

# UNHCR Field Review

Presentation of main findings

14 May 2008

# Focus of the Field Review

**Objective: improve effectiveness, efficiency, flexibility and overall performance at field level**

## IMPLEMENTING ARRANGEMENTS

***Key ratio:***

- Ratio of indirect and direct implementation (as a percentage of field expenditures)

***Significance:***

- Improve management of operational costs
- Ensure necessary flexibility

## WORKFORCE COMPOSITION

***Key ratios:***

- Ratio of national officers to professional staff
- Percentage of field expenditures channeled to UNVs and UNOPS

***Significance:***

- Increase availability of local expertise
- Improve management of staff costs
- Ensure necessary flexibility

## FIELD DEPLOYMENT

***Key ratio:***

- Ratio of staff outside of capital cities to all country staff

***Significance:***

- Improve services to beneficiaries
- Ensure optimal coordination with partners

# Presentation agenda

- **Current ratios and trends**
- **Drivers of current ratios**
- **Scope for change**

## Summary of current ratios and recent trends

### Implementing arrangements

- Use of implementing partners has increased in value but declined as a share of total UNHCR's field expenditures from 41% in 2001 to 36% in 2006. Variations between countries are more significant than the global trend.
- Direct implementation by UNHCR currently represents 25 to 35% of total field expenditures, not including operational partners.

### Workforce composition

- International officers currently represent 80% of UNHCR's professional staff in the field, although the ratio has moved slightly in favor of national officers over the last seven years. Variations between countries are more significant than the global trend.
- Today, national and international officers fulfill the same functions with national officers increasingly engaged in protection work, from 14% in 2000 to 27% in 2007.
- Although UNVs and UNOPS represents on average 50% of the professional workforce in countries that use this additional workforce, the overall share of the field's expenditures on UNVs and UNOPS remains low. The number of country programmes using UNVs and UNOPs is, however, increasing.

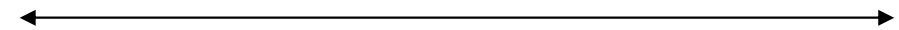
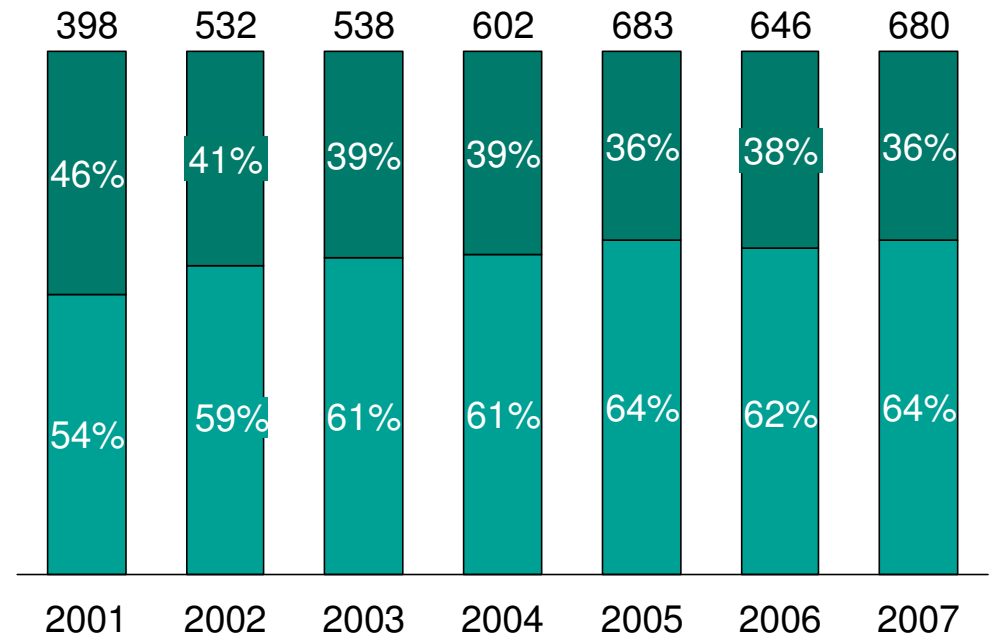
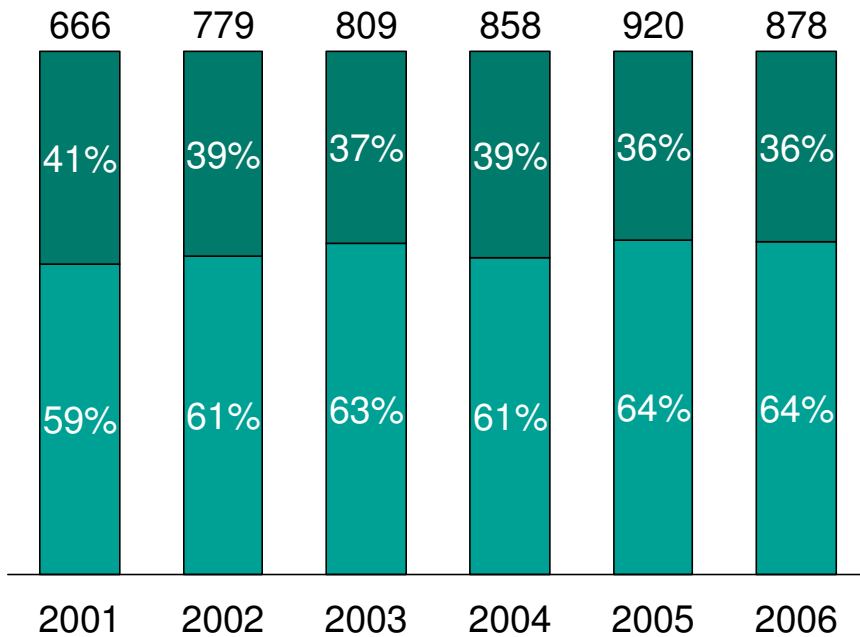
### Field deployment

- 58% of UNHCR's workforce deployed in the field is located outside capital cities.
- From 2000 to 2007, a 6% compounded annual growth occurred in the number of staff deployed outside of capital cities (compared to a 4% compounded annual growth in the number of staff in capital cities).

# The use of implementing partners has declined by 12% from 2001 to 2006

**Split of total field expenditures – all countries**  
-2001 to 2006, m USD-

**Split of total field expenditures – 50 selected countries**  
-2001 to 2007<sup>(1)</sup>, m USD-



The variation between countries are more significant than the global trend

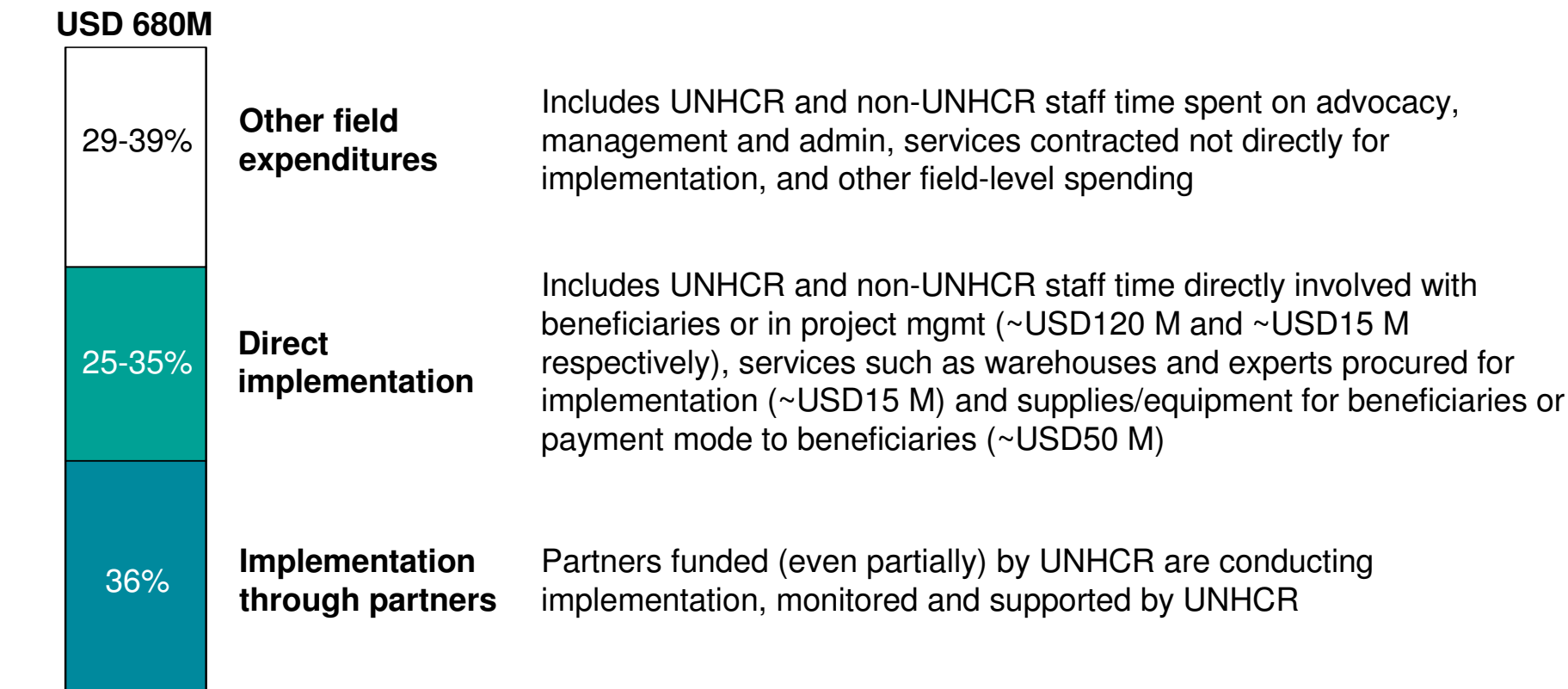
- Other Field Expenditures
- Implementing Partners expenditures

Notes: Implementing Partners expenditures exclude UNVs and UNOPS contracts  
 (1) 2007 includes all 48 countries (excluding Chad and Syria)  
 Sources: UNHCR HQ data, Field Review Survey, Dalberg analysis

# Direct implementation by UNHCR currently represents an estimated 25% to 35% of total field expenditures, not including operational partners

ESTIMATES FOR 2007

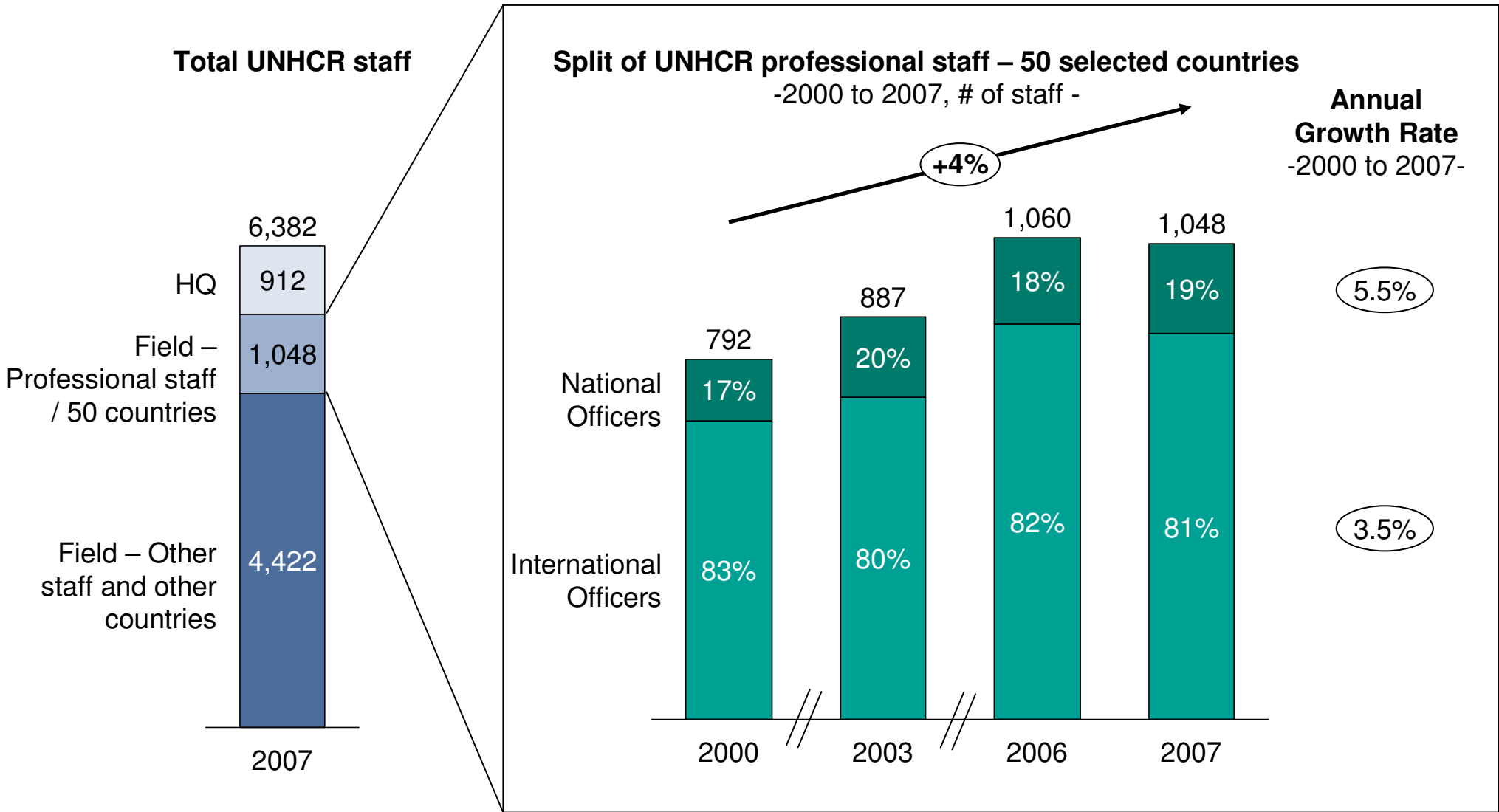
Estimated breakdown of field expenditures [see notes]



Notes: Calculations are based on 2007 data from all selected 50 countries except Chad and Syria. UNHCR staff time estimated to be split 50:50 between implementation and other expenditures, and additional non-UNHCR workforce time split 70:30, based on field survey results. Assumed that 5% of total field expenditures for additional non-UNHCR workforce costs. Services expenditures estimated to be 3% of total field expenditures, based on the average of 2004 and 2006 data, and to be split 2/3:1/3 between implementation and other expenses. Procurement of supplies and equipment estimated at 7% of total field expenditures, based on the average of 2004 and 2006 data.

Sources: UNHCR HQ data, Field Review Survey, Dalberg analysis

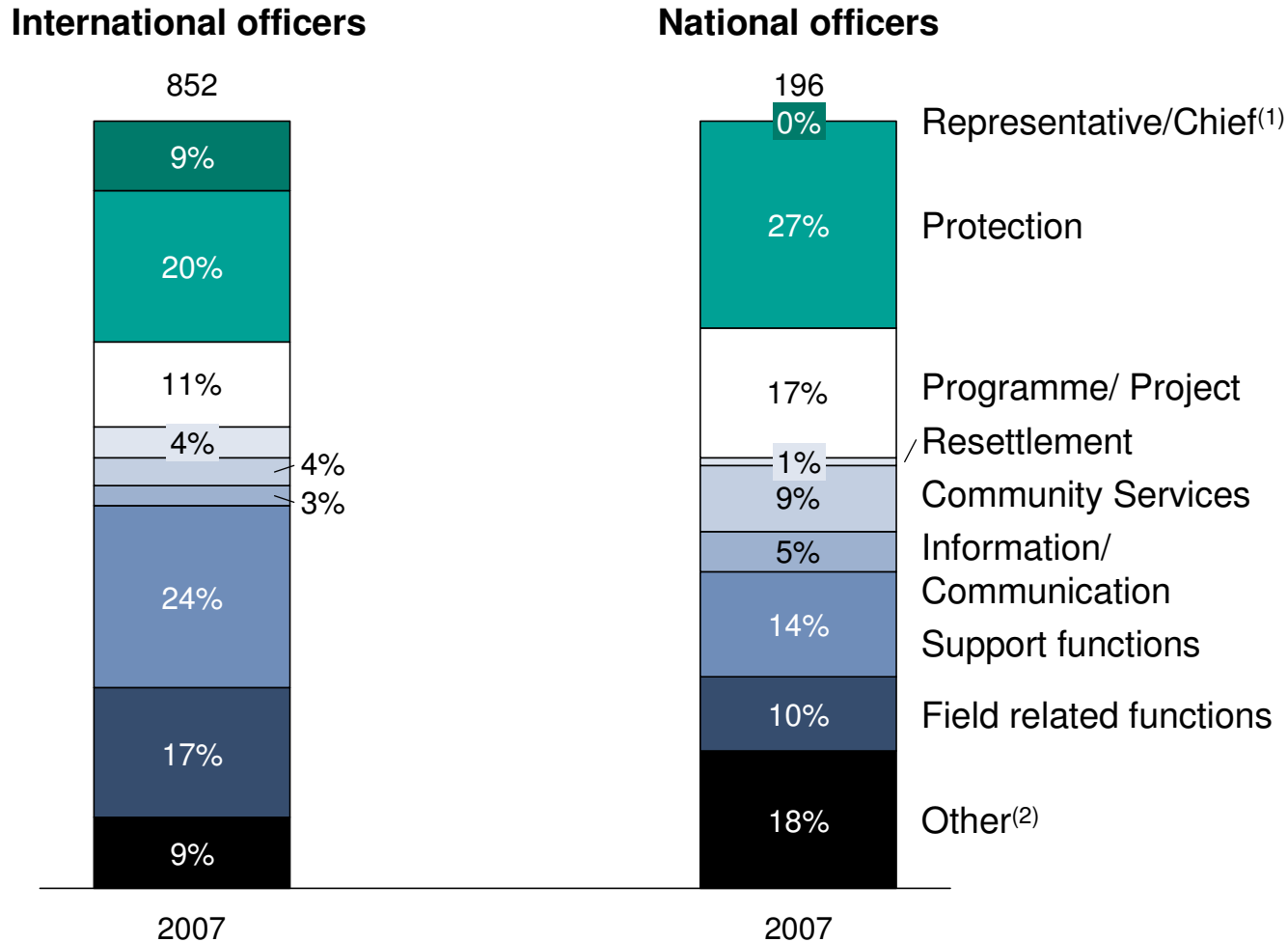
# 80% of UNHCR professional staff in the field is international, the ratio moving slightly in favor of national officers over the last years



# Today national and international officers fulfill similar functions...

## Split of UNHCR professional staff by functions

-50 selected countries, # of staff -



Notes: (1) Including sub-offices, Field offices, Field units

(2) 'Others' include Durable Solutions, EDP, Emergency, Fundraising, Health & Nutrition, Legal Liaison, Policy, Registration, Reintegration, Repatriation, Resettlement, RSD, Sanitation, and all other functions

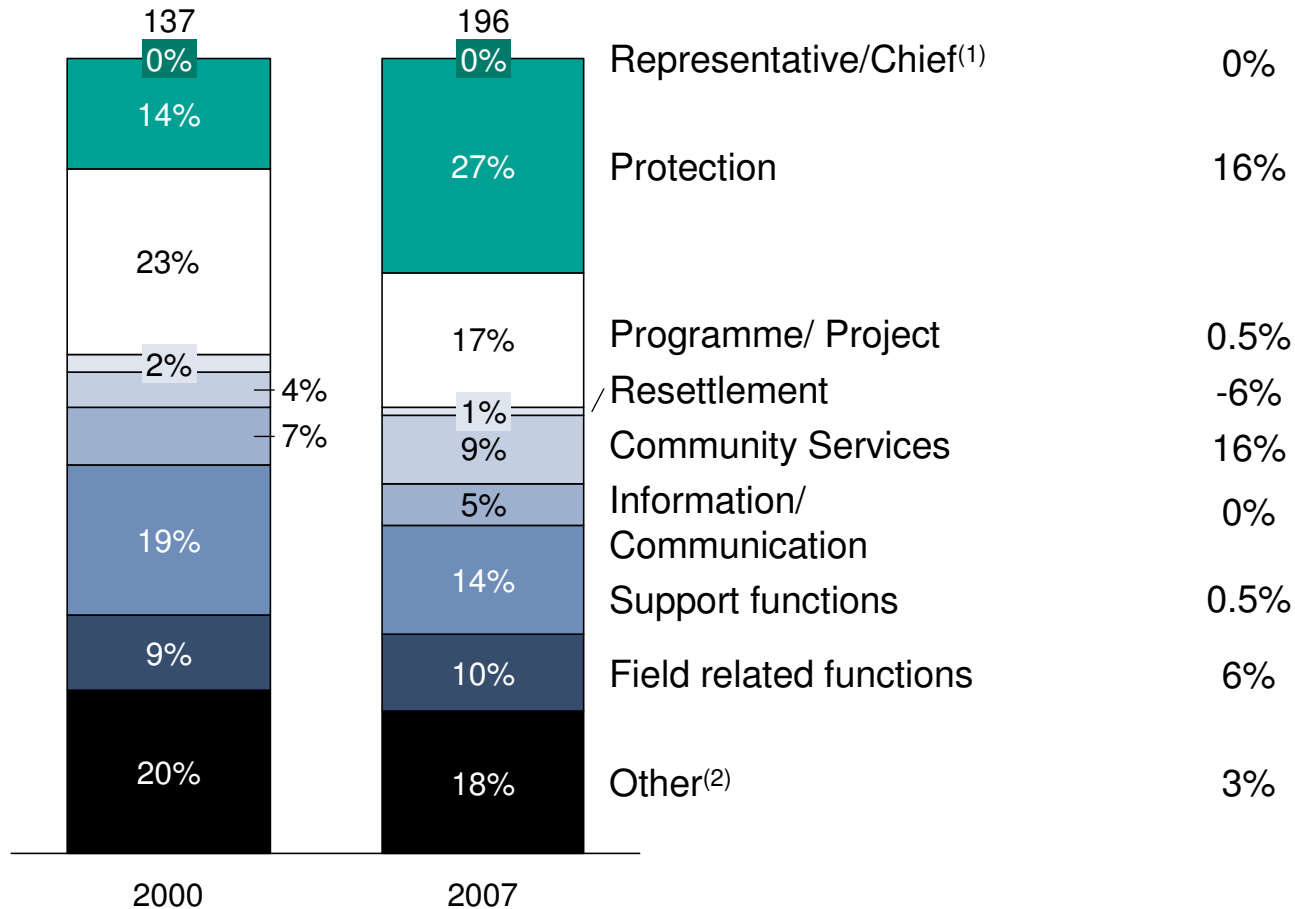
Sources: UNHCR HQ data, Dalberg analysis



# ... partly because national officers role in protection work has increased rapidly

**Split of UNHCR national officers by functions**  
-50 selected countries, # of staff, 2000 to 2007 -

**Annual Growth Rate**  
-2000 to 2007-



Notes: (1) Including sub-offices, Field offices, Field units

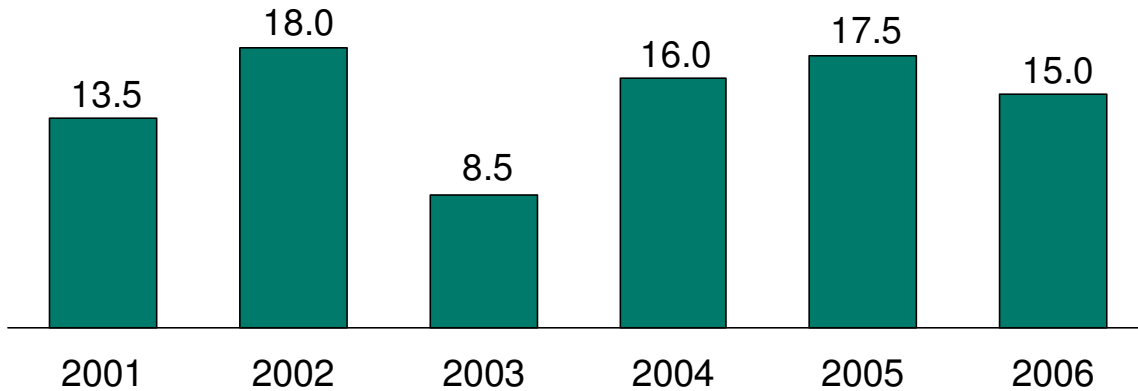
(2) 'Others' include Durable Solutions, EDP, Emergency, Fundraising, Health & Nutrition, Legal Liaison, Policy, Registration, Reintegration, Repatriation, Resettlement, RSD, Sanitation, and all other functions

Sources: UNHCR HQ data, Dalberg analysis

# The number of UNVs and UNOPS represents on average 50% of professional staff in countries that use them...

## Average size of operation per country using UNVs and UNOPS

-2001 to 2006, FTE, countries using UNVs/UNOPS out of the 50 selected countries-



## Average number of operations per country using UNVs/UNOPs

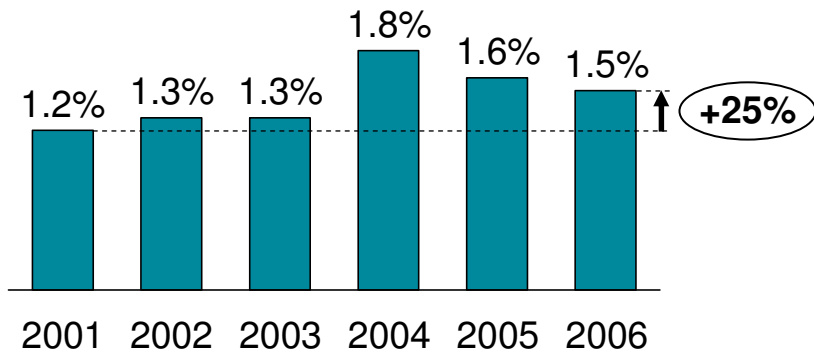
	2001	2002	2003	2004	2005	2006
FTE for UNVs <sup>(1)</sup>	10	14	7	12	13	13
FTE for UNOPs <sup>(2)</sup>	3.5	4	1.5	4	4.5	2

- UNVs and UNOPS expenditures translate into more than 50% of average professional staff in countries using them
- This is mainly due to the high number of UNVs since UNOPS only make up a small proportion

Notes: (1) Based on the assumption of 25 000 USD per UNV per year, independently of year and country  
 (2) Based on the assumption of 130 000 USD per UNOPS staff per year independent of year and country  
 Sources: UNHCR HQ data, Dalberg analysis

**...but UNVs and UNOPS still represent a low proportion of expenditures (although increasing as more countries use them)**

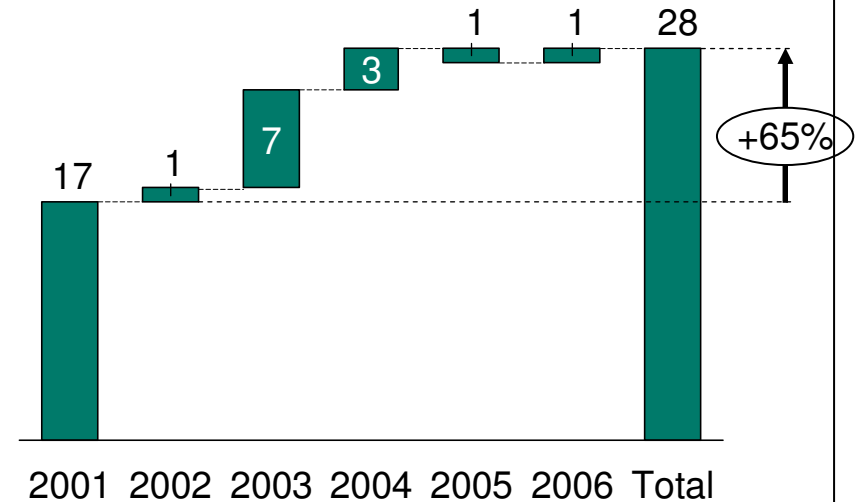
**Expenditures for UNVs and UNOPS as a share of total field expenditures**  
-2001 to 2006, 50 selected countries-



**UNVs and UNOPS expenditure in m USD**

4.6    7.1    7.1    10.9    10.6    9.8

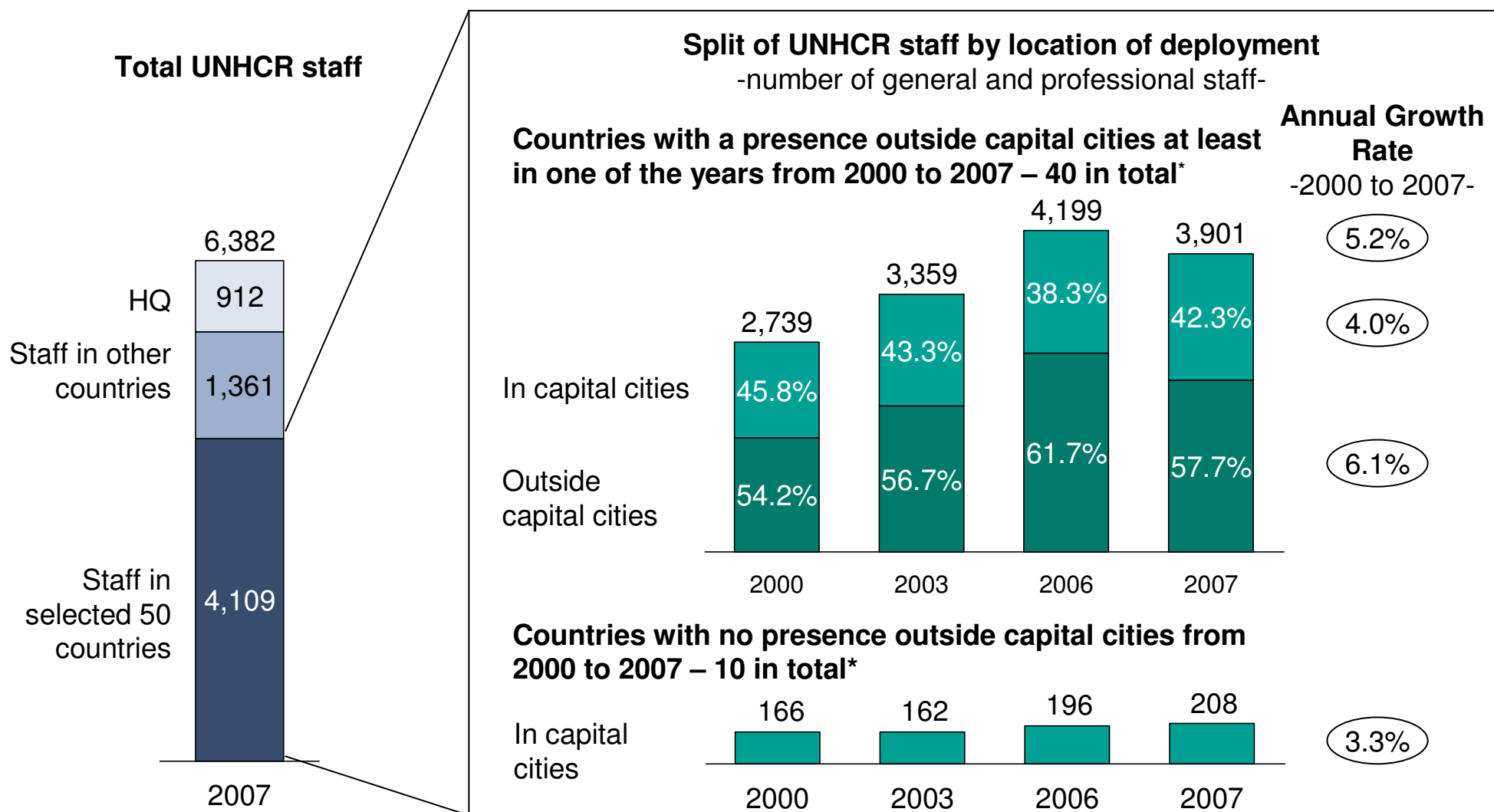
**Number of countries using UNVs and/or UNOPS**  
-2001 to 2006, 50 selected countries-



**Number of countries**

UNVs	16	18	23	26	25	26
UNOPS	1	2	4	6	4	5

# 58% of UNHCR's workforce in the field is located outside capital cities



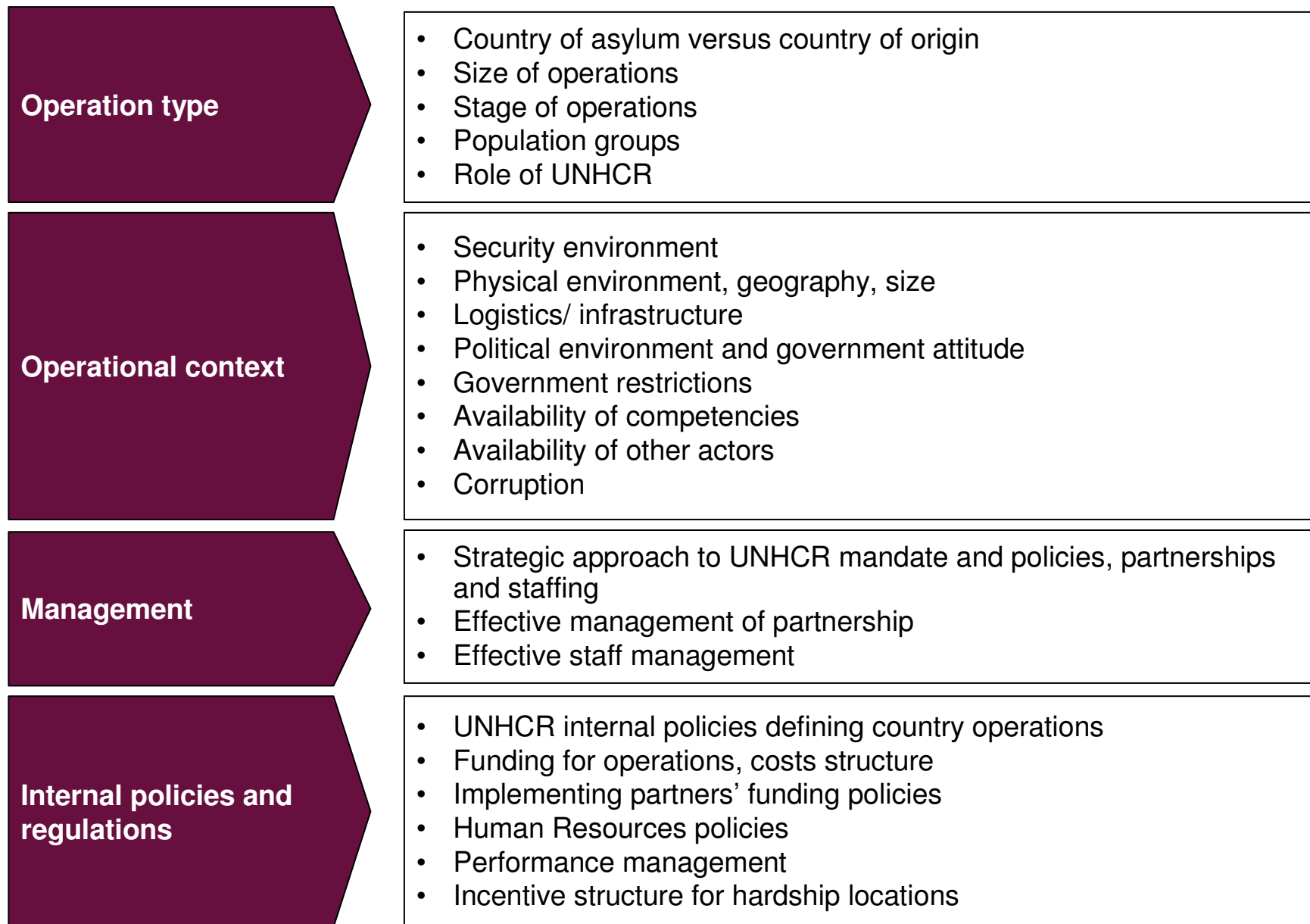
\* Out of these 40 countries 7 did not have a presence in the field in 2000 but have scaled up since. 3 countries had a field presence in 2000 but no longer in 2007 due to scaling down of operations.

Sources: UNHCR HQ data, Dalberg analysis

# Presentation agenda

- **Current ratios and trends**
- **Drivers of current ratios**
- **Scope for change**

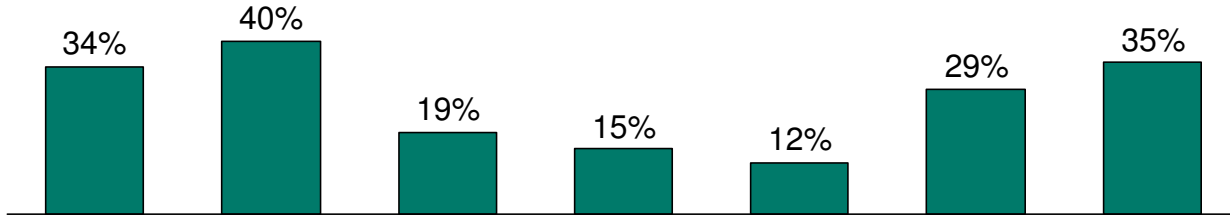
## Key drivers of ratios



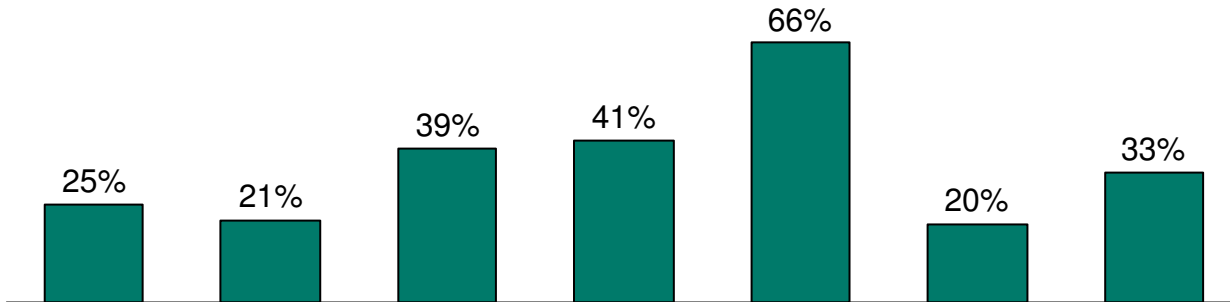
# Significance of operation type

## Average ratios for different populations groups

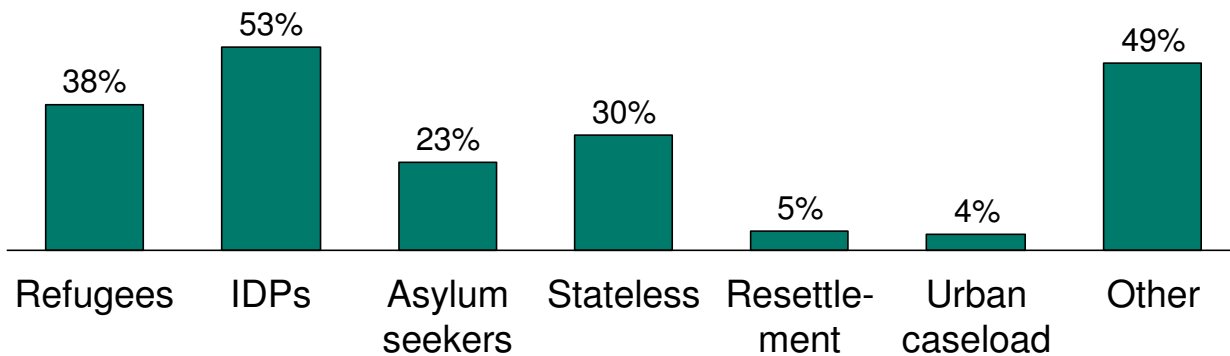
**Implementing partners ratio**  
% of total country expenditure



**National officer ratio**  
as % of professional staff

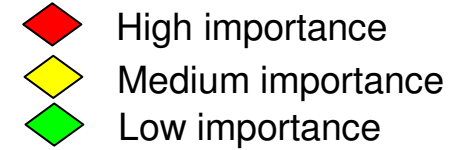


**Field deployment ratio**  
as % of field staff located outside of capital cities



**A variance analysis shows the statistical significance in differences between average ratios by population group for all three ratios**

# Significance of operational context and management



## List of drivers tested – Field review survey/ Interviews

## Rating of importance by UNHCR countries

		Implementing partners	Workforce composition	Field deployment
<b>Operational context</b>	• Security environment and protection concerns	◆	◆	◆
	• Physical environment	◆	◆	◆
	• Logistics/infrastructure	◆	◆	◆
	• Geography/size, access to/spread of beneficiaries	◆	◆	◆
	• Political environment & government attitude	◆	◆	◆
	• Government restrictions	◆	◆	◆
	• Availability of competencies	◆	◆	◆
	• Availability of other actors	◆	◆	◆
	• Corruption	◆	◆	◆
	<b>Management</b>	• Strategic approach to UNHCR mandate and policies, partnerships and staffing	◆ / ◆	◆ / ◆
• Effective management of partnership		◆ / ◆	◆ / ◆	◆ / ◆
• Effective staff management		◆ / ◆	◆ / ◆	◆ / ◆



# Significance of management related drivers

## Examples of elements that could help improve management

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**Strategic approach to UNHCR mandate and policies**

- Implementation strategy and guidelines, e.g., clear definition of activities or sub-activities which should be implemented only by UNHCR

**Strategic approach to partnerships**

- Partnership selection criteria
- Partnership strategy
- Cost benefit analysis (versus cost focus only)

**Strategic approach to staffing**

- Guidelines on the optimal mix of national and international staff in country programmes
- Clear strategy around use of additional workforce (UNVs and UNOPS)

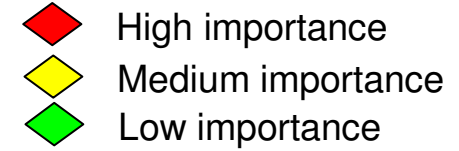
**Effective management of partnerships**

- Guidelines on effective partnership management – including how to coordinate, communicate and interact with partners on a day to day basis

**Effective staff management**

- Clear articulation of responsibilities and accountabilities of representatives vis-à-vis external representation and internal management
- Common understanding of what is required of management in the UNHCR context

# Significance of internal policies and rules



## List of drivers tested – Field review survey

## Rating of importance

### Internal policies and rules

- UNHCR internal policies (strategy/capacity building)
- Funding for operations/costs
- IP funding policies
- HR policies
- Performance management
- Incentive structure for hardship locations

	Implementing partners	Workforce composition	Field deployment
UNHCR internal policies (strategy/capacity building)	◆	◆	◆
Funding for operations/costs	◆	◆	◆
IP funding policies	◆	◆	◆
HR policies	◆	◆	◆
Performance management	◆	◆	◆
Incentive structure for hardship locations	◆	◆	◆

# Significance of internal policies and regulations related drivers



## Example of obstacles related to internal policies and regulations

- Funding for implementing partners:
  - Funding restrictions, e.g., USD4000/month/expat, which requires co-financing from partners
  - Limited options of partners as co-financing requirements reduce the number of partners being able to or interested in working with UNHCR
- HR policies:
  - Long post creation process
  - Limited flexibility in total number of posts
  - Restrictions on converting UNVs into regular staff
  - No clear policy on career path for national officers
- High number of small partners making monitoring and coordination difficult and pushing up fixed costs
- Single career path
- Non “merit based” performance management system
- No effective screening/ selection mechanism for country representatives
- Difficulty to deploy qualified staff to hardship locations and ‘forgotten’ crisis
- Lack of appropriate incentives to ensure access of qualified staff to hardship locations

# Presentation agenda

- Current ratios and trends
- Drivers of current ratios
- Scope for change

# Responses from the survey questionnaire and interviews demonstrate that there is a scope for change

## Implementing partners

- Majority of UNHCR country operations indicated in interviews that ratio can increase
- About 50% of NGOs said UNHCR should strongly increase its use of implementing partners and about 90% said UNHCR should slightly or strongly increase its use of implementing partners
- In some interviews UNHCR Representatives cited the need for assessing alternative forms of implementation (non-UNHCR staff, services, procurement)

## Workforce composition

### **National Officer ratio:**

- 34% of UNHCR country operations said the ratio of National Officers to International Officers should increase
- 64% of UNHCR country operation said the ratios should stay the same due to country specific factors and UNHCR post creation and recruiting procedures

### **UNV & UNOPS ratios:**

- 37% of UNHCR country operations said the ratio of UNVs versus UNHCR staff should decrease while 48% said it should stay the same
- 34% of UNHCR country operations said the ratio of UNOPS versus UNHCR staff should decrease while 35% said it should stay the same (28% said they don't know)

## Field deployment

- 46% of UNHCR country operations\* identified scope for increasing deployment to the field
- About 70% of NGOs said UNHCR should slightly or strongly increase the number of staff deployed to the field

The implementing partner ratio can generally increase, but there might be cases where other forms of implementation should be prioritized or where shifting to national NGOs would decrease the ratio

The National Officer to professional staff ratio should increase where country specific factors allow, e.g., availability of required skills, corruption

- The appropriate use of UNVs/UNOPS (operations, activities and roles) should be clarified
- The countries that don't use UNVs/UNOPS today should consider the option

The ratios should increase, but focus should be on getting field staff with appropriate skills and experience

# Recommendations: Develop country-specific targets and plans and provide clearer policies and guidelines to enable change

## Recommendation A – Country level

### Setting of country level targets

- Identify reference points at global level per population group
- Set targets and develop action plans and timelines for change at country level
- Make the setting of targets part of the annual planning process, and include the specific targets in the annual country plan
- Ensure that the annual planning discussions involve explicit discussions on the targets set for the ratios
- Establish mechanisms for ongoing collection of data on the key ratios

## Recommendation B – Global level

### Enablers for change

- Develop clearer guidelines and policies
- Streamline processes and simplify procedures
- Define mechanisms to support effective and fact-based planning and decision-making
- Improve performance management through creation of multiple career paths, alignment of evaluation and incentives and matching of skills and positions
- Train managers

## **Recommendation A: Develop country-specific targets for key ratios and plans to achieve the targets – with targets based on reference points for each population group, the mix of groups in a country, and likely effect of country-context factors**

### **Main steps to develop targets and plans for each country**

**Define reference points for key ratios for each population group**

**Identify relevant drivers within the operational context**

**Estimate potential impact of each driver on key ratios**

**Calculate country-specific targets for key ratios – based on estimated deviations from reference points and the population group mix in the country**

**Compare country-specific targets with current ratios/trends and develop action plans and timelines for change**

## **Recommendation B: Clarify, simplify and streamline policies and procedures and improve management**

### **Policies**

- Translate UNHCR mandate into clear guidelines around IP activities by population groups
- Streamline National Officers post creation procedures and clarify positioning
- Review IP funding levels and limitations
- Design guidelines for the appropriate use of UNVs/UNOPS
- Review recruitment policies for hiring UNVs in to full-time positions
- Review field deployment policies and incentives

### **Partnership management**

- Define guidelines on UNHCR's role when working with IPs
- Define clear selection criteria
- Identify internal best practices in funding management
- Continue global needs and gap assessment on country by country basis

### **Performance management**

- Create multiple career paths and align evaluation and incentives
- Develop system for matching skills with positions/responsibilities

### **General management approach and training**

- Define mechanisms to support effective and fact-based planning and decision - making
- General management training
- Partnership management training