E_PB2006.HTML
Overall Score MI 4.2A: Inadequate		Overall Comments:	-
4.2B	Reports performance using data obtained from measuring indicators	1. Annual performance reports exist at the organisation-wide level	Met “Programme budget 2008-2009 Performance Assessment Report” (PBPA 2008-2009): HTTP://WWW.WHO.INT/ABOUT/RESOURCES_PLANNING/PBPA-1.PDF “Programme budget 2006-2007 Performance Assessment Report” (PBPA 2006-2007): HTTP://WHQLIBDOC.WHO.INT/PB/2006-2007/PBPA_06-07_ENG.PDF
		2. (If first criterion is met) the most recent performance report sampled provides a clear identification of the indicators and associated measurement for the reporting period	Met “Programme budget 2008-2009 Performance Assessment Report” (PBPA 2008-2009): HTTP://WWW.WHO.INT/ABOUT/RESOURCES_PLANNING/PBPA-1.PDF
		3. (If first two criteria are met) the most recent performance report sampled presents an illustration of trends in measurement over a period of time (i.e., indicator data are compared across X years)	Not met “Programme budget 2008-2009 Performance Assessment Report” (PBPA 2008-2009): HTTP://WWW.WHO.INT/ABOUT/RESOURCES_PLANNING/PBPA-1.PDF

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		4. (If first two criteria are met) the most recent performance report sampled compares indicator measurement to baseline and/or target amounts (either in graph or narrative form)	Met “Programme budget 2008-2009 Performance Assessment Report” (PBPA 2008-2009): HTTP://WWW.WHO.INT/ABOUT/RESOURCES_PLANNING/PBPA-1.PDF
		5. (If all above criteria are met) all above criteria are met for all performance reports sampled	Not met “Programme budget 2008-2009 Performance Assessment Report” (PBPA 2008-2009): HTTP://WWW.WHO.INT/ABOUT/RESOURCES_PLANNING/PBPA-1.PDF “Programme budget 2006-2007 Performance Assessment Report” (PBPA 2006-2007): HTTP://WHQLIBDOC.WHO.INT/PB/2006-2007/PBPA_06-07_ENG.PDF
Overall Score MI 4.2B: Adequate		Overall Comments:	-
4.2C	Reports against its Corporate Strategy, including expected management and development results	1. Annual performance reports exist at the organisation-wide level	Met “Programme budget 2008-2009 Performance Assessment Report” (PBPA 2008-2009): HTTP://WWW.WHO.INT/ABOUT/RESOURCES_PLANNING/PBPA-1.PDF “Programme budget 2006-2007 Performance Assessment Report” (PBPA 2006-2007): HTTP://WHQLIBDOC.WHO.INT/PB/2006-2007/PBPA_06-07_ENG.PDF
		2. (If first criterion is met) the most recent performance report sampled makes reference to the expected results identified in the organisation-wide DRF	Not met “Programme budget 2008-2009 Performance Assessment Report” (PBPA 2008-2009): HTTP://WWW.WHO.INT/ABOUT/RESOURCES_PLANNING/PBPA-1.PDF
		3. (If first criterion is met) the most recent performance report sampled makes reference to the expected results identified in the organisation-wide MRF	Met “Programme budget 2008-2009 Performance Assessment Report” (PBPA 2008-2009): HTTP://WWW.WHO.INT/ABOUT/RESOURCES_PLANNING/PBPA-1.PDF
		4. (If criterion two and/or three are met) the most recent performance report sampled describes the extent of achievement to date of results identified in the DRF and/or MRF, along with an explanation of any variances	Met “Programme budget 2008-2009 Performance Assessment Report” (PBPA 2008-2009): HTTP://WWW.WHO.INT/ABOUT/RESOURCES_PLANNING/PBPA-1.PDF

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		5. (If all above criteria are met) all above criteria are met for all performance reports sampled	Not met • “Programme budget 2008-2009 Performance Assessment Report” (PBPA 2008-2009): HTTP://WWW.WHO.INT/ABOUT/RESOURCES_PLANNING/PBPA-1.PDF • “Programme budget 2006-2007 Performance Assessment Report” (PBPA 2006-2007): HTTP://WHOLIBDOC.WHO.INT/PB/2006-2007/PBPA_06-07_ENG.PDF
Overall Score MI 4.2C: Adequate		Overall Comments:	Note: The development and management results frameworks (DRF and MRF) are not separate but rather joined under a single results framework.
4.2D	Reports against its Paris Declaration commitments using indicators and country targets	1. An annual, organisation-wide report on the MO's performance against Paris Declaration (PD) commitments exists	Met PowerPoint presentations: • “Global Progress in Harmonization & Alignment, WHO's Contribution to the PD Survey 2008”: Provided by WHO on 8 April 2010 • “Compliance with Paris Declaration Principles: Challenges and responses for WHO country teams” (June 2009): Provided by WHO on 8 April 2010
		2. (If the first criterion is met) the most recent report describes the extent of achievement to date of PD commitments, using indicators	Met PowerPoint presentations: • “Global Progress in Harmonization & Alignment, WHO's Contribution to the PD Survey 2008”: Provided by WHO on 8 April 2010. • “Compliance with Paris Declaration Principles: Challenges and responses for WHO country teams” (June 2009): Provided by WHO on 8 April 2010.
		3. (If the first two criteria are met) the most recent report shows country targets for PD commitments	Not met PowerPoint presentations: • “Global Progress in Harmonization & Alignment, WHO's Contribution to the PD Survey 2008”: Provided by WHO on 8 April 2010. • “Compliance with Paris Declaration Principles: Challenges and responses for WHO country teams” (June 2009): Provided by WHO on 8 April 2010

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		4. (If all above criteria are met) the most recent report shows the extent of achievement to date of PD commitments by country	Not met PowerPoint presentations: “Global Progress in Harmonization & Alignment, WHO’s Contribution to the PD Survey 2008”: Provided by WHO on 8 April 2010 “Compliance with Paris Declaration Principles: Challenges and responses for WHO country teams” (June 2009): Provided by WHO on 8 April 2010
		5. (If all above criteria are met) all above criteria are met for all reports sampled	Not met PowerPoint presentations: “Global Progress in Harmonization & Alignment, WHO’s Contribution to the PD Survey 2008”: Provided by WHO on 8 April 2010 “Compliance with Paris Declaration Principles: Challenges and responses for WHO country teams” (June 2009): Provided by WHO on 8 April 2010
Overall Score MI 4.2D: Inadequate		Overall Comments:	-
4.2E	Reports on adjustments made or recommended to the organisation wide policies and strategies based on performance information	1. Information on organisation-wide performance (i.e., outcomes achieved) is available in annual (or multi-year) performance reports that are submitted to the Executive Board	Met “Programme budget 2008-2009 Performance Assessment Report” (PBPA 2008-2009): HTTP://WWW.WHO.INT/ABOUT/RESOURCES_PLANNING/PBPA-1.PDF “Programme budget 2006-2007 Performance Assessment Report” (PBPA 2006-2007): HTTP://WHQLIBDOC.WHO.INT/PB/2006-2007/PBPA_06-07_ENG.PDF
		2. (If first criterion is met) one performance report reviewed describes the implications of this performance information on the MO’s policies (i.e., what policies need to be changed, removed, or added as a result of what has been learned from collecting performance information)	Met - Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html - Programme budget 2008-2009

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		3. (If first criterion is met) one performance report reviewed describes changes made to <i>at least one</i> policy, resulting at least in part from what has been learned from performance information	Met - Medium-term strategic plan 2008-2013 (Amended Draft) and Proposed Programme Budget 2010-2011, http://apps.who.int/gb/e/e_amtsp3.html - Programme budget 2008-2009 “Programme budget 2006-2007 Performance Assessment Report” (PBPA 2006-2007): HTTP://WWW.WHO.INT/PB/2006-2007/PBPA_06-07_ENG.PDF
		4. (If third criterion is met) one performance report reviewed describes changes made to <i>more than one</i> policy, resulting at least in part from what has been learned from performance information	Not met HTTP://APPS.WHO.INT/GB/PBAC/PDF_FILES/NINTH/PBAC9_6-EN.PDF
		5. (If all above criteria are met) all performance reports reviewed meet all above criteria.	Not met
Overall Score MI 4.2E: Adequate		Overall Comments:	The changes in the MTSP 2008-2013 that have been made as a result of reflections emerging from the biennium assessments (for example, the 2006-2007 PBPA) have been considered as a change to Policy.
4.2F	Reports on country (or other) level programming adjustments made or recommended based on performance information.	1. MO reports submitted to the Executive Board, at the country and/or organisation-wide levels, contain information on country performance (i.e., outcomes achieved)	Met End-of-Biennium Performance Assessment Office-Specific Expected Result (OSER) Reports 2008-2009 for Viet Nam, Indonesia, Kenya, Columbia, and Afghanistan: Provided by WHO on 31 May 2010
		2. (If first criterion is met) for at least two countries, there is a description, in one of the above-mentioned reports, of the implications of this performance information on planning new interventions (i.e., how new interventions in the planning stage need to be altered, or what new interventions should be developed, in reaction to the performance information)	Met - End-of-Biennium Performance Assessment Office-Specific Expected Result (OSER) Reports 2008-2009 for Viet Nam, Indonesia, Kenya, Columbia, and Afghanistan: Provided by WHO on 31 May 2010. “Kenya Country Cooperation Strategy 2008-2013”: HTTP://WWW.WHO.INT/COUNTRYFOCUS/COOPERATION_STRATEGY/LISTOFCCS/EN/INDEX.HTML

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		3. (If first criterion is met) for at least two countries, one of the reports described above describe changes made to the planning of new interventions as a result of what was learned from performance information.	Met - End-of-Biennium Performance Assessment Office-Specific Expected Result (OSER) Reports 2008-2009 for Viet Nam, Indonesia, Kenya, Columbia, and Afghanistan: Provided by WHO on 31 May 2010. “Kenya Country Cooperation Strategy 2008-2013”: HTTP://WWW.WHO.INT/COUNTRYFOCUS/COOPERATION_STRATEGY/LISTOFCCS/EN/INDEX.HTML
		4. (If all above criteria are met) for at least two countries, the reports described above confirm that new interventions have been implemented according to the required changes	Not met - End-of-Biennium Performance Assessment Office-Specific Expected Result (OSER) Reports 2008-2009 for Viet Nam, Indonesia, Kenya, Columbia, and Afghanistan: Provided by WHO on 31 May 2010. “Kenya Country Cooperation Strategy 2008-2013”: HTTP://WWW.WHO.INT/COUNTRYFOCUS/COOPERATION_STRATEGY/LISTOFCCS/EN/INDEX.HTML
		5. (If all above criteria are met) all criteria met for all countries.	Not met: No evidence found.
Overall Score MI 4.2F: Adequate		Overall Comments:	-
Dissemination of lessons learned			
4.3A	Reports on lessons learned based on performance information	1. There is some evidence that the organisation is committed to the identification, documentation, and dissemination of lessons learned and/or best practices at multiple levels within the organisation	Not met: No evidence found.

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		2. <i>At least two reports</i> are available at the organisation-wide level that contain lessons learned, based on performance information (including research papers, evaluations, etc)	Met “Country experiences in implementing patient monitoring systems for HIV care and antiretroviral therapy in Ethiopia, Guyana and India: an overview of best practices and lessons learned” (2010): WHQLIBDOC.WHO.INT/PUBLICATIONS/2010/9789241599009 ENG.PDF “Healthy hospitals, healthy planet, healthy people: Addressing climate change in healthcare settings”: HTTP://WWW.WHO.INT/ENTITY/GLOBALCHANGE/PUBLICATIONS/HEALTHCARE_SETTINGS/EN/INDEX.HTML “Medical Savings Accounts: Lessons Learned from Limited International Experience; Discussion Paper Number 3 – 2002”: WWW.WHO.INT/ENTITY/HEALTHINFO/PAPER52.PDF “Programme budget 2008-2009 Performance Assessment Report” (PBPA 2008-2009): HTTP://WWW.WHO.INT/ABOUT/RESOURCES_PLANNING/PBPA-1.PDF “Programme budget 2006-2007 Performance Assessment Report” (PBPA 2006-2007): HTTP://WWW.WHO.INT/PB/2006-2007/PBPA_06-07 ENG.PDF
		3. (If the third criterion is met) more than half of the lessons learned that are documented in these reports appear to be <i>significant</i> to the organisation and its programming.	Met “Country experiences in implementing patient monitoring systems for HIV care and antiretroviral therapy in Ethiopia, Guyana and India: an overview of best practices and lessons learned” (2010): WHQLIBDOC.WHO.INT/PUBLICATIONS/2010/9789241599009 ENG.PDF “Healthy hospitals, healthy planet, healthy people: Addressing climate change in healthcare settings”: HTTP://WWW.WHO.INT/ENTITY/GLOBALCHANGE/PUBLICATIONS/HEALTHCARE_SETTINGS/EN/INDEX.HTML “Medical Savings Accounts: Lessons Learned from Limited International Experience; Discussion Paper Number 3 – 2002”: WWW.WHO.INT/ENTITY/HEALTHINFO/PAPER52.PDF

Quad. / KPI	Micro-Indicator	Criteria	Evidence / Discussion
		4. (If the third criterion is met) more than half of the lessons learned that are documented in these reports appear to be <i>applicable</i> to the organisation and its programming.	Met • “Country experiences in implementing patient monitoring systems for HIV care and antiretroviral therapy in Ethiopia, Guyana and India: an overview of best practices and lessons learned” (2010): WHQLIBDOC.WHO.INT/PUBLICATIONS/2010/9789241599009 ENG.PDF • “Healthy hospitals, healthy planet, healthy people: Addressing climate change in healthcare settings”: HTTP://WWW.WHO.INT/ENTITY/GLOBALCHANGE/PUBLICATIONS/HEALTHCARE_SETTINGS/EN/INDEX.HTML • “Medical Savings Accounts: Lessons Learned from Limited International Experience; Discussion Paper Number 3 – 2002”: WWW.WHO.INT/ENTITY/HEALTHINFO/PAPER52.PDF • “Programme budget 2008-2009 Performance Assessment Report” (PBPA 2008-2009): HTTP://WWW.WHO.INT/ABOUT/RESOURCES_PLANNING/PBPA-1.PDF • “Programme budget 2006-2007 Performance Assessment Report” (PBPA 2006-2007): HTTP://WWW.WHO.INT/PB/2006-2007/PBPA_06-07 ENG.PDF
		5. The organisation has a knowledge management or other such strategy that clearly identifies how it approaches the sharing of knowledge, learning, etc in the organisation	Not met: No evidence found.
		Overall Score MI 4.3A: Adequate	Overall Comments:
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