

This chapter describes changes in UNHCR Headquarters' structure during 2000, as well as policies and procedures aimed at improving management and overall effectiveness. The chapter also includes progress in areas not necessarily supported by budgets dedicated to operational activities.

## EXECUTIVE DIRECTION AND MANAGEMENT

### **A New Emergency Response Service**

Early in the year, the Assistant High Commissioner led an internal review of UNHCR's emergency response structure and mechanisms. At the same time an independent evaluation of UNHCR's performance in the Kosovo crisis produced a series of recommendations relating to the Office's emergency preparedness

and response capacity. The reviews resulted in a series of proposals for change, and a Plan of Action covering a full range of emergency-related activities, including preparedness, response and post-emergency follow-up. External staff stand-by arrangements were to be developed, especially in the vital sectors of logistics, telecommunications and security. The Plan also called for improved UNHCR information technology and telecommunications capacity as well as better office facilities and staff accommodation in emergencies. As a direct outcome of internal review, the former Emergency Preparedness and Response Section (EPRS) will be incorporated in 2001 into a larger, more robust structure known as the Emergency and Security Service (ESS). Information on UNHCR's emergency preparedness and response policies and activities in 2000 is covered in the chapter on Global Operations.

### **Improving Staff Security**

The brutal murder of four UNHCR staff members in Indonesia and Guinea in September 2000, followed by the abduction of three in Guinea and Sudan, brought into sharp focus the growing risks of protecting and assisting refugees in areas where insecurity and conflict prevail. In 2000, UNHCR registered a record number of security incidents involving its staff – 154 in total – of which one third were deemed to be serious. Following a thorough review of its staff security policies and procedures, UNHCR's senior management endorsed a range of recommendations in November on how to integrate appropriate security arrangements into its operations and allocate adequate resources for staff safety and security in 2001.

In January 2001, UNHCR will merge responsibility for emergency operations and security management into a new Emergency and Security Service, located within the Executive Office. New measures to improve staff security will include expanding security-related training in hazardous duty stations; undertaking security evaluations in high-risk locations; deploying field safety advisors quickly to trouble spots as these emerge; and making managers more accountable for the security of their staff. UNHCR will also redouble efforts to co-ordinate security arrangements with host states, UN agencies and other partners, including NGOs. As a part of this effort, UNHCR has linked up with the Office of the UN Security Coordinator (UNSECOORD) and humanitarian agencies to establish a set of minimum operational standards. These focus on practical issues such as communications infrastructure, safety equipment, evacuation, training and co-operation among UN and other partners on the ground.

The question of staff security cannot be divorced from considerations of refugee and returnee security. UNHCR will therefore continue to approach donors for support on general measures to improve overall security in refugee-populated areas, so as to assist local authorities to respond to security threats to both refugees and humanitarian workers.

## Inspection, Investigation and Audit

The role of inspection and internal audit is to objectively review management processes and the fulfillment of objectives. These reviews aim to improve risk management, promote effective co-ordination of people and readiness and ensure consistency in the application of standards. Investigation, in turn, seeks to ensure accountability when controls fail, and accordingly contribute to prevention.

The Inspector General's Office is responsible for all activities relating to inspection, and acts as the focal point for investigations. It comprises an Inspector General appointed by the High Commissioner, four inspection officers, and a co-ordinator for investigations supported by two staff. Although not formally part of UNHCR's structure, the United Nations Office of Internal Oversight Services (OIOS) is closely linked to the work of the Inspector General's Office and is one of the central tools for internal oversight. It provides internal audit services for UNHCR on the basis of a Memorandum of Understanding of 29 April 1999.

**Inspection:** Inspections are part of a process of internal oversight and management that gives the High Commissioner and senior staff a broad review of field representation and performance. Particular emphasis is placed on overall management (representation, strategy and external relations), operational management (protection and programme) and administrative management, including the security and living conditions of UNHCR staff. Over a twelve-month period, inspections are planned so as to cover a representative selection of field operations.

UNHCR has offices in 120 countries and, by the end of 2000, a total of 92 of these had been inspected since 1995. Depending on the size of the operation being inspected and the number of locations where UNHCR has staff (each of which is visited), an inspection team comprises between two and four Inspector General's Office staff and another staff with a detailed knowledge of protection issues in the region. This person is generally seconded to the team from the Department of International Protection, but occasionally joins from a different country office within the region. In 2000, the High Commissioner agreed that inspections of smaller operations could be led by the most senior inspection officer, rather than by the Inspector General. This will in effect allow the inspection of each UNHCR country programme every four to five years.

Inspection reports include recommendations for improvement and actions to overcome constraints, addressed to

units at UNHCR Headquarters as well as the field offices concerned. A formal follow-up mechanism ensures compliance with recommendations. Lessons learned with a wider relevance are disseminated accordingly. In 2000, a compilation was made of the lessons learned with regard to the administration of and support to the different categories of staff serving in the field.

The initial inspection work plan for 2000 had to be significantly modified after September in view of the urgent inquiries into the murders of UNHCR staff in Indonesia and Guinea. (The summary reports of these inquiries were made public in December 2000 and are accessible at [www.unhcr.org/evaluate/reports.htm](http://www.unhcr.org/evaluate/reports.htm)). The Inspector General's Office conducted the following 17 inspections in 2000:

January:	Senegal, Gambia, Guinea-Bissau
February:	Germany
March:	Afghanistan, Pakistan
April:	Belgium, Luxembourg
June:	Indonesia (including operations in East Timor), Malaysia, Philippines and Singapore
July:	Georgia
September:	Kenya (Regional Service Centre and Branch Office)
October:	Ukraine
December:	Netherlands

**Investigation:** As focal point for investigations, the Inspector General is also responsible for ensuring investigation of alleged or suspected wrongdoing, including misuse of UNHCR funds, resources or facilities, abuse of authority, harassment, or any other illegal or improper conduct. The post of Investigations Co-ordinator is dedicated to this function. Depending on their nature, investigations are conducted by UNHCR staff, OIOS or with other resources. An investigation concludes with either referral for disciplinary action or closure of the case, where the charges are determined to be unfounded. In 2000, eight investigations were completed. Of these, five were referred for disciplinary or other action as appropriate, and three were closed. Meanwhile, UNHCR also co-operated closely with the Joint Inspection Unit in the preparation of its report *Strengthening the Investigations Function in the United Nations System Organizations*.

**Internal Audit:** Internal auditing is an objective assurance and consulting activity designed to enhance efficiency of UNHCR's operations and to ensure that objectives are met by systematically improving risk management, control and processes. The Geneva-based UNHCR Audit Section of OIOS reviews UNHCR's country operations as well as support ser-

vices and programmes at Headquarters. Based on financial exposure and risk assessment, the audit cycle for the various operations is normally from two to five years. The audits in the field generally focus on programme implementation and on administrative and financial procedures. The audits also cover UNHCR projects implemented by partners, and may include a review of the partners' systems and procedures at their headquarters. In addition to the auditors based in Geneva, the UNHCR Audit Section has Resident Auditors at UNHCR Regional Directorates in Abidjan and Nairobi and, when needed, in major emergency operations (such as Kosovo and Timor in 2000). The Resident Auditor concept allows the audit to be undertaken in close proximity to the audited operation, thereby identifying problems more readily and enabling managers to address them more quickly and effectively.



In accordance with the 2000 Audit Plan, the UNHCR Audit Section conducted 42 audits and submitted 28 audit reports to senior management. In addition, numerous Audit Observations were addressed to UNHCR managers in the field. In many cases, the audits disclosed potential savings or identified opportunities to recover funds from implementing partners and others. The UNHCR Oversight Committee was updated regularly on progress in the implementation of the Audit Plan and the audit recommendations made.

In 2000, 34 field audits were conducted in the following country operations, selected in consultation with the United Nations Board of Auditors and the Inspector General's Office:

- Africa: Benin, Eritrea, Ethiopia, Guinea, Sierra Leone and Somalia (Northwest), Somalia (Cross-Border Operation), Sudan, Swaziland and Tanzania
- Central Asia, South-West Asia, North Africa, and the Middle East: Afghanistan, the Islamic Republic of Iran, Tajikistan, Turkmenistan, Uzbekistan and Yemen
- Asia and Pacific: Indonesia (including operations in East Timor) and Australia (Darwin office)
- Europe: Albania, Azerbaijan, Belgium, Bosnia and Herzegovina, Bulgaria, The former Yugoslav Republic of Macedonia, Moldova, Spain, Sweden, Ukraine, United Kingdom and the Federal Republic of Yugoslavia (Montenegro and Serbia, as well as Kosovo)
- Americas: Mexico and the USA (New York office).

At Headquarters, OIOS reviewed UNHCR's financial reporting on earmarked contributions, the UNHCR Payroll (operated by the United Nations Office in Geneva), and UNHCR's private sector fund raising activities. In addition, five audits were conducted at the headquarters of international NGOs to assess the reliability of their financial and other systems and their ability to meet UNHCR minimum standards. In October, OIOS issued an audit report on UNHCR's partnerships with international NGOs. The report built on findings common to several field audits as well as an analysis of headquarters operations. The report highlighted a number of policy questions in need

of clarification and systemic issues yet to be addressed. Throughout the year, OIOS provided advice on the ongoing revision of UNHCR's programme guidelines and on other policy issues.

## DEPARTMENT OF INTERNATIONAL PROTECTION

The main policy initiatives and developments in 2000 (centrally, at departmental level, and also at field level) are described in the chapters on Providing International Protection, and on Global Operations. The structure and organisation of the Department remained unchanged.

## Evaluation

UNHCR defines evaluation as a vital instrument of organisational learning, accountability and change. Through the systematic examination and assessment of UNHCR's policies, programmes and practices, the function will strengthen the Office's operational effectiveness, and thereby its capacity to meet the needs of refugees and other persons of concern. Within the Department of Operations, the Evaluation and Policy Analysis Unit (EPAU) is responsible for conducting and commissioning major evaluations, developing evaluation capacity and disseminating evaluation findings to both internal and external audiences. Its work is guided by the principles of transparency, independence, consultation and relevance. In 2000, EPAU concentrated on a number of related activities: undertaking and commissioning evaluations; introducing innovative evaluation practices and methodologies; and incorporating the evaluation function in the work of UNHCR.

**Completed and ongoing projects:** In 2000, evaluations focused on a number of key policies and programmes:

- *Emergency response:* The publication of an independent (but UNHCR-sponsored) evaluation on the Office's performance during the Kosovo refugee crisis was published in February. An interim report on follow-up to the recommendations of the Kosovo evaluation was also submitted to UNHCR's Executive Committee. In addition, a 'real-time' review of UNHCR's response to the emergencies in Sudan and Eritrea was undertaken. The resulting recommendations attempted to build upon knowledge already gained from the emergencies in Kosovo and elsewhere. In a similar vein, EPAU collaborated with Danish International Development Assistance (Danida) to undertake a real-time review of UNHCR's work for internally displaced persons in Angola.
- *Urban refugees:* During 2000, EPAU initiated a review of the implementation of UNHCR's policy on refugees in urban areas. A case study on New Delhi was published in November, and fieldwork was undertaken for three other reviews – on Cairo, Bangkok and Nairobi. UNHCR's 1997 policy document on refugees in urban areas will be reconsidered during 2001 and, if necessary, reformulated on the basis of these reviews.
- *Reintegration of returnees:* A review of UNHCR's reintegration programmes in south-east Asia described

and analysed lessons learned which were subsequently discussed at a workshop in Bangkok, in October. A similar workshop was organised on UNHCR's reintegration programme in Guatemala, with a final report on the subject published, during the year. The Office also commissioned a review of lessons learned and good practice in the design and implementation of Quick Impact Projects.

- *Education of refugees:* Working closely with UNHCR's Education Unit, EPAU conducted a yearlong review of key issues in refugee education. The papers commissioned under this project, including studies of education in emergencies, peace education and the quality of refugee education, will be presented at an international workshop on refugee education in March 2001.
- *Implementing partners:* EPAU undertook two evaluations relating to UNHCR's implementing partners: a review of UNHCR's training activities for implementing partners, and an evaluation of UNHCR's role in strengthening national NGOs in developing regions.
- *Evaluation methodology:* New and innovative forms of evaluation methodology were introduced. Three examples were: a 'real-time' evaluation of the Sudan-Eritrea emergency; a 'beneficiary-based' review of the UNHCR programme for refugees in Guinea; and an inter-agency evaluation of needs assessment and the identification of vulnerable populations in Afghanistan, co-sponsored by UNHCR, OCHA, UNICEF and WFP. The fieldwork for the Afghanistan review is to be undertaken in 2001.

**Developing and devolving the evaluation function:** In accordance with the principle of transparency, all of UNHCR's evaluation reports are placed in the public domain and are made available by posting on the Evaluation and Policy Analysis page of UNHCR's website ([www.unhcr.org/evaluate/main.htm](http://www.unhcr.org/evaluate/main.htm)). They are also distributed to key external stakeholders, such as the Executive Committee, humanitarian agencies and research institutions.

Within UNHCR, new efforts were made to develop and encourage wider participation in the evaluation function. These initiatives are described in a paper entitled *Plan of action for the further strengthening of the evaluation function in UNHCR*, which is also available on the web-site. To implement this plan of action, EPAU took on two new staff members and received funding to engage external consultants. An Evaluation Committee, chaired by the Inspector General, was established to guide and support EPAU by ensuring that it is effectively linked to other departments within UNHCR,



especially those involved in organisational learning, oversight and policy development. Steering Committees were established for each major new evaluation, enabling key stakeholders within UNHCR to play a role in developing terms of reference for the project, selecting and advising consultants and reviewing draft reports. The first in a planned series of evaluation training workshops was held in October, with the intention of increasing understanding of evaluation objectives and methods throughout UNHCR. In 2001, NGO and government representatives will be invited to future workshops of this type, and UNHCR eventually hopes to extend such workshops to the field.

Although the evaluation function was accorded a broader and more innovative role in 2000, it still faces several challenges, including the need for a more systematic and standardised follow-up process whereby completed evaluations foster improvements. In the last quarter of the year, EPAU engaged a management consultant (with funding from a member of the Executive Committee) to assist with the elaboration and implementation of the plan of action. The expected outcomes of this initiative include the development of a UNHCR policy on evaluation; a systematic set of evaluation procedures and follow-up mechanisms; increased spending on evaluation; and the greater delegation of evaluation responsibilities to the Regional Bureaux at Headquarters and Regional Directorates in the field, as well as field offices.

All these challenges are predicated on the need for a more pervasive culture of evaluation, learning and accountability throughout the Office. To this end, UNHCR's evaluation function was itself reviewed in 2000, with a preliminary report presented in September. The findings and recommendations of this review will form the basis of the EPAU's strategy in 2001.

### **Division of Operational Support**

In the course of 2000, UNHCR developed *UNHCR's Operational Framework for Repatriation and Reintegration Activities* based on lessons learned and best practice drawn from UNHCR's experience over the last decade. In line with the conclusions of the Brookings round-table discussions, the Framework seeks to hasten complete reintegration by closing the gaps between humanitarian assistance and longer-term development, especially when the situation or location arouses little donor interest. The Framework proposes an approach which fully integrates policies on women, children, older refugees and the environment. It calls for the systematic formulation of reintegration strategies and for links to be established with development actors at the earliest stage of operations. The Framework will be

mainstreamed into the Organisation Management Systems (OMS) to serve as a touchstone in the preparation of repatriation and reintegration programmes as well as for the development of partnerships.

In April, as the OMS project reached an important phase. An OMS Information Systems Board was created, merging the Information Technology Steering Committee within the Department of Resource Management, and the Project Board for the OMS (located within the Division of Operational Support). The Board reports to the Deputy High Commissioner and consults widely with all other units at UNHCR to ensure that staff feel a sense of ownership of the new systems. The chapter on Global Operations contains more details on OMS and other system renewal developments.

### **Bureau for Europe**

The Bureau for Europe was restructured in May in accordance with the policies of delegating more responsibility to the field, ensuring that the field receives appropriate support, and implementing a leaner management structure at Headquarters. The two-tier structure of Heads of Desk and Desk Officers was replaced by a one-tier structure, with Desk Officers reporting directly to the relevant Deputy Director. In addition, programme and administrative support were streamlined and combined in a single resource management team.

### **Bureau for Africa**

The decentralised structure for operations in Africa introduced in 1998 consists of three field-based directorates: for West and Central Africa based in Abidjan, for the East and Horn of Africa based in Addis Ababa, and for Southern Africa based in Pretoria. In July, an Africa Review Group was established and undertook a thorough review of the number and level of staff posts. The Group's report contained 39 recommendations. The Steering Committee of the Bureau for Africa reviewed the recommendations and assigned responsibility for follow-up to the Bureau's Technical Co-ordination Committee.

## **DIVISION OF COMMUNICATION AND INFORMATION**

### **Private Sector and Public Affairs Service (PSPA)**

PSPA was created in December 1999 in order to provide a clear, co-ordinated and professional approach to the private and corporate sectors. The Service is

responsible for fund-raising efforts with the private sector, and for promoting public understanding of the refugee situation world-wide and of the work of UNHCR. UNHCR aims to articulately describe UNHCR's work and a more complete view of humanitarian issues by working more closely with the private sectors. Bringing the staffing of the Service to full strength progressed more slowly than expected, but by the end of the year a new Head had been nominated and new policy directions were under consideration for implementation in 2001. As a first step, PSPA strove to elicit support from the general public in selected countries, essentially through centrally co-ordinated national associations. Information on activities undertaken in 2000 is included in the chapters on Global Operations and on Funding.

### **Media Relations and Public Information Service (PI)**

A new policy on strengthening public and mass information was implemented during 2000. Its aim was to maintain visibility in an increasingly crowded humanitarian environment and meet the growing public demand for fast, accurate and detailed information on UNHCR's operations and the underlying issues. This policy included the establishment of a renamed Media Relations and Public Information Service at Headquarters to anchor a fast and accurate global news and information network. PI maintains a global network of media officers in 23 designated field offices. A new post of Senior Mass Information Officer was created, to provide technical support to field operations in the provision of information to refugees, returnees and host communities so that they can make objective decisions about their future. The addition of this post was part of the plan of action for strengthening emergency preparedness and response in the aftermath of the Kosovo and Timor crises.

The swift deployment of qualified public information staff in several emergencies and operations during the year enabled UNHCR to maintain a high profile in field operations, particularly in areas that normally attract little outside attention. Information on activities undertaken in 2000 is included in the chapter on Global Operations.

### **Centre for Documentation and Research (CDR)**

The Electronic Publishing Unit was established towards the end of 1999. As soon as its electronic server was installed, work quickly progressed on the key task of uniting UNHCR's publishing resources within a single data repository. Towards the end of the year, the first result of

this work was available to staff as the intranet-delivered Knowledge and Information Management System (KIMS). Development meanwhile continued on a redesign of UNHCR's public website (also to be database-driven) and a browser-based re-tooling of the REF WORLD CD series for UNHCR's external information partners.

### **Co-operating with Non-Governmental Organisations (NGOs)**

Increasingly complex patterns of population displacement are best handled through constructive partnerships that play to the strengths of those involved. The participation and involvement of NGOs, both as implementing and operational partners, helps UNHCR to extend the protection and assistance refugees require. Partnership with NGOs may entail, among other things, the exchange of vital information, advocacy and awareness raising (with governments and the public at large). UNHCR and the NGO community laid the foundations for collaboration in Oslo in 1994, with the "Partnership in Action" (PARinAC) process. The Plan of Action adopted by the participants in Oslo concentrated on five priority areas of co-operation: Refugee Protection; Internally Displaced Persons; Emergency Preparedness and Response; the Continuum from Relief to Development; and NGO/UNHCR Partnership. This Plan (and the process it set in motion) continue to underpin UNHCR-NGO collaboration. Information on activities undertaken in 2000 is included in the chapter on Global Operations.

### **Inter-agency Co-operation**

During 2000, UNHCR continued to strengthen its inter-agency co-operation functions around two major themes: partnerships and co-ordination. The following paragraphs describe examples of efforts to enhance partnerships and co-ordination during 2000.

*Partnerships* were further developed and strengthened to increase the level of resources reaching refugees and returnees by mobilising the support of those agencies best placed to deliver the appropriate services. Partnerships were also geared towards increasing advocacy and awareness of the refugee cause, improving protection available to refugees, and opening up avenues conducive to durable solutions.

- During 2000, UNHCR conducted a review of the contents of Memoranda of Understanding (MOUs) signed so far. This review identified three areas with room for improvement: a lack of concrete or measurable action to complement the respective mandates of

each organisation; a political willingness to co-operate that rarely translates into actual impact at the field level; and a lack of effective monitoring, follow-up and review mechanisms. A Guidance Note on MOUs was issued in December 2000 to establish clearer guidelines within UNHCR regarding the development of MOUs as well as a more consistent approach to their implementation. This Note should also assist in future reviews of MOUs (e.g. UNICEF and WFP have requested a revision of their respective MOUs with UNHCR). MOUs were signed at the headquarters level with the United Nations Volunteers and with the League of Arab States. To complement the 1997 MOU with the International Organization for Migration, the two agencies issued a Guidance Note on Co-operation in the Transportation Sector in May.

- The efforts to enhance the Brookings process, initiated in 1999, continued in 2000. During the Roundtable discussion in 1999, Sierra Leone was identified as a pilot programme. However, insecurity in the West Africa sub-region precluded effective implementation. Two possible Brookings projects have been considered for 2001: the Republic of the Congo and Rwanda. Various informal meetings took place during 2000, involving the principals of the World Bank, the United Nations Secretariat, UNDP, UNHCR, WFP, OCHA, as well as representatives of the European Commission and a number of donor and refugee hosting countries.
- Since the signing in 1998 of a Framework for Co-operation, UNHCR has strengthened its collaboration with the World Bank through staff exchanges and joint initiatives. Staff were exchanged in 2000 in Indonesia and Colombia and a similar arrangement was explored for another UNHCR field office in 2001. UNHCR and the World Bank initiated joint programmes such as the North-East Irrigated Agriculture Project (NEIAP) in Sri Lanka, the Georgia Self Reliance Fund (GSRF) and the Azerbaijan Social Fund for Development of the IDPs (SFID). GSRF, SFID and an initiative for refugees and IDPs in Armenia – the Armenian Social Investment Fund, launched in 1999 – could serve as a model for future efforts to bridge the gap between humanitarian and development strategies. An evaluation of the three models in the Trans-Caucasus is planned for 2001.
- During the second half of 2000, UNHCR undertook a review of its experience in dealing with Regional Development Banks (RDBs). This showed that UNHCR and RDBs are working on parallel

tracks, particularly in post-conflict activities in the areas of rural development, health, education and income generation, but that there is room for convergence. The overall objective of establishing operational co-operation with the African Development Bank (AfDB) and Asian Development Bank (ADB) is therefore to facilitate the inclusion of populations of concern to UNHCR in RDB-funded projects in the aforementioned sectors. Steps towards this objective have included meetings with AfDB and ADB officers acting as focal points on inter-agency co-operation, and efforts to identify possible countries of common interest in which operational co-operation could be pursued. A preliminary list includes Cambodia, East Timor, Indonesia, Myanmar, the Republic of the Congo and Rwanda.

- Co-operation with the International Committee of the Red Cross (ICRC) continued in many forms, including the regular annual high-level meeting and ad hoc meetings on issues of concern to both organisations, such as: internally displaced persons, ex-combatants, separation of armed elements, the civilian character of asylum and specific country developments. In 2000, UNHCR started a series of meetings with the International Federation of Red Cross and Red Crescent Societies (IFRC) around geographical and technical issues. UNHCR and IFRC also embarked on an NGO training programme on protection issues.
- As a follow-up to the International Workshop on Micro-Finance in Post-Conflict Countries, co-sponsored by UNHCR and ILO in September 1999, the two organisations embarked on more strategic co-operation in 2000, based on their 1983 MOU. In September, an ILO staff member was loaned to UNHCR to review UNHCR's micro-credit schemes and to see where and how UNHCR could benefit from ILO's experience.
- UNHCR continued its close co-operation with other key partners, particularly IOM, UNICEF, UNDP and WFP. At the same time, UNHCR strengthened linkages and collaboration, at the global level and in the field, with FAO, the Joint UN Programme on HIV/AIDS (UNAIDS), UNEP, UNESCO and WHO. Relevant regional and country chapters in this report describe collaborative ventures with these and other agencies.

In order to ensure *co-ordination*, UNHCR participated actively in existing UN mechanisms, notably the Administrative Committee on Co-ordination (ACC) and the Inter-Agency Standing Committee

(IASC). However, these committees' deliberations and conclusions need to be communicated more effectively to the field. The bilateral initiatives taken by UN agencies (for example, working directly with individual governments) have also to be assembled into a true multilateral effort. In this connection, UNHCR continued to highlight the importance of joint planning at the country level with other United Nations agencies and the government concerned. Tools, such as the United Nations Development Framework (UNDAF) and the Common Country Assessment (CCA), are enabling UNHCR to enhance partnerships and co-ordination with other United Nations agencies. UNHCR has also encouraged its field offices to be more active in contributing to the Resident Coordinator system, particularly in those situations where there are significant humanitarian challenges. Co-operation with OCHA received increased attention in many areas, such as the Consolidated Appeal Process (CAP).

## DIVISION OF RESOURCE MANAGEMENT

### Structural Changes

A new Organisational Development and Management Section was created in July, reporting to the Director's Office. Its objective is to provide senior management with information, analysis and advice on structural and managerial issues. This will facilitate the strategic change needed, in an evolving environment, to ensure a performance-oriented, efficient and effective organisation. In September a new Policy and Administration Section (PAS) was created within the Human Resources Service merging the functions of policy development and administration of staff into one entity.

### Human Resources (HR)

The new human resources policies introduced in January 2000 included a new postings policy, the rank-in-post system for international staff and the indefinite appointments as the standard UNHCR employment contract for staff, as well as streamlining various entitlements. The main objectives in 2000 included: ensuring the consistent application of HR policies and procedures; the implementation of the new human resources processes; monitoring of and support for decentralised or delegated human resource management activities; and the implementation of the revised performance appraisal system.

A total of 253 posting decisions were made, including 201 reassignments and 52 new recruits in 2000. The new selection process for internal vacancies was implemented, but resulted in some unforeseen delays in filling vacancies, primarily due to the unfamiliarity of staff and management with the new process. An important development was the enhancement of the role of individual managers, now allowed greater freedom in the selection of their team. This freedom is tempered by a commensurate increase in accountability for managerial decisions.

In the first half of 2000 there was intensive training of senior management at Headquarters and in the field on competency-based interviewing techniques using tele- and video-conferencing. This backed up the requirement to interview short-listed candidates for posts at the P-4 level and above. A shortage of staff and the delayed development of integrated electronic tools hampered the implementation of the new postings process. A number of shortcomings were addressed through internal reviews, revised guidelines and the deployment of experienced staff on mission. The *Staff Administration and Management Manual* and InSite CDROM (in English and French) were updated. The comprehensive personnel manual was updated and issued in both English and French versions, and a paper, *The State of UNHCR's Staff*, was published in December.

The administration of national staff was delegated to the field in 2000 with a corresponding reduction in posts in Geneva. In this connection, human resources capacity was strengthened in the Regional Directorates in Abidjan, Nairobi and Pretoria. Monitoring and coaching missions took place throughout the year. However, the experience demonstrated that decentralisation of highly specialised functions to a large number of locations – which hitherto lack the requisite expertise – can, in some instances, lead to less efficient service delivery, with inadequate monitoring and support. First of all, information technology support needs to be strengthened before further decentralisation takes place. The human resources capacity in the field needs further consolidation and strengthening in order to ensure a high quality of service to staff. It is important to allocate sufficient staff resources for the long-term success of delegation.

A number of innovations were introduced in terms of conditions of service. Two examples are HOME, which is an allowance to facilitate the maintenance of two households for staff on rotation, and SOLAR, which is a simplified and streamlined approach to the payment and administration of mission-service allowances: it



allows flexibility in the use of the home leave entitlement. A Working Group on Rotation was established in 2000 to undertake a comprehensive review of UNHCR's rotation policy and is expected to report to the High Commissioner in 2001.

New Regulations and Rules of Procedure of the Appointments and Promotions Board (APB) were issued in December 1999, and the APB was defined as an oversight body. The role of the APB in the new postings process was reviewed after six months. Several recommendations arising from Phase 1 of this review, addressing a number of bottlenecks and procedural issues, were approved by the High Commissioner for implementation in 2001. The alignment of the rules of the Appointments and Promotions Committee, however, was delayed.

To strengthen Career Management Systems (CMS), a user-friendly Performance Appraisal Report (PAR) form was introduced in 2000 (with accompanying guidelines on its use, including a standardised rating system). Compliance with the 1999 PAR reached 75 per cent (of all UNHCR staff, regular and short-term), a marked improvement on the preceding PAR (66 per cent). Other achievements during 2000 included the following:

- The UNHCR Rebuttal Board was constituted: staff and management are represented by its 30 members;
- Fact Sheets with relevant performance, competency and other career-related data were distributed worldwide;
- Ten refresher sessions on performance appraisal and related career management processes, one Training-of-Trainers session and three CMS application training workshops were held both at Headquarters and in the field;
- The career planning function and a career planning framework were established to provide professional career advice and guidance for all categories of staff, both at Headquarters and in the field;
- Through a Career Supporting Services Project, to be implemented 2001, staff will benefit from career-oriented planning sessions, which will provide a range of tools to assist them during the course of their career;
- A career planning questionnaire was distributed among UN and specialised agencies for a survey on existing career management and development practices. At year's end, the findings and a report were expected to be released during the first quarter of 2001;

- A Recognition of Staff Scheme was launched, covering either Long, Distinguished or Meritorious Service. The Long Service programme was successfully implemented and the two latter ones will be developed during 2001.

The emphasis on performance as a key element of the postings policy has brought the Office's performance management capabilities under more intense scrutiny and highlighted the need for compliance and involvement of staff at all levels. Resource issues resulted in delays in revision and endorsement of the career planning framework and review and enhancement of the Office's competency framework. Individual staff members are now required to play a much more pro-active role in the selection process than before and have a greater incentive to ensure that their performance is properly managed and their competencies documented.

## Gender Equity

UNHCR is committed to promoting gender equity within the organisation, and was advised in this regard by the Special Advisor on Gender Equity. An analysis of demographic trends within UNHCR reveals that the Office faces several challenges in its efforts to identify and remove barriers to women's advancement and retention, and thereby eradicate a persistent gender imbalance. For instance, many women leave UNHCR once they reach middle management level. Furthermore, half of the 158 female staff at this level and above, UNHCR's most senior female talent, work at Headquarters in Geneva, in a relatively stable and policy-making environment. Consequently, although 84 per cent of all UNHCR staff serve in the field, there are actually very few senior female members of staff among them who have sufficient experience to make high profile operational decisions in proximity to refugee women. UNHCR does have 112 professional women working in so-called "difficult" duty stations, but of these 89 are at junior management level.

UNHCR recognises that, if it is to improve this poor distribution of potential within its ranks, it needs to devise the means to attract more women who will progress to middle management level and stay on, some of them rising in due course to senior management. The barriers to retention, and by implication therefore to the promotion of female middle managers to the most senior decision-making levels of the organisation, are under scrutiny as part of a "work : life balance" study sponsored by Canada. This study, due in June 2001, will provide the basis for a comprehensive

set of responses to those barriers. However, it is already apparent that men of a similar age and at the same levels in the organisation are experiencing very similar life cycle tensions as women. Dual career domestic partnerships, and the virtual demise of the 'following wife' syndrome in contemporary working life, are forcing both men and women with caring responsibilities and/or working partners, to re-think their availability for the ceaseless rotation of postings that is the reality of a UNHCR career.

This is not to suggest that the barriers to women's advancement are all due to an imbalance between work and personal life. UNHCR still suffers from poor in-house relational behaviour, inappropriate management styles and a lack of appreciation of the importance of a diverse workforce for optimal effectiveness. The Office does not maintain statistics on harassment but, at least anecdotally, there is ample justification for a more comprehensive anti-harassment policy at UNHCR. The senior and middle management learning programmes confront these barriers squarely in well conceived and thoughtfully delivered modules on organisational culture, diversity and equity, harassment, and team management. UNHCR plans to extend this innovation to induction/orientation and learning programmes both for General Service and national staff throughout the organisation, and on a broader scale. Ten years ago, the High Commissioner created the Permanent Working Group on Women. In 2000, this was refashioned into the Group for the Advancement of Gender Equity, which now also allows consideration of the gender of men alongside that of women. The Special Advisory Project on Gender has contributed to a growing number of initiatives on information, advocacy, learning and policy. UNHCR is committed to building an enabling environment within which to produce sustainable outcomes in 2001 and beyond.

### **Staff Welfare**

Direct support to staff includes individual counselling, traumatic stress interventions, provision of advice and co-ordination of domestic and administrative issues. During 2000, 640 individual consultations took place on issues including: traumatic experiences, cumulative stress, workplace harassment, staff and family problems, as well as domestic services for staff in Geneva and administrative support. Staff Welfare Officers visited Algiers, Georgia, Lebanon, Kosovo, Guinea, Croatia and Iraq as well as Indonesia/East Timor twice. Following the tragic incidents in West Timor and South

Guinea in September, the staff involved received psycho-social support.

Focusing on stress management, UN Staff Counsellors met in November in Rome to share experiences and approaches, and to discuss ways of co-operating and networking. By drawing upon a larger and better integrated pool of counsellors, the intention is to assist a broader humanitarian community in a particular area, rather than concentrating on individual agencies. UNHCR has already benefited from such co-operation in Abidjan, Islamabad, Nairobi and Khartoum.

UNHCR also worked to strengthen the knowledge base of staff welfare officers. The 1992 edition of the brochure on *Coping with Stress in Crisis Situations* was updated as *Managing the Stress of Humanitarian Emergencies* and translated into French, to be distributed in 2001. This brochure provides tips for managers in emergency operations on how to reduce the level of stress suffered by their teams. The Survey on the Activities related to HIV/AIDS, which was conducted in UNHCR offices worldwide, noted the lack of a global UNHCR strategy on this issue. Modules on *Managing Stress and Related Matters* are now standard content for both the Workshop for Emergency Management and the Management Learning programmes. A training course for Field Staff Safety Advisors, in which 22 staff participated, included a component on aiding staff following crises. New training material based on the new framework was developed, for training to begin in 2001. The Peer Support Personnel Training Programme, established in 1996, was reviewed with support from the Canadian Management Trust Fund, using input from Staff Counsellors at WFP, UNICEF, ICRC and Community and Family Support International.

### **Financial Management**

Review of the financial management procedures continued as part of the decentralisation and delegation of financial processes and authority from Headquarters to the field offices.

Progress was made in transferring responsibility for the processing of accounts to the various operations, and the Accountability Agreements were signed by Directors. These agreements established clear responsibility for particular activities and allocation of accountability between Headquarters and the field. The implementation of a comprehensive delegation of financial signing authority began in December 2000 after exten-

sive consultation within the Organisation. At year's end this was expected to be fully operational in the first quarter of 2001. Fifteen missions to the field were undertaken and the finance officers in four Regional Service Centres (Abidjan, Costa Rica, Nairobi and Pretoria) were trained in order to increase capacity at the point of delivery.

UNHCR commenced development of a comprehensive and user-friendly financial management manual, which will integrate all policies and procedures related to financial resource management. The following core functions were highlighted in 2000: planning and budgeting; income recognition and recording; cash management; accounting for expenditure and receipts; monthly and annual reporting; and audit. At year's end, these topics were expected to be ready for publication in the second quarter of 2001. The analysis of training and guidance material for UNHCR's implementing partners was completed in December. It is expected to improve the financial management capabilities of the implementing partners.

### **AssetTrak**

As part of the Integrated Systems Project (ISP), UNHCR introduced a simplified system, "AssetTrak", to record and track non-expendable property, after it had been established that its forerunner, the "Minder" system, was not Y2K-compliant. UNHCR focused on tracking those assets under direct UNHCR operational control and a compliance rate of 88 per cent was achieved during the year. For 2001, an enhanced version of the software will be released and the focus will be on assets managed by UNHCR's implementing partners.

### **Procurement and Transportation**

The procurement of goods and services is an integral part of UNHCR's activities. These include logistical support for the storage and transport of relief items and the transport of people. Over the past few years UNHCR has on average devoted about 40 per cent of its budget to procurement, logistics and transport activities, which are internationally co-ordinated by the Supply and Transport Section (STS), located at UNHCR Headquarters in Geneva. STS seeks to use economic and effective services, to obtain best value products, and to guarantee fairness and transparency through competition. Complementing STS's activities,

UNHCR offices in the field also procure goods and services locally or regionally. Implementing partners have also seen their share of procurement steadily increase in recent years, as they now account for roughly half of all UNHCR procurement.

UNHCR recognises the need to constantly improve procurement and logistics activities. In 2000, STS identified new supply organisations and established regional supply centres in Kosovo, Nairobi and Abidjan. These centres have provided improved support to UNHCR's programmes and have served as models for further expansion. Furthermore, a new supply structure was developed (for implementation at Headquarters early in 2001) to reduce costs and increase the quality of service.

UNHCR aims to have the capacity to respond in a timely and appropriate manner to the majority of its material requirements. To achieve this, the Office has established emergency stockpiles and frame agreements. UNHCR operates a centrally controlled emergency stockpile in Copenhagen, with the capacity to meet the initial requirements of an emergency operation. Over the years, emergency stockpiles have reduced the response time to emergencies from weeks to days, effectively to the time needed to organise a charter flight. In 1996, STS concluded its first frame agreements based on open international competition. They have proven highly successful as they ensure access to products of a uniform quality at fixed terms and prices, and they do so more rapidly, efficiently and reliably than spot purchasing.

On 1 January 1999, UNHCR joined the United Nations Common Supply Database (UNCSD). The database is a collaborative effort by 13 UN agencies and is designed to obviate the need for separate databases or for potential suppliers to register individually with each agency. Companies wishing to register as potential UNHCR suppliers must first register with UNCSD. In the coming years, UNHCR hopes that the database will be similarly used for suppliers in field locations.

In 2000, procurement by Headquarters amounted to USD 51 million, and regional procurement accounted for an additional USD 18 million. The low procurement figures reflect the low expenditure in 2000 (compared to USD 115 million for centralised and USD 40 million for regional purchases in 1999). Furthermore, in recent years, UNHCR field offices and implementing partners have been handling a larger share of procurement activities.

Voluntary Contributions - Restricted (USD)			
Donor	Earmarking <sup>1</sup>	Annual Programme Budget and Trust Funds	
		Income	Contribution
Denmark	Headquarters	247,831	247,831
Italy	Headquarters	3,143,225	3,143,225
Japan	Headquarters	5,747,955	5,747,955
Sweden	Headquarters	2,950,450	2,950,450
United Kingdom	Headquarters/DOS	289,819	289,819
United States of America	Headquarters	14,000,000	14,000,000
UN International Criminal Tribunal for the Former Yugoslavia	Headquarters/DCI	32,508	32,508
<b>Sub-total</b>		<b>26,411,788</b>	<b>26,411,788</b>
UNF (Ted Turner) (USA)	Headquarters/Trust Fund	135,000	135,000
<b>Total<sup>2</sup></b>		<b>26,546,788</b>	<b>26,546,788</b>

<sup>1</sup>For more information on the various earmarkings, please refer to the Donor Profiles.

<sup>2</sup>Total funds available for obligation also included unearmarked voluntary contributions, broadly earmarked contributions, opening balances and adjustments.

Budget and Expenditure (USD)			
		Annual Programme Budget and Trust Funds	
		Revised Budget <sup>1</sup>	Expenditure <sup>1</sup>
<b>Executive Direction and Management</b>			
	Executive Office	2 939 987	2,678,235
	Inspection/Office of the Inspector General	1,077,293	1,024,704
<b>Sub-total</b>		<b>4,017,280</b>	<b>3,702,939</b>
<b>Department of International Protection</b>			
	Director's Office	1,099,172	1,087,926
	Specialised Sections	4,138,741	3,780,469
<b>Sub-total</b>		<b>5,237,913</b>	<b>4,868,395</b>
<b>Department of Operations</b>			
	Evaluation and Policy Analysis Unit	549,840	477,979
	Director's Office for Africa	1,628,260	1,614,017
	Director's Office (Division of Operational Support)	1,692,750	1,380,453
	Division of Operational Support	5,813,892	5,655,673
<b>Sub-total</b>		<b>9,684,742</b>	<b>9,128,122</b>
<b>Division of Communication and Information</b>			
	Director's Office	1,204,336	1,117,984
	Donor Relations and Resources Mobilisation Service	2,884,569	2,409,947
	Media Relations and Public Affairs Service	3,936,147	2,847,870
	Secretariat and Inter-Organisation Service	1,458,241	1,228,051
	Centre for Documentation and Research	1,474,484	1,292,465
	NGO Unit	436,753	385,131
	Records and Archives Section	1,802,319	1,512,598
<b>Sub-total</b>		<b>13,196,849</b>	<b>10,794,046</b>
<b>Division of Resource Management</b>			
	Office of the Controller and Director	1,365,627	1,140,436
	Financial Resources Service	6,236,915	5,829,535
	Human Resources Service	7,645,487	8,410,116
	Career and Staff Support Service	2,539,436	2,050,699
	Information Technology and Telecommunication Service	9,021,605	8,226,905
	Audit	1,517,978	1,403,073
	UNOG Services	4,878,263	5,059,962
	ICC Services	2,257,975	2,060,374
	Joint Medical Service	1,147,042	1,099,408
	Supply and Transport Section	2,298,094	1,982,235
	Building Management Unit	1,127,891	958,741
	Headquarters Running Costs	7,341,794	5,984,776
	Staff Council	177,610	169,202
<b>Sub-total</b>		<b>47,555,717</b>	<b>44,375,462</b>
<b>Grand Total</b>		<b>79,692,501</b>	<b>72,868,964</b>

<sup>1</sup>Includes UN Regular Budget as follows : revised budget of USD 20,191,400 and expenditure of USD 19,596,360.

Does not include costs of Bureaux and Liaison Units at Headquarters amounting to USD 15,318,610.