

**REVIEW OF MANAGEMENT AND ADMINISTRATION IN  
THE WORLD METEOROLOGICAL ORGANIZATION  
(WMO): ADDITIONAL ISSUES**

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## I. INTRODUCTION

1. In 2007 JIU made a comprehensive review of management and administration in the World Meteorological Organization (WMO) and prepared a report (JIU/REP/2007/11) to be submitted to the governing bodies of WMO.
2. The objective of this management letter is to provide comments and recommendations on additional issues, and also detailed explanations and recommendations on some issues that were touched upon in the aforementioned report.

## II. ADDITIONAL ISSUES, COMMENTS AND RECOMMENDATIONS

### A. Results-based management

#### Structure of the planning process

3. WMO lacks a clear methodology and written guidelines and procedures for the preparation of the strategic and operational plans, the programme budget, and performance monitoring reports. In this regard, the roles and responsibilities of departments and offices have not been clearly defined, and ad hoc arrangements are the norm. IOO has addressed this issue and recommended that "...a consolidated Service Note should be issued for improving clarity of roles and responsibilities of all concerned".<sup>1</sup> However, this recommendation has not yet been implemented.
4. In the financial period 2008-2011, WMO planning instruments comprise three levels:
  - Strategic plan defining top-level objectives, expected results and key performance indicators;
  - Secretariat operating plan defining programme activities, services and key performance targets (KPT) to achieve expected results set by the strategic plan;
  - Budget identifying specific deliverables, activities and required resources for the concerned departments to achieve each expected result, and related performance indicators.
5. Under this structure, the strategic plan is formulated on top-level expected results, the operating plan on programmes and activities, and the budget on expected results which are based on departments. The budget document indicates financial resources required for each expected result and also for each department. The Inspector is of the view that the results-based approach would be improved if the operating plan were also to be prepared on the basis of expected results, thus aligning it with strategic plan and the budget.
6. The Inspector has found that linkages between concepts in the planning instruments are not clear. While the strategic plan includes key performance indicators for each expected result, the operating plan does not link programme deliverables with performance indicators, thus making it difficult to measure progress towards expected results. Instead, in the operating plan there are deliverables and key performance targets (KPTs) for each programme and service. Thus, in the measurement of progress to achieve expected results, KPTs are the main indicators in the operating plan without any link to key performance indicators. Moreover, for the most part, KPTs are either too general or include activities rather than results, which makes it difficult to measure progress towards achievement of expected results.

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<sup>1</sup> "Internal Audit – Results-based budgeting", IOO Report 03, November 2006, p. 9, para. 2.9.

7. In the budget document, while key performance indicators together with expected results are listed, the deliverables and activities listed for each department under expected results do not have any meaningful link to key performance indicators or KPTs. In addition, many deliverables, both in the operating plan and the budget, are general statements that are not conducive to the results-based management (RBM) process.

8. The Inspector has also observed that, since the programme structure overlaps, for the most part, the department structure, the same deliverables and activities are repeated in the operating plan and the programme and budget under different headings. In addition, while in the operating plan a timeline is provided for deliverables, it is not provided in the budget for departments, which makes it difficult to assess the performance of departments.

9. The Inspector believes that the multiplicity and vagueness of concepts, multiple layers of documents, inconsistencies, and unclear linkages between the planning instruments, make the process unduly complex and are likely to present difficulties for the effective implementation of RBM. This situation also complicates the monitoring and reporting processes. The present structure appears to lack a sound and simple logical framework for effective results-based implementation. In the light of experience from implementation and feedback from staff, it should be assessed and improved in due course.

10. The objectives, expected results and performance indicators provided in the planning instruments are too general and have limited measurability. Performance indicators and key performance targets fall short of the requirement to be specific, measurable, attainable, relevant and time-bound (SMART), limiting their effectiveness to measure progress towards expected results and objectives. The implementation of the following recommendations is expected to improve management through enhanced efficiency by strengthening the results-based approach.

**Recommendation 1**

**The Secretary-General should strive to enhance the result-based approach by refining objectives, expected results, activities and outputs to ensure uniformity and clarity and by developing adequate, specific and measurable performance indicators at the strategic and programme levels.**

**Recommendation 2**

**The Secretary-General should periodically monitor and assess the implementation of the new planning structure and provide feedback thereon to the Executive Council with a view to improving the logical framework for the results approach, rationalizing the linkages between the planning instruments.**

**Recommendation 3**

**The Secretary-General should establish a clear division of responsibilities and a coordination mechanism within the secretariat for the preparation of the strategic plan, the operating plan, the programme and budget, and performance reports.**

**Monitoring, evaluation and reporting**

11. The Inspector found that WMO does not yet undertake regular, periodic monitoring and reporting. Implementation monitoring, involving frequent and ongoing recording of data, and results monitoring, involving the periodic collection of data on the actual achievement of results, should both be in place. In addition, a formal framework for the preparation of the programme performance report should be established. In existing reports, there are no baseline data, which makes performance assessment difficult and rather abstract. There are no established mechanisms and guidelines across the organization to collect data to monitor implementation and results. In this regard, the information system should be used to provide an online assessment and follow-up mechanism.

12. Performance assessments undertaken by WMO have not been adequately fed back into the planning and programming process, partly because performance reports have not been produced in a timely manner, but also because these reports are output rather than results oriented. In addition, since there are no baselines, it is difficult to link previous achievements and expected results and performance indicators.

13. WMO currently prepares a four-year budget but biennial appropriations. For the first biennium, there is no comprehensive programme budget, so there is no basis for monitoring, performance assessment and evaluation. In his report, the Inspector has recommended that WMO should move to biennial budgeting.<sup>2</sup> In this scenario, the first performance reporting should take place in the second year of the biennium to feed back to the preparation of the next biennial budget.

14. RBM requires all parts of the Organization to operate on the basis of results. In a top-down process, the objectives of the Organization must be reflected at the departmental and unit levels as specific expected results and benchmark indicators, and individuals must have work plans and indicators of achievement for assessment purposes. The Inspector found, however, that the results approach did not cascade down through the Organization since unit and individual work plans and performance assessment were lacking.

15. Monitoring and evaluation are vital for programmatic activities in order to assess their usefulness and make necessary adjustments to optimize results. The evaluation function has been established only recently in the Organization, with an evaluation professional recruited in 2007. Until now, there has been a notable lack of evaluation of programmes and projects, and no established practice of self-evaluation. Self-evaluation enables managers to see strengths and weakness, and identify opportunities and threats for their work, facilitating improvement. The implementation of the following recommendations is expected to improve management through enhanced efficiency by strengthening the results-based approach.

**Recommendation 4**

**The Secretary-General should ensure that a sound monitoring mechanism is in place, including effective data collection and storage to capture information, as well as regular reporting, and that clear guidelines are provided.**

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<sup>2</sup> JIU/REP/2007/11, recommendation 4.

**Recommendation 5**

**The Secretary-General should ensure that an effective evaluation function is in place, including a self-evaluation mechanism that is supported by clear guidelines and training.**

**Recommendation 6**

**To facilitate monitoring, evaluation and reporting, the Secretary-General should ensure that all levels of the Organization (departments, divisions, offices, units and individuals) have specific and detailed plans and performance indicators that link together in a logical framework with the overall objectives and expected results of the Organization.**

**B. Organizational structure**

16. The Human Resources Division (HRD) currently handles payroll management. This has created problems related to the separation of approving and certifying authority. The Inspector is of the opinion that this function would be more appropriately located in the Finance Division, which would enhance treasury management. The implementation of the following recommendations is expected to improve management through enhanced efficiency.

**Recommendation 7**

**The Secretary-General should reposition the payroll management function in the Finance Division.**

**C. Information management**

**Knowledge management**

17. Although WMO has made progress in developing its information technology systems, it lacks a comprehensive knowledge management strategy. Nevertheless, WMO management took an important step in 2007 when it developed a document management policy and established a document management board. One of the responsibilities of this board is to submit a proposal for an information management policy to the Secretary-General. The Inspector would like to point out that the issue of knowledge management is much larger than just document management, encompassing collection, creation, storage, analysis, dissemination, sharing and flow of information. In view of the cross-cutting nature of the information that the Organization handles, management should establish a cross-departmental board to develop a knowledge management strategy, with a specific department assigned the necessary authority for organization and coordination. The implementation of the following recommendation is expected to improve management through the dissemination of best practices.

**Recommendation 8**

**The Secretary-General should prepare a knowledge management strategy that, inter alia, covers collection, creation, storage, analysis, dissemination, sharing and flow of information.**

**Archiving**

18. The Inspector visited the WMO archives in the basement of the WMO building and found that documents and records are stored haphazardly and not according to any policy or procedures. Valuable historical documents have been placed on shelves without prior classification or any other means for recognition or retrieval. The Organization urgently needs an archiving policy that includes the following:

- Classification of documents and retention periods;
- Identification, collection and preservation of original and unique records that document the history of WMO;
- Identification and collection of records of legal, administrative, financial and historical value;
- Necessary steps to ensure the preservation and conservation of records, and their evidential value;
- Access rules and dissemination of this information to encourage the use of documents by staff, delegates, the academic community and the wider public;
- User-friendly electronic information for ease of access.

The Secretary-General should prepare such an archiving policy and submit it to the Executive Council for approval and funding. In the meantime, improvements should be made through a step-by-step approach. The implementation of the following recommendation is expected to improve management through the dissemination of best practices.

**Recommendation 9**

**The Secretary-General should develop an archiving policy as a matter of urgency, setting appropriate standards for classification, retention, preservation, safety and access.**

**D. Internal controls**

19. Over a long period, WMO suffered from insufficient and inadequate internal controls that gave way to the fraud that was detected in 2003. The Inspector notes that the external auditor and, in particular, the Internal Oversight Office (IOO) have undertaken detailed audits and made a considerable number of recommendations for improvement in the area of internal controls, and since 2005 there has been progress. Nevertheless, serious problems persist, particularly with regard to the fragmentation of the regulatory framework and the implementation of new Oracle system, as discussed in the Inspector's report on WMO management and administration (JIU/REP/2007/11).

20. Many internal and external oversight recommendations address internal control procedures and, when implemented, can have a significant impact on such controls. Thus, full

implementation, or at least a high rate of implementation, is critical to bring about improvements in this area. As of February 2007, the implementation status of oversight recommendations made in 2004-2006 was as follows: of 293 recommendations, 176 (60 per cent) fully implemented; 36 (12 per cent) partially implemented; and 81(28 per cent) not implemented.<sup>3</sup> Although there is significant progress in the implementation level, there is clearly room for further improvement.

21. Among those recommendations not implemented, 19 per cent related to budgeting and monitoring; 25 per cent to financial management and accounts; 14 per cent to information technology; and 12 per cent to management of goods and services.<sup>4</sup> It poses significant risk that many recommendations that have not been implemented are essential to sound internal control, particularly in financial, accounting and budgeting operations. Full and speedy implementation of recommendations is important to provide a reasonable assurance regarding internal control.

22. The Inspector is of the view that top management, and in particular the Secretary-General, should take steps to ensure that oversight recommendations are implemented. They should ascertain the reasons behind slow implementation and take remedial action. Time frames should be set out for implementation, which would facilitate follow up and reporting and enhance accountability.

23. Internal control is the responsibility of management and, in this regard, an internal control assurance statement by the management is an important step. The Inspector noted that WMO management, on the recommendation of the external auditor, has planned this statement for 2007. WMO management's ownership of this responsibility should likewise be reflected in the rate of implementation. The Inspector believes that it would be advisable to set up an internal committee consisting of the Secretary-General as chair, the head of IOO and relevant senior managers to address problems that prevent the timely implementation of all oversight recommendations, including those of the external auditor and JIU. The implementation of the following recommendations is expected to improve management through enhanced effectiveness of oversight in WMO.

**Recommendation 10**

**The Secretary-General should ensure that managers provide a reasonable deadline for the full implementation of each oversight recommendation.**

**Recommendation 11**

**The Secretary-General should take measures to speed up the implementation of all oversight recommendations.**

<sup>3</sup> "IOO Annual Accountability Report 2006", Cg-XV/Doc. 10.1(6), para. 117.

<sup>4</sup> Ibid., para. 118.

### **E. Change management**

24. WMO has initiated a considerable number of reforms in an effort to create a modern and accountable organization. The Inspector, however, has observed that reforms have not permeated all parts of the organization. Better planning, organization and effective communication to staff are needed. Results of the WMO staff survey indicate that the benefits to be obtained from the reforms are not well understood by the staff at large. The Inspector stresses that it is the responsibility of management to ensure that change management processes are fully transparent, that the staff are consulted and kept informed at all stages, and that the benefits of the reforms are clearly demonstrated.