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Notes

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JOHN MANFREDI

John Manfredi

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V. PROGRAMMING

- Programme Policy and Design
- Field Programming
- Regional Programming Support
- Monitoring and Evaluation

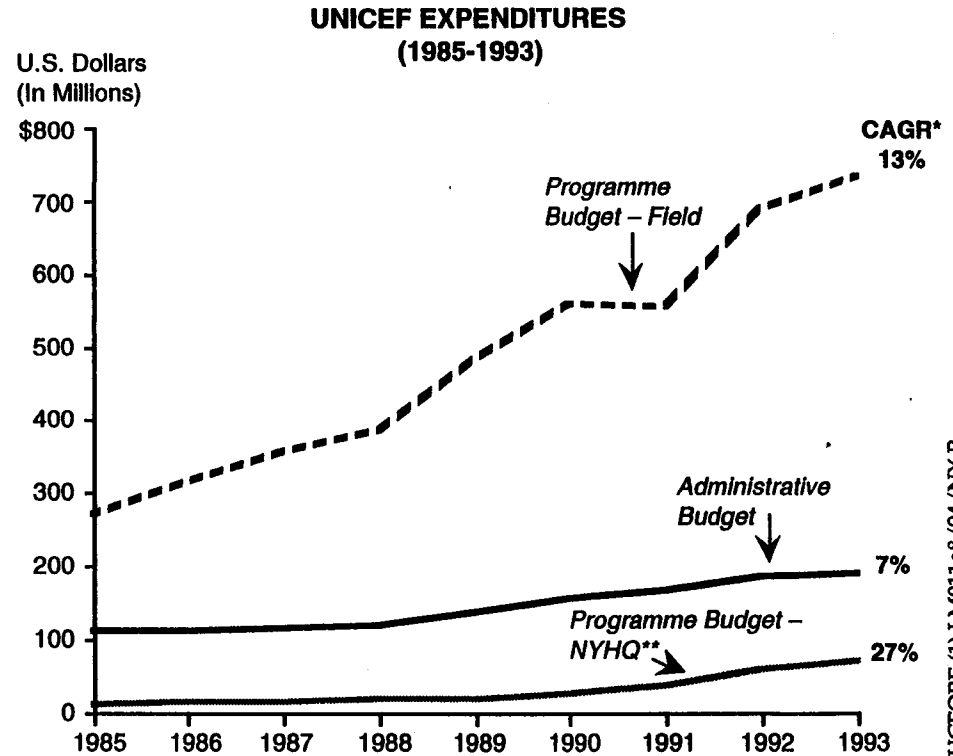
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.Background...

PROGRAMME ACTIVITY IS THE CORE OF UNICEF'S WORK – AND THE PRIMARY DRIVER OF EXPENDITURE

“Add a programme, and add a new network of people. Don't let anyone confuse you. Add a programme, add a team. If you want to understand the cost (and staffing) drivers, dig into the programme division. That's where it's all at.”

High-level UNICEF Manager

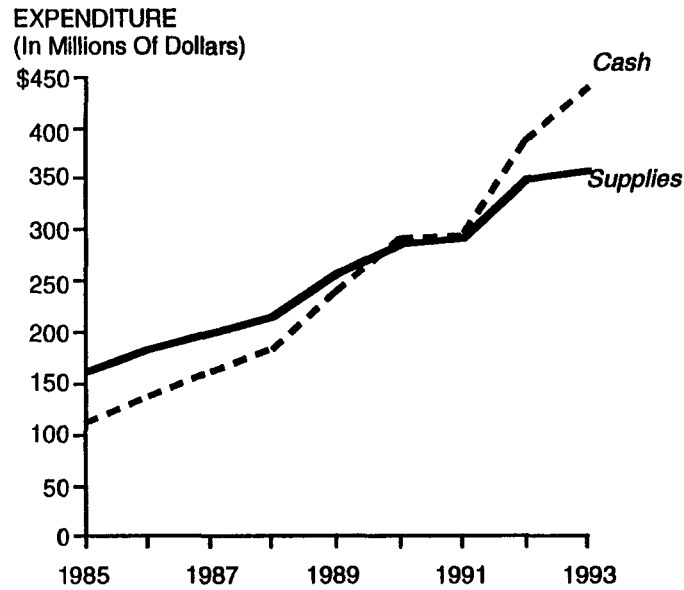


* CAGR = Compound Annual Growth Rate

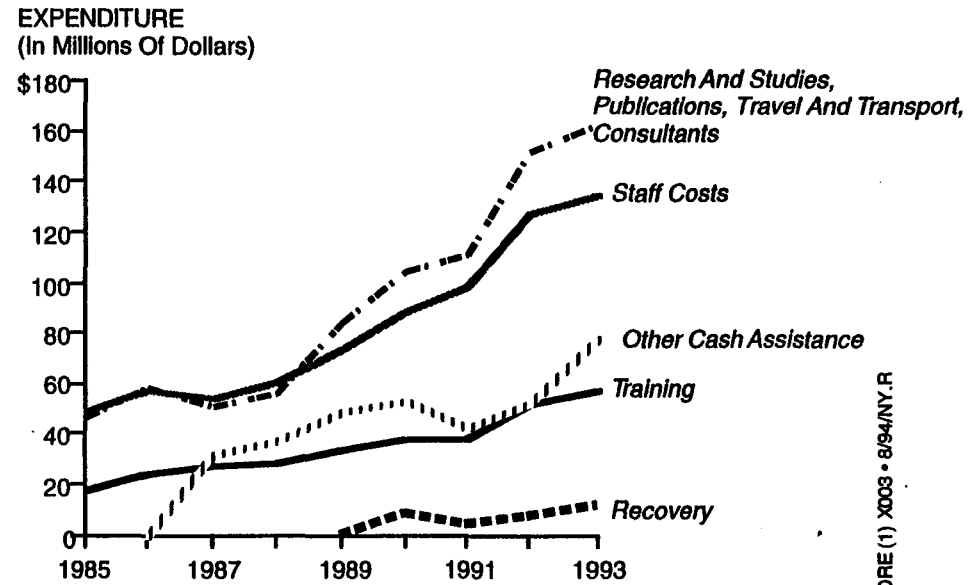
** Includes all funds directed from NYHQ including Eastern and Central Europe, global funds, etc. European spending was not isolated prior to 1993

UNICEF'S SHIFT TO ADVOCACY HAS INCREASED BUDGETS FOR MEETINGS, TRAVEL, WORKSHOPS AND PUBLICATIONS BY CONTRAST WITH SUPPLIES

Cash-type assistance has overtaken supply assistance...



...and within the cash category, travel staff and direct government are growing



- Notes: 1) Cash-type assistance includes staff expertise and associated costs.
2) Figures above are total expenditures, including those for emergencies. Taking out this supply-oriented component would make the shift appear even more dramatic.

UCFORE (1) X003 • 8/94/NY.R

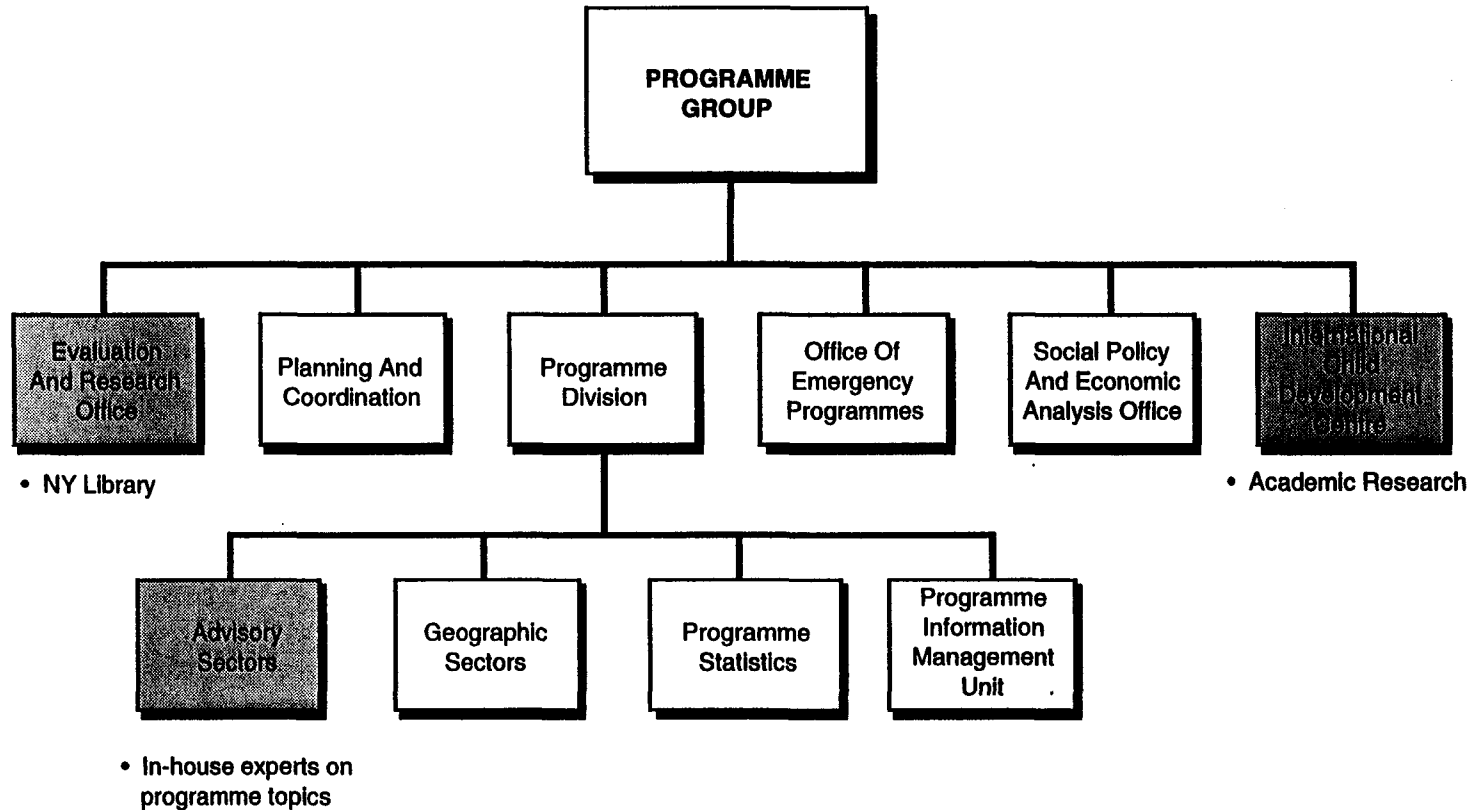
Background...

EFFECTIVE PROGRAMMING REQUIRES FOUR DISTINCT ACTIVITIES CONDUCTED IN VARIOUS RESPONSIBILITY CENTERS

- Each of the functions is addressed in the following pages
 - Programme Policy and Design (HQ)
 - Field Programming (Country Offices)
 - Regional Programming Support (Regional Offices and Sector Desks)
 - Monitoring and Evaluation (HQ, Regional Offices, Country Offices)
- Examination of each area will consider the following issues:
 - Organization
 - Spending levels
 - Processes and Procedures
 - Opportunities for Improvement
- Recommendations will be presented at the end of the section
- Note that global goals (and their implications for country programming) are addressed in the following chapter

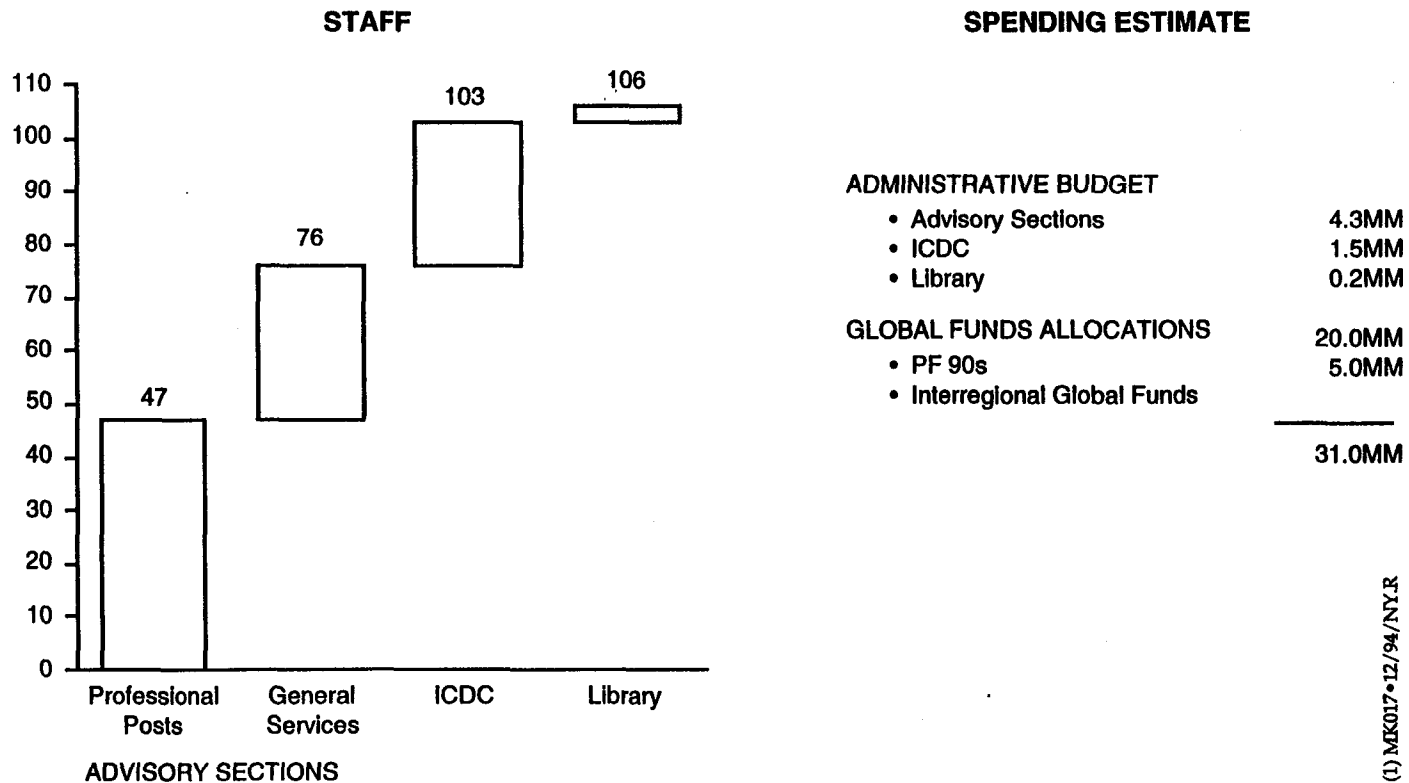
PROGRAMME POLICY AND DESIGN

SEVERAL UNITS WITHIN UNICEF FOCUS ON BUILDING AND DISSEMINATING UNICEF'S KNOWLEDGE ON PROGRAMME-RELEVANT ISSUES



UCFORE (1) MK009.1 • 11/94/NY.R

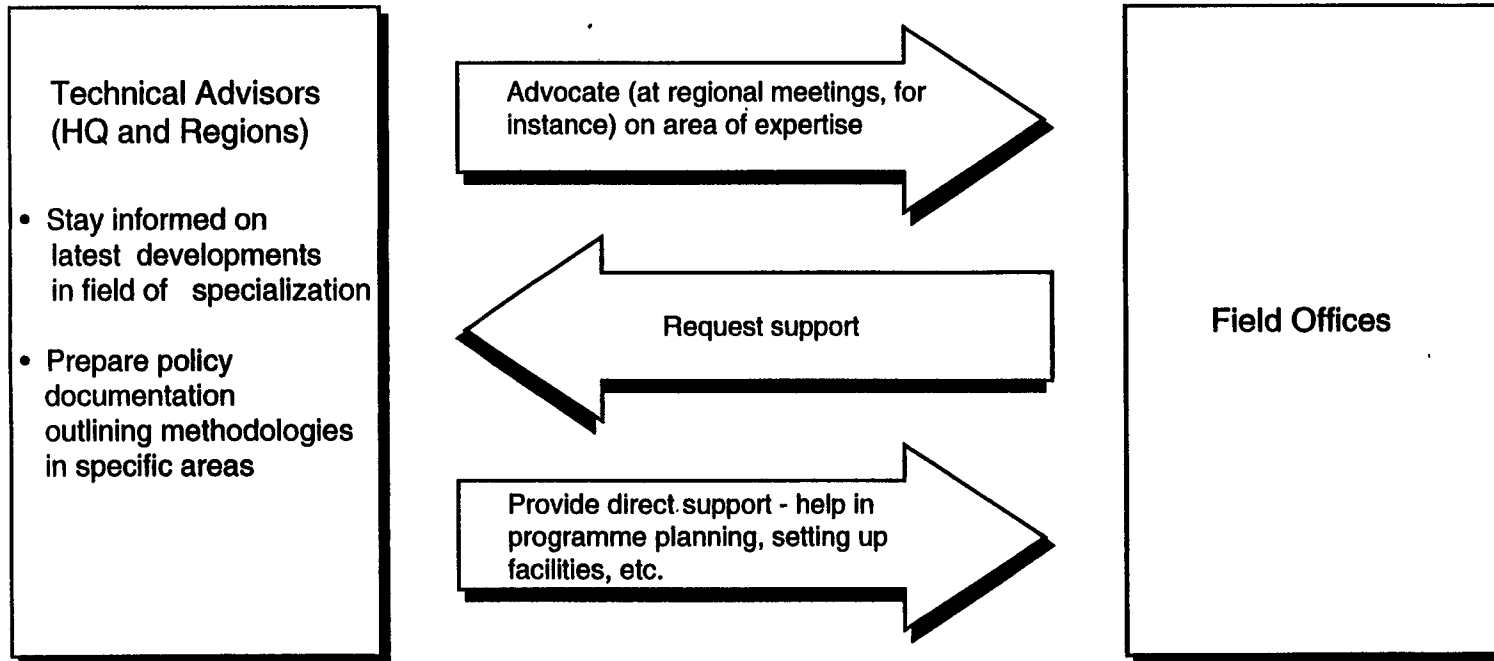
OVER 100 PEOPLE ARE EMPLOYED IN THIS CENTRAL SUPPORT ACTIVITY; ANNUAL SPENDING ESTIMATED AT OVER \$30MM



Note: Evaluation and "lessons learned" activity addressed later in this section
Sources: Programme Division Directory, 1993; administrative budget; Report On Global Funds 1992 – 1993; BA&H analysis

UCFORE (1) MK017 • 12/94/NY.R

TECHNICAL ADVISORS DIVIDE THEIR TIME BETWEEN KNOWLEDGE BUILDING AND FIELD SUPPORT ACTIVITIES



UCFORE JP003NY

* Note that technical advisors in regional offices also provide field support as requested

FIELD OFFICES SEEK COUNSEL FROM TECHNICAL ADVISORS FOR POLITICAL AS WELL AS CONTENT REASONS

- “When I was a specialist in New York, I would advocate my special interest. Now that I’m on the receiving end, I see how wrong that is. Each specialist visitor says “Put resources here.”...There’s no balance, whereas integrated care of the child is what matters today.”

Country Representative

- “Most advisors try to redefine my country’s programming objectives, so I do not like working with them.”

Country Representative

- “Working with advisors leads to “good marks” during reviews with HQ – they react more favorably to a country programme if they know one of their advisors was involved in its preparation.”

Country Representative

ICDC, POTENTIALLY A RICH KNOWLEDGE CENTER FOR CONCEPTUAL LEADERSHIP, APPEARS TODAY TO BE AN UNDEREXPLOITED RESOURCE

- “UNICEF is losing ground to UNDP in terms of intellectual leadership. I should think that would be of concern to UNICEF, because if they really believe that UNICEF should be primary advocate for the world’s children, then advocacy demands intellectual underpinning. The activity in Florence does some good work from time to time, but it is remarkably low key when perceived in terms of the major opportunity UNICEF faces for the next generation..”

Director, Major International NGO

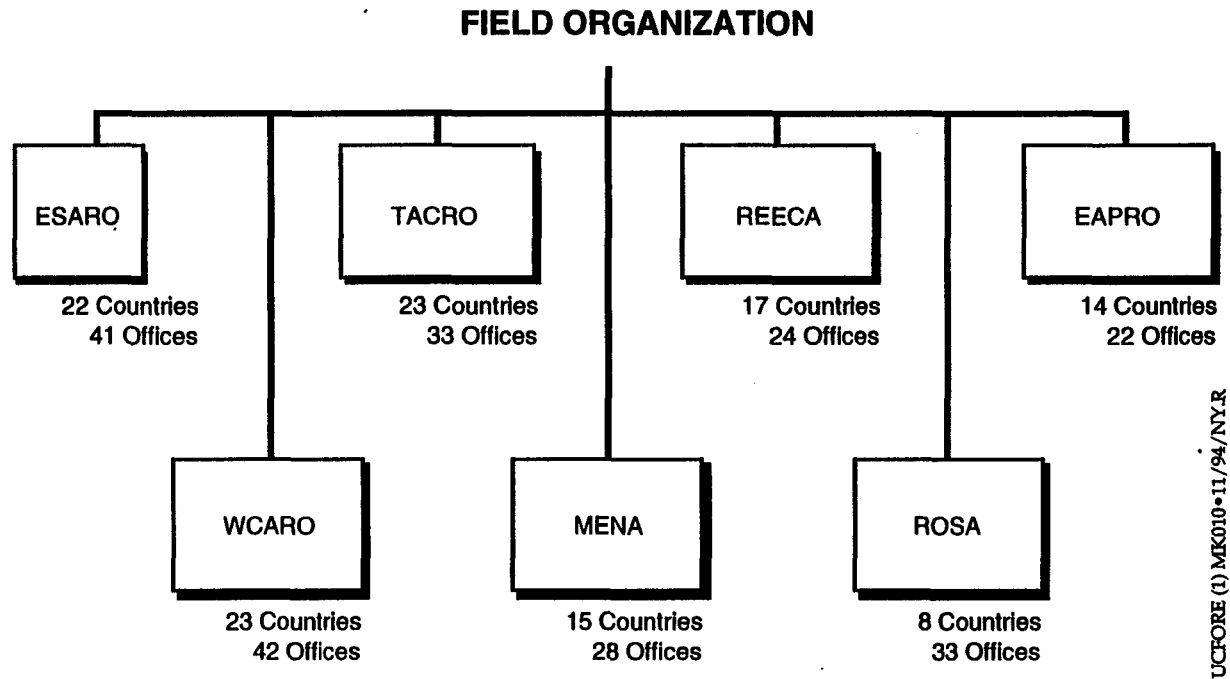
- Volume of publications notwithstanding – 80 in the 1991 to 1993 timeframe — the centre has a marginalized role in today’s UNICEF
 - Operates as an unrelated “annex” — is not built into strategy
 - Defines own research agenda
- UNICEF has developed and promoted the Convention on the Rights of the Child, but does not have substantial experience with some of the components — street children, child abuse and exploitation, family crisis, etc.

ESTABLISHING INTELLECTUAL AUTHORITY WILL REQUIRE REEXAMINATION OF TECHNICAL ADVISOR AND ICDC ROLES

AREA	POTENTIAL IMPROVEMENT	VALUE TO UNICEF
<p>TECHNICAL ADVISORS</p>	<ul style="list-style-type: none"> • Reduce political influence in field operations; allow focus on maintaining technical expertise • Streamline advisor posts between headquarters and regional offices, consistent with overall objectives for advisory functions • Adopt knowledge center approach; stay informed of developments at leading research entities such as CDC, WHO, etc. 	<ul style="list-style-type: none"> • More attention to state-of-the-art interventions in each area • Less opportunity for headquarters to attempt to manage field operations • Less wasted resources on advisors whose services are not being fully realized • Benefit of knowledge without duplicative research expense
<p>INTERNATIONAL CHILD DEVELOPMENT CENTRE</p>	<ul style="list-style-type: none"> • Increase priority, resources and urgency at ICDC • Link ICDC activity to strategic planning process 	<ul style="list-style-type: none"> • Build expertise on issues demanded by the convention on the Rights of the Child • Enable UNICEF to be the advocacy leader for children

FIELD PROGRAMMING

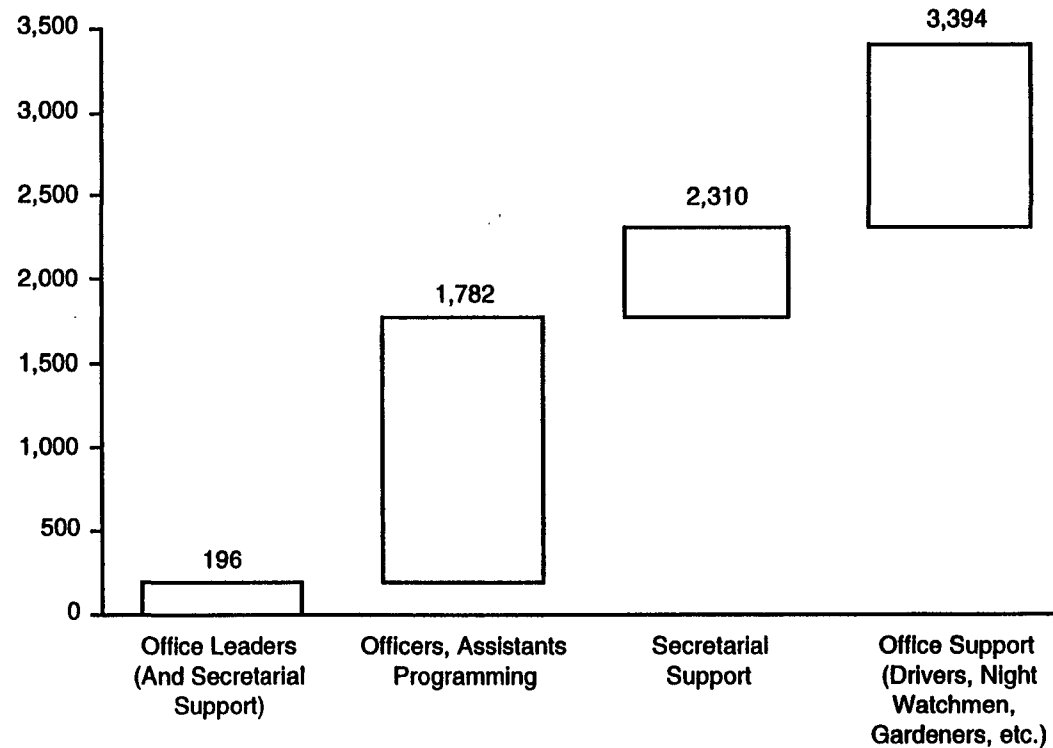
UNICEF'S PROGRAMMES ARE IMPLEMENTED BY THE FIELD ORGANIZATION



Source: 1994 Organization Office List, Interviews

ABOUT 3400 PEOPLE DELIVER UNICEF'S SERVICES IN THE FIELD

FIELD STAFF – PROGRAMME AND OFFICE SUPPORT



Note: Field staff in functional areas other than programme (e.g., finance, supply, etc.) reflected in those functional chapters, not here
Source: UNICEF organograms

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THE EMPOWERED COUNTRY REPRESENTATIVE HAS LONG BEEN RECOGNIZED AS A KEY ELEMENT OF UNICEF SUCCESS

- “The empowered field organization is the secret of our success. And it’s still right. We must not lose that.”

Country Representative

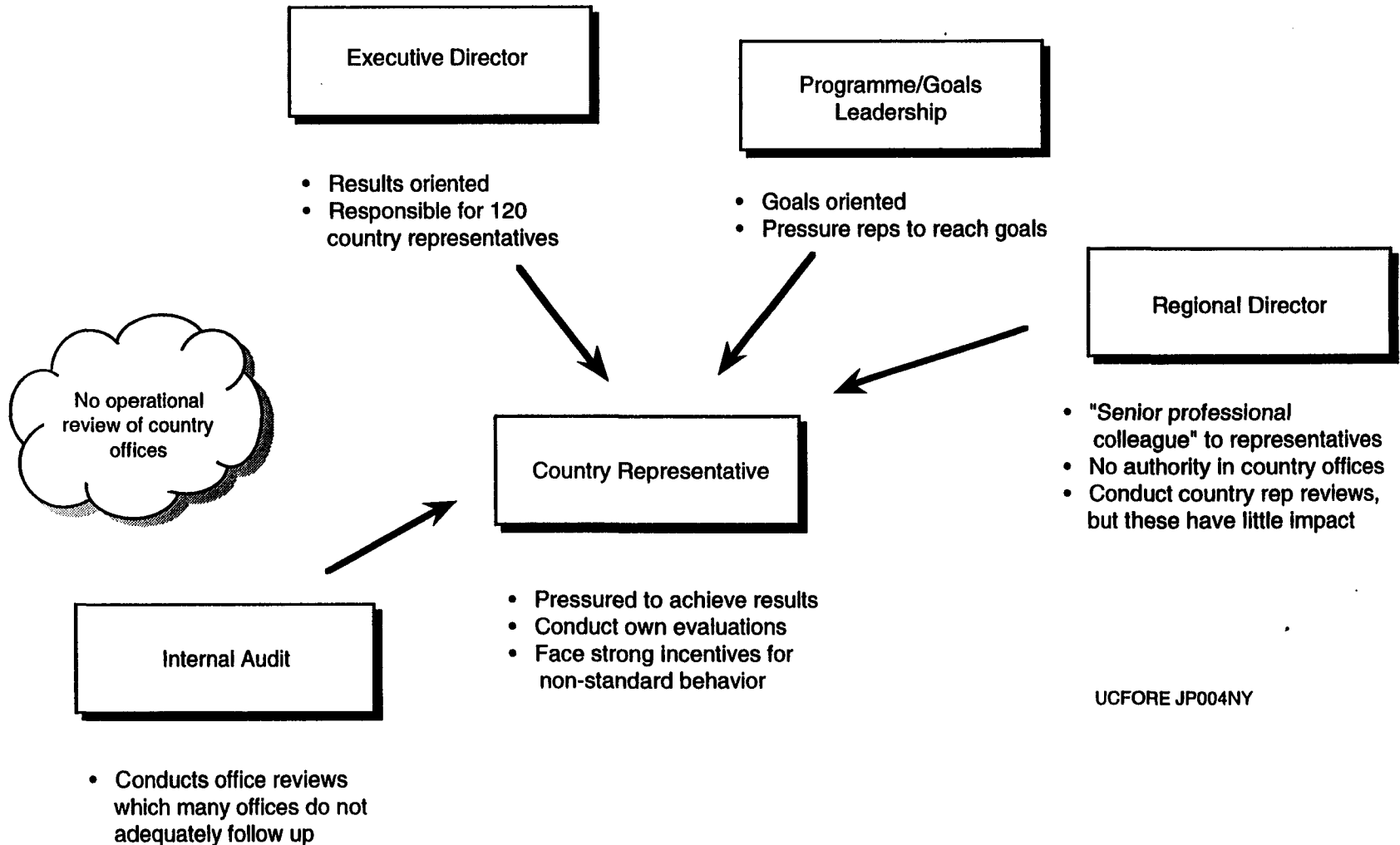
- “In the locally-focused situation, the key to success was putting the right people in those country jobs and making sure they had the understanding to do their jobs well.”

UNICEF Veteran

- “Our decentralized structure is extremely important and positive.”

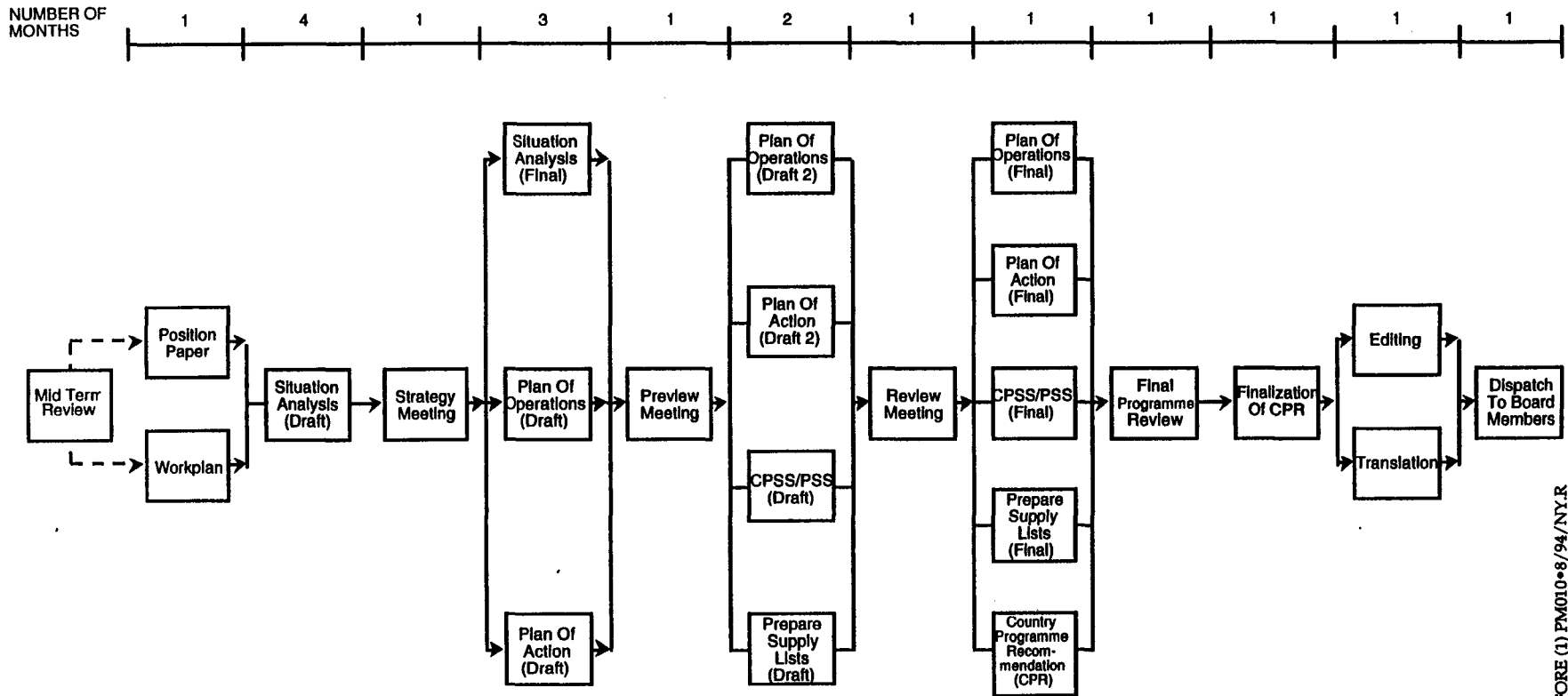
Country Representative

THE PRICE OF THIS EMPOWERMENT IS THAT ACCOUNTABILITY IS DIFFUSED. THERE IS NO SINGULAR "POINT OF ACCOUNTABILITY" FOR COUNTRY REP JUDGMENT, EFFECTIVENESS OR DISCIPLINE



UCFORE JP004NY

PROGRAMME PLANNING, THE PROCESS WHICH DEFINES UNICEF'S ROLE IN THE COUNTRY FOR A FIVE-YEAR PERIOD, IS LONG AND COMPLEX – PLANS CAN BECOME OBSOLETE MID-TERM



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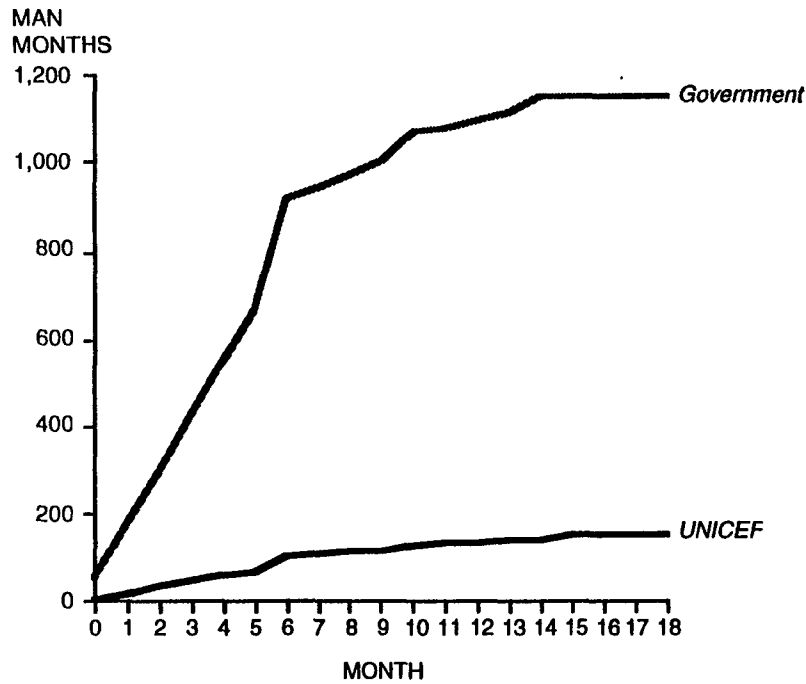
A SHORTER ALTERNATIVE TO THE 18 MONTH PROCESS IS POSSIBLE, BUT NOT IN WIDE USE

- Situation analysis conducted to assess the nature of need in the country
- Meetings and documents put structure around the process of developing a plan jointly among field staff, local governments and headquarters staff
 - Strategy, preview and review meetings
 - Plan of operations, plan of action, CPSS/PSS, supply lists
- Ultimately, the work of this group is synthesized into a country programme recommendation for review by the Board
- Under new UN coordination rules, this joint planning is factored into country strategy note
- Note that an alternative programming process, has been authorized, but has not been widely adopted
 - “Adaptive programming,” an alternate process endorsed by Programme Division leadership, has fewer meetings and shorter documents
 - Field offices have elected to stay with the more support-intensive option

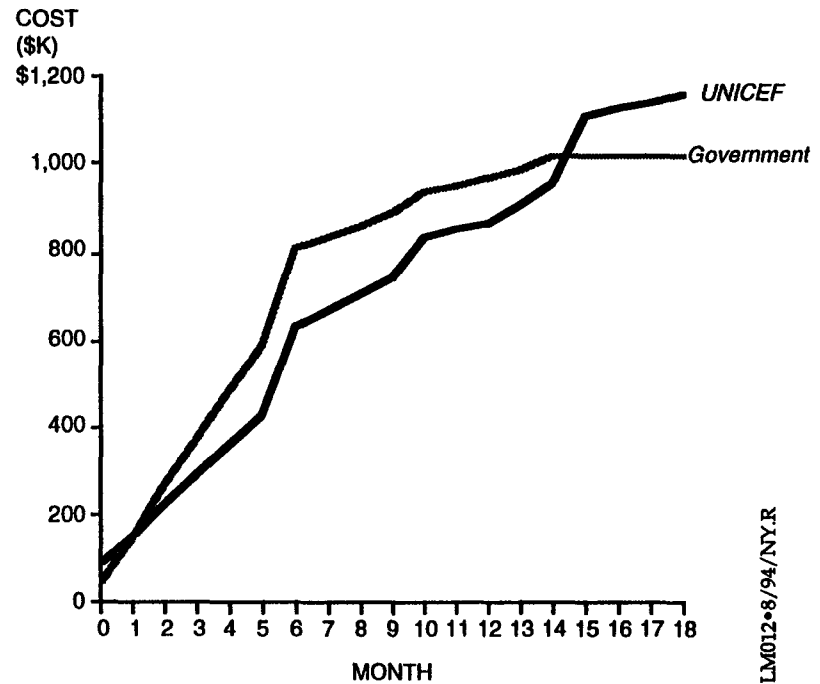
THE EXERCISE IS TIME CONSUMING AND COSTLY FOR BOTH UNICEF AND GOVERNMENTS

ILLUSTRATIVE

**THE PROCESS REQUIRES MORE THAN 150
MAN-MONTHS OF UNICEF RESOURCES BY
COUNTRY ...**



... AND CAN COST OVER \$1 M PER COUNTRY



UCFORE (1) LM012-8/94/NY.R

Note: Fully loaded cost for each level of employment is factored in. Average is \$7,500 per man-month for UNICEF and \$900 for the government
Source: Interviews; BA&H analysis

OPPORTUNITIES FOR IMPROVEMENT IN FIELD PROGRAMMING INCLUDE INSTITUTING CHECKS AND BALANCES ON COUNTRY REPS AND STREAMLINING THE PROGRAMME PLANNING PROCESS

AREA	POTENTIAL IMPROVEMENT	VALUE TO UNICEF
<p>COUNTRY REP ACCOUNTABILITY</p>	<ul style="list-style-type: none"> • Provide external checks on country operations, without undermining the rep's local empowerment <ul style="list-style-type: none"> – Evaluations supervised by outsiders to the country operations – Higher visibility Internal Audit function (addressed in Accountability chapter) 	<ul style="list-style-type: none"> • Increased accountability regarding field operations • Checkpoints against inexperienced or unethical country reps
<p>PROGRAMME PLANNING PROCESS</p>	<ul style="list-style-type: none"> • Reduce volume of meetings and documents required • Continuously update Situation Analysis – should not be a once-every-5-years project • Optimize length of the CPR document, in accordance with Board requirements • Introduce e-mail and information databases to improve knowledge-sharing and reduce need for field visits 	<ul style="list-style-type: none"> • Less expenditure of resources in planning; more left for actual programme implementation • Up-to-date information on the country situation always available • Programming need not be delayed until completion of the situation analysis • Minimize amount of effort spent on this document used only by the Board, while ensuring content is sufficient for their use • Lower travel expenditures, shorter time to programme, higher quality projects

REGIONAL PROGRAMMING SUPPORT

THE VALUE OF REGIONAL OFFICES HAS BEEN WIDELY DEBATED WITHIN UNICEF

- “The old SIRA study originally recommended eliminating the Regions. Labouisse couldn’t stand having to face 50 reps, so he had the regions put back in, but with no real role, no job description. It’s still an open issue, but times have changed. The region isn’t really necessary any more. The countries are self-sufficient. My country is an example, We never used region help. It’s a big country and we have our own resources. There is little incentive to use expensive international people if and when competent nationals are available. The Regions have become too big!”

Country Representative

- “The Regions and the geographical sections are doing the same work. One or the other should go, and personally I think the Regions should be closed and combined in New York with the sector function. The only meaningful power is in the hands of the country reps. The Regions are expensive and can contribute little. Consider our Region... There you have 70-80 staff members. There are accountants, drivers, personnel officers, secretaries and so forth. I have never used their services. When we need help we go to New York. We waste less time by dealing with the people who can make decisions at the center.”

Major Country Representative

- “There are some process and structure issues. The Center has trouble running the field organization in a professional way, for a number of reasons. And if you left the Countries entirely alone you’d have anarchy. For example: (Country) needs a lot of help. But you can’t operate that assistance out of New York! That’s the role of the Region. In my office, there are 17 nationalities. We can address complex issues of language and culture. New York can’t do that.”

Region Head

- “In short, we are resident advisors, but we also have a responsibility for management oversight. So it’s wrong to dismiss the Region role. But you have to choose the right people for this job. Since we deal from personal credibility, an individual who thinks he has some vested hierarchical position is going to be frustrated.”

Region Head

CURRENTLY, OVER 300 STAFF ARE EMPLOYED IN REGIONAL OFFICES; ANOTHER 35 OR SO IN GEOGRAPHIC SECTOR DESKS WHICH ALSO SUPPORT COUNTRY PROGRAMMES

	REGIONAL OFFICE		GEOGRAPHIC SECTOR
STATED ROLE	SENIOR COLLEAGUES AND COUNSELORS TO COUNTRY REPRESENTATIVES		FOCAL POINT FOR FIELD HQ CONTACT AND FOLLOW SUPPORT
	STAFF (excluding temporary staff and consultants)*	BUDGET (\$ M)	STAFF
WCARO	52	\$4.7	16 (Africa)
ESARO	50	2.7	
MENA	44	2.5	6 (MENA)
EAPRO	57	3.8	10 (Asia)
ROSA	29	1.5	
TACRO	43	2.7	6 (Americas)
REECA			9 (REECA)
TOTAL	275	\$17.9	37

* We are informed that when temporaries and consultants are included, these numbers can reach 80-90 per region

Programme Support – Processes...

THE ACTIVITIES OF SECTORS AND REGIONS ARE SIMILAR, CAUSING MANY TO QUESTION WHETHER BOTH ARE NECESSARY; MANY OF THE FUNCTIONS FURTHER DUPLICATE OTHER HQ ROLES

FUNCTION	REGION OFFICE ROLE	SECTOR DESK ROLE	OTHER HQ ROLE
<ul style="list-style-type: none"> • Programme support 	<ul style="list-style-type: none"> • Provide senior professional counsel to country rep • Provide technical advisory support as requested 	<ul style="list-style-type: none"> • Provide counsel to country staff • Organize HQ reviews of CPR, Annual Report, etc. • Mobilize support not available in country or region • Support Emergency office in HQ emergency response 	<ul style="list-style-type: none"> • Technical advisors provide support in their field of expertise
<ul style="list-style-type: none"> • Monitoring and Evaluation 	<ul style="list-style-type: none"> • Strengthen UNICEF's knowledge base through monitoring, evaluation and policy-related studies 	<ul style="list-style-type: none"> • Review monitoring data in country documentation 	<ul style="list-style-type: none"> • Evaluation office promotes country evaluations • Various HQ staff monitor performance (addressed in coming pages)
<ul style="list-style-type: none"> • Information and Communications 	<ul style="list-style-type: none"> • Develop information, advocacy and programme material of interest in the region 	<ul style="list-style-type: none"> • none 	<ul style="list-style-type: none"> • DOI and DPA develop globally relevant material
<ul style="list-style-type: none"> • Operational and tactical support 	<ul style="list-style-type: none"> • Provide operational support for personnel, administration and logistics for country offices 	<ul style="list-style-type: none"> • Direct inquiries from field offices within HQ 	<ul style="list-style-type: none"> • Functional divisions respond to country requests as needed
<ul style="list-style-type: none"> • Fundraising support 	<ul style="list-style-type: none"> • Approach regional funding sources 	<ul style="list-style-type: none"> • Support supplementary fundraising 	<ul style="list-style-type: none"> • PFO coordinates all fundraising activities

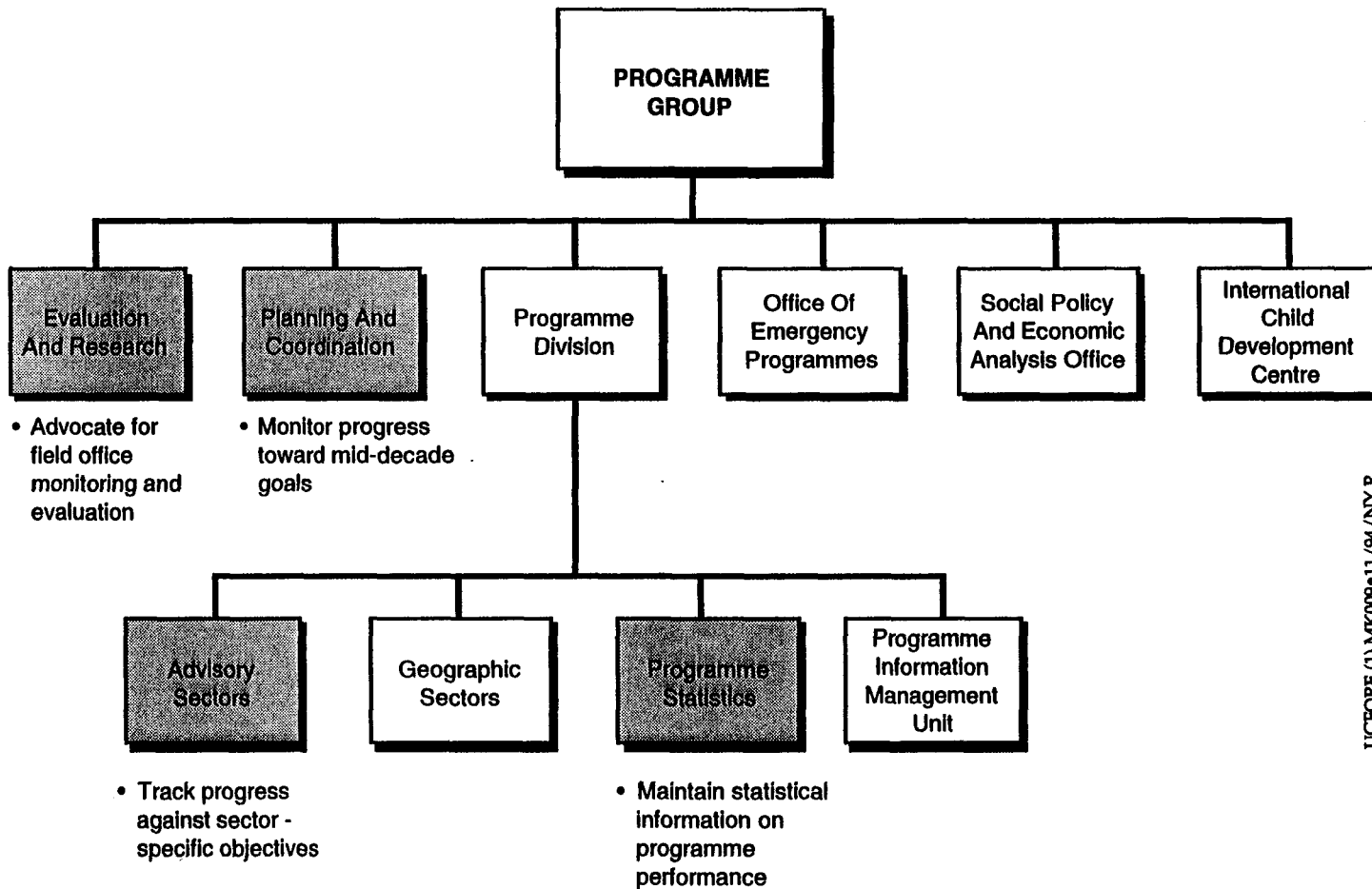
THE LEVEL AND TYPE OF REGIONAL SUPPORT NEEDED BY COUNTRY OFFICES MUST BE CLARIFIED FIRST – THEN THE SECTOR/REGION ROLES CAN BE DEFINED

AREA	POTENTIAL IMPROVEMENT	VALUE TO UNICEF
SUPPORT REQUIREMENTS	<ul style="list-style-type: none"> • Develop a clear expectation of appropriate roles at field, region and headquarters levels 	<ul style="list-style-type: none"> • Elimination of redundancy across levels (and energy spent in debating the value of regions)
REGIONAL OFFICE ROLES	<ul style="list-style-type: none"> • Eliminate duplicative functions with other organizational units • Add substantive responsibilities based on functional needs of the organization 	<ul style="list-style-type: none"> • Less resources spent on duplicative activities • Fewer morale issues stemming from perceived usefulness of the unit
GEOGRAPHIC SECTOR ROLES	<ul style="list-style-type: none"> • Eliminate duplicative functions with other organizational units • Consider whether value provided here is better deployed elsewhere 	<ul style="list-style-type: none"> • Less resources spent on duplicative activities • Fewer morale issues stemming from perceived usefulness of the unit

Region workshop is key element in implementation plan.
See region recommendations in Chapter XII

MONITORING AND EVALUATION

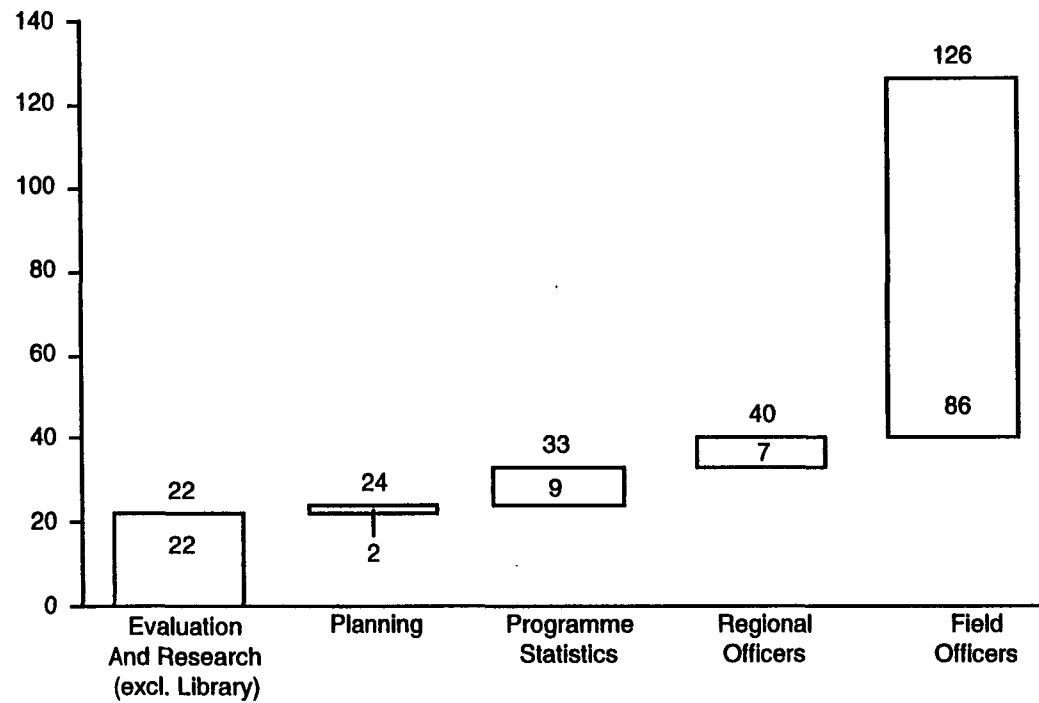
MONITORING AND EVALUATION ACTIVITIES TAKE PLACE IN SEVERAL UNITS AT UNICEF



Monitoring – Spending Levels...

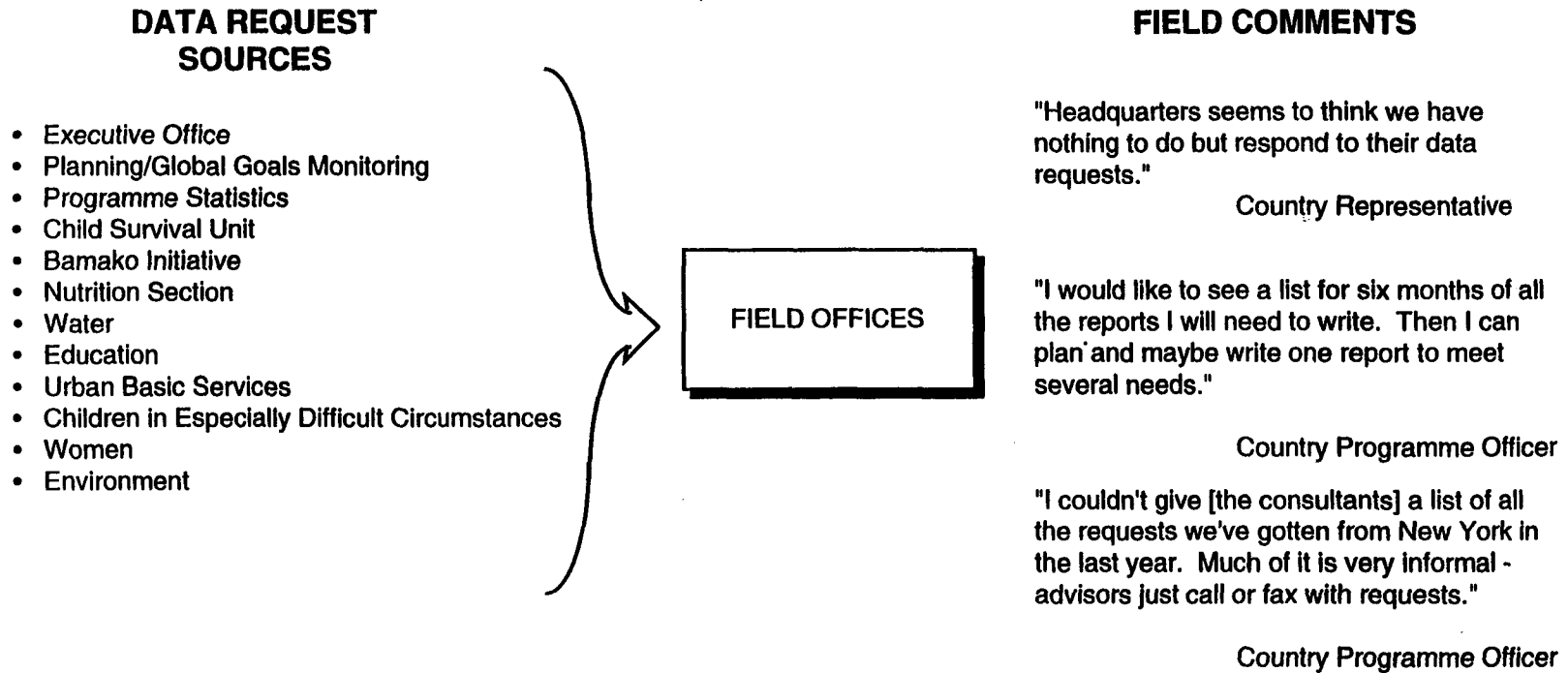
STAFF FOCUSED ON MONITORING AND EVALUATION TOTAL OVER 100

MONITORING AND EVALUATION STAFF WORLDWIDE



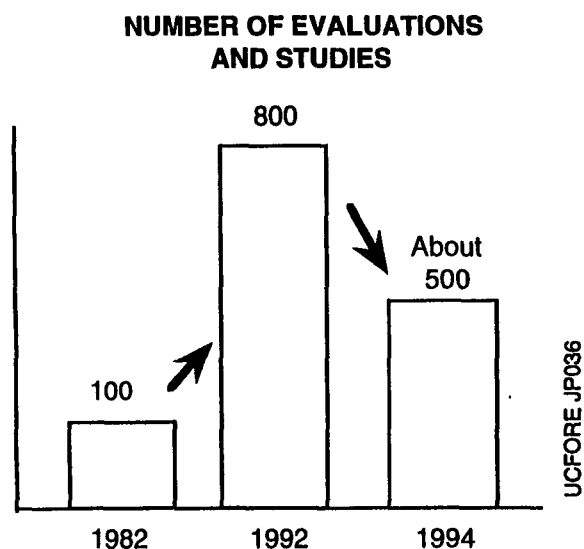
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MULTIPLE MONITORING UNITS WITH DIFFERENT OBJECTIVES IMPOSE UNCOORDINATED REPORTING REQUIREMENTS WHICH FIELD OFFICES FIND BURDENSOME



UCFORE JP005NY

UNICEF'S APPROACH TO MONITORING AND EVALUATION HAS BEEN EVOLVING IN RECENT YEARS: STILL ROOM FOR IMPROVEMENT



CONCERNS

- UNICEF staff admit quality and usefulness of evaluations are not always up to par (policies not always carried out as stated)
- Country offices are responsible for their own evaluations - question of objectivity
- Some perceive field skills have not kept pace with increasing expectations
- "UNICEF should expend far greater efforts on critical analysis of what the accomplishments mean at the country level in terms of continued and sustained activities."

Delphi Panel Member

- 3-5% of programme budgets will reportedly be allocated to monitoring and evaluation
- M&E focal points in offices have been turned into full-time posts
- Increasingly, Board and donors ask questions which require evaluation
- Number of countries and programmes has grown

OPPORTUNITIES INCLUDE STREAMLINING MONITORING ACTIVITY AND INTRODUCING CHECKS AND BALANCES TO EVALUATION PROCEDURES

AREA	POTENTIAL IMPROVEMENT	VALUE TO UNICEF
Multiple Monitoring Activities	<ul style="list-style-type: none"> • Streamline requests for data from field offices to minimize time spent in responding • Consolidate monitoring functions of different headquarters units 	<ul style="list-style-type: none"> • Less distraction to field staff; increased ability to focus on core programme work • Improved coordination and less duplication in headquarters
Monitoring Processes	<ul style="list-style-type: none"> • Develop monitoring formats which acknowledge the operating complexities of UNICEF's work 	<ul style="list-style-type: none"> • Present more accurate picture of UNICEF's activity and relative success
Evaluation Processes	<ul style="list-style-type: none"> • Rely on regions to bring external leadership to country evaluation process • Continue building lessons learned database and develop means for field use 	<ul style="list-style-type: none"> • More objective and therefore more useful evaluations • Dissemination of best practices experience; ultimately, more effective programme activities

Recommendations...

IMPROVEMENT OPPORTUNITIES HAVE EMERGED IN EACH COMPONENT OF PROGRAMME ACTIVITY...

- “Structures” chapter (following) addresses in detail:
 - Technical implementation advisors in regional offices
 - Evaluations administered through regional offices
 - New structural approach and implications for HQ and field management

- Following pages address:
 - HQ technical/policy advisors
 - ICDC
 - Country programming process
 - Monitoring processes

REDUCE NUMBER OF HQ TECHNICAL ADVISORS SUBSTANTIALLY — FOCUS ON TECHNICAL EXPERTISE, SHIFT OTHER ACTIVITIES ELSEWHERE

<p><i>FUTURE HQ ADVISOR ROLES</i></p>	<ul style="list-style-type: none"> • Maintain focal knowledge centers in priority areas of intervention • Build networks among thought leaders in the area, such as CDC, WHO, academic institutions, etc. • Prepare policy documentation outlining methodologies in specific areas of intervention - including indicators for monitoring and evaluation
<p><i>CURRENT ACTIVITIES TO BE MOVED</i></p>	<ul style="list-style-type: none"> • Advocate for field attention → New field management process • Provide support to field staff → Implementation advisors based in regional offices • Gather performance data from field → Consolidated HQ data gathering and statistics center

Recommendations...

INCREASE VALUE REALIZED FROM ICDC: ENABLE INCREASED ACTIVITY LEVELS AND CLOSER LINKS WITH LEADERSHIP

- Build ICDC into strategic planning process
 - Ensure research activities on track with future objectives
 - Likewise, allow new research findings to shape future plans

- Evaluate options for increasing priority and resources
 - Increase funding and staffing at Innocenti?
 - Open additional, small research centers?
 - Establish more frequent dialogue with HQ?

THESE AND OTHER OPTIONS SHOULD BE ADDRESSED BY AN INTERNAL WORKING PARTY

SHORTEN THE COUNTRY PROGRAMMING PROCESS; INCREASE MID-PROGRAMME FLEXIBILITY

- Reduce the length of the programming process, currently at 18 months
 - Conduct ongoing situation analysis
 - Reduce meetings and documentation, as in the optional “adaptive” approach
- Increase flexibility of country programme plans: use mid-term and annual reviews to revise plans as appropriate; consider conducting plans more frequently
 - Reflect the increased pace of change in today's world:
 - Changes in country situation
 - Changes in stability of communities; outbreaks of emergencies
 - Turnover of government staff
 - Consider timing of partners and UN strategy notes
 - Consult with local governments to understand their preferences
- Leadership must clearly communicate “the new model” and follow up to ensure country implementation
 - Previous suggestions of shorter processes were perceived as “the lazy solution”
 - This challenge of changing culture might be productivity addressed by an internal working party

Recommendations...

CONSOLIDATE MONITORING ACTIVITY AND DATA REQUESTS TO FIELD OFFICES; ADJUST MONITORING PROCESS TO FOCUS ON SUSTAINABILITY

- Integrate all headquarters monitoring functions - global goals, programme statistics, technical sector concerns
 - Submit a single request to field offices addressing information needed for all monitoring purposes
 - Disburse data received among headquarters units, donors, etc. with different objectives and concerns
 - Maintain central computer records for each country to improve ability to respond to questions from Board, donors, etc.

- Limit frequency of data requests
 - Field staff suggest that the situations in their countries do not change rapidly enough for more frequent monitoring to be useful
 - Ideally, “standard” requests once each year, coinciding with preparation of the annual report, e.g. annual “PPI” = Profile of Primary Indicators
 - Special requests from Board, donors, etc. could be given mid-year attention

- Develop a more comprehensive monitoring approach which reflects: ultimate results, sustainability and UNICEF’s role in achieving those results
 - Reflect statistics, UNICEF inputs, government and partner inputs and political/economic situation
 - A joint headquarters/field working party could design the optimal report

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