UNISDR Financial and Administrative Process Review

Final Report

December 22nd, 2011

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EXECUTIVE SUMMARY

INTRODUCTION

E.S. Tunis & Associates (ESTA) was invited to review the Financial Management and Administrative processes of UNISDR. The review was one of a series of initiatives undertaken by UNISDR in response to the July 2010, Office of Internal Oversight Services (OIOS) Audit Report. After consultation with Senior Management at UNISDR, ESTA was directed to focus its review on three key processes:

1. The Funding and Reporting Cycle
2. The Management of Grants
3. Consultant Recruitment

The methodology included a review of documents and existing process maps, interviews with managers and process owners at headquarters in Geneva, visits to regional offices in Bangkok, Cairo, Nairobi, Panama and Brussels, and the development of high level process maps for headquarters and regional offices. During the week of March 18th, ESTA consultants outlined their findings and discussed their recommendations with a range of UNISDR staff.

Throughout the review, ESTA found all UNISDR managers and staff to be welcoming, open with documentation and insights, and supportive in every way with the goals of the review.

KEY FINDINGS

1. THE FUNDING AND REPORTING CYCLE

(i) The most serious issue facing UNISDR is the irregularity of its cash flow (i.e. cash is rarely available for planned activities at the right time). Cash flow difficulties limit the capacity of UNISDR to deliver on its Work Plan, threaten the credibility of UNISDR with its donors, limit the effectiveness of planning, and cause excessive time to be wasted resolving administrative issues.

The only long term solution to this problem lies in the hands of UNISDR's donors. More specifically, the donor base needs to be widened and donors need to be encouraged to supply funds in a timely manner, provide funding that is liberated from restrictive conditions, and consider offering support to a reserve supply of base funding that will enable UNISDR to smooth out its annual cash requirements.

ESTA supports the recent decision to create a separate, more high profile Resource Mobilization section whose mandate is to address this issue.

(ii) UNISDR suffers from the absence of a single, integrated financial and management information system to support programme planning, budgeting, monitoring, reporting and decision making. In the absence of such a mechanism, regional offices have gone to extensive effort to develop local systems in support of their operations. These systems support regional programming, are not compatible with either headquarters information systems or the systems of the regional service providers, and are, given their reliance on Excel spreadsheets, very time consuming. In all cases, local managers have become dependent on their own systems, and would feel exposed without them.

One particularly mature and robust system (the e-Management Tool) has been developed in the Asia Pacific Region. Currently a study is being conducted into the technical feasibility of adapting it to the needs of all the regions and headquarters and implementing it throughout UNISDR. If feasible and depending on cost, the e-Management Tool could prove an acceptable interim solution to UNISDR's financial system requirements until Umoja is adopted.

We did not conduct a technical evaluation of the system in the Asia Pacific region, but we point out that most regional managers remain to be convinced that it is superior to their current solutions. In addition, like all system changes, the introduction of the e-Management Tool is more than a technical challenge. To be successful as a corporate tool it will need to be supported with policy, intensive training and personal coaching on its use and interpretation. In addition, the capabilities of regional finance support staff would probably need upgrading.

2. THE MANAGEMENT OF GRANTS AND CONSULTANT RECRUITMENT

ESTA did not observe any structural flaws, duplication or exposure to undue risks with the Management of Grants and Consultant Recruitment processes.

Issues with the grants process identified during the review have, to a large extent been addressed by the recently introduced terms of reference for the Grants Committee and related enhancements to the grants application, review, and notification procedures.

Any delays or dysfunctions in the Consultant Recruitment process were usually due to processes internal to the various service providers who provide UNISDR with administrative support.

3. ADDITIONAL OBSERVATIONS AND RECOMMENDATIONS

Transitional UNISDR Functional Chart
ESTA supports the separation, in the Transitional Chart, of the section responsible for "incoming funds" (Resource Mobilization) from the section responsible for "out going funds" (Executive Office). This separation should allow both functions to benefit from the focused attention that each requires.

ESTA also supports the change in reporting relationships by the Regional Offices as reflected in the Transitional Chart. Heads of Regions will now report directly to the Office of the Director; this is appropriate given the "regionally driven" nature of the disaster reduction domain and UNISDR.

Managing the Transition to the New Functional Structure of UNISDR
The new functional structure of UNISDR represents another stage in the ongoing evolution of UNISDR. The Chart depicts a fundamental change in how headquarters and the regional offices work with each other. However, realizing the full potential of this new relationship will involve a significant cultural shift as well as a reorientation of the roles, responsibilities and accountabilities of staff across the organization and, in particular, within the Senior Leadership Group (SLG).

ESTA suggests that the senior leadership of UNISDR engage in an organization development process that will enable them to address, in concrete terms, management roles, the distribution of accountabilities, and the culture development implications of the new Functional Chart.

RECOMMENDATIONS

Recommendation 1: Improved Donor Support and Creation of a Dedicated Resource Mobilization Unit

The only long term solution to the irregular cash flow lies in the hands of UNISDR's donors. More specifically, the donor base needs to be widened and donors need to be encouraged to supply funds in a timely manner, provide funding that is liberated from restrictive conditions, and consider offering support to a reserve supply of base funding that will enable UNISDR to smooth out its annual cash requirements.

ESTA recommends UNISDR proceed with the recent decision to create a separate, Resource Mobilization Unit whose mandate is to address this issue reporting directly to the UNISDR Director, as reflected in UNISDR's transitional functional chart dated March 2012.

Recommendation 2: Enhanced Resource Mobilization Plan

The current version of the new Unit's draft Resource Mobilization Plan contains a high level diagnosis of the resource mobilization challenge and outlines its targets with respect to diversifying the donor basis. In our view the plan is a solid beginning but could benefit from a more detailed analysis and strategy.

ESTA recommends that the next version of the Unit's draft Resource Mobilization Plan include what we consider to be additional key elements of a strategy:
  (i)   A detailed diagnosis that explains the nature of the resource mobilization challenge. The benefit of a comprehensive diagnosis is that it will simplify the often overwhelming complexity of access to donor funds and will focus on the issues which are critical and require immediate resolution.
  (ii)   A strategy for dealing with the challenge. This should include a roadmap to overcome the obstacles identified in the diagnosis.
  (iii) A set of coherent actions that are designed to carry out the strategy. These are the steps that are coordinated with one another to work together in accomplishing the strategy.
  (iv)   A set of indicators against which success can be measured. The developed of a Resource Mobilization Plan is just the first step in moving forward. As progress is made, the Unit will want to demonstrate success, recognize failures and make course corrections as necessary.

Recommendation 3: Preparation for Post-Hyogo

With the end date of the Hyogo Framework set for 2015, the DRR domain (including UNISDR) will be faced with the challenge to develop a new strategic direction for a "post-Hyogo" world.

ESTA recommends that UNISDR include an examination of solutions to its cash flow problems as it carries out its post-Hyogo consultations.

Recommendation 4: Treat Any Implementation of the e–Management Tool as a Major Change Management Project

ESTA did not conduct a technical evaluation of the e-Management Tool in the Asia Pacific region, but we point out that several regional managers remain to be convinced that it is superior to their current solutions. Comparative advantages of this e-tool should be explored in consultation with regional offices and a shared decision reached before proceeding to next steps. In addition, like all system changes, the introduction of the e-Management Tool is more than a technical challenge. To be successful, implementation must also address the "people" side of change and transition.

ESTA recommends, should the e-Management Tool be adopted, its implementation be treated as a change management project and supported by due training for staff and be assigned resources and a period for transition as required.

Recommendation 5: Upgrade Capabilities of Finance and Administrative Clerical Staff

The e-Management Tool requires a higher level of skill and knowledge than it would appear finance and administrative staff possess in most regions.

ESTA recommends that, should the e-Management Tool adopted, the capabilities of the regional finance and administrative staff be upgraded so that the full potential of the Tool can be realized.

Recommendation 6: Regional Office Focal Points

Programme Officers spend significant time dealing with issues related to the funding and reporting cycle such as meeting multiple reporting requirements.

ESTA recommends that UNISDR designate regional office focal points that are tasked with providing staff members with financial management and administrative advice and guidance. These administrative staff would play a valuable support role, freeing up the time of programme staff and ensuring there is procedural consistency across the regions.

While these staff would be regionally based, they would have a strong relationship with the finance and administration team at headquarters. (For example, it is recommended that these key administrative and finance staff would report to a regional manager and have a "dotted line" reporting relationship to RMS.)

It may not be necessary for the focal point to be an additional resource. The focal point could simply be an upgraded, existing staff member that has been given standardized finance and administrative training and access to the required tools. This would enable him/her to support the regional office in its programme work and to assist the regional office head in exercising his/her delegation of authority.

Such arrangements could be replicated at the sub-regional level, resources permitting. Alternatively, if the designation of a sub-regional focal point is not currently feasible in a particular sub-region, it may also be suitable for one focal point to serve more than one sub-region or be supported by headquarters.

Recommendation 7: Implementation and Ongoing Management of SOPs

Headquarters is presently working to ensure that financial management and administrative SOPs are up-to-date and posted on the UNISDR Intranet. In ESTA's experience the effective acceptance and use of SOPs requires a multi-faceted implementation plan.

ESTA recommends that a plan be developed to support the implementation and ongoing management of the SOPs. The plan should include a communications strategy, feedback mechanisms so staff can provide input into the continually updating of SOPs, face-to-face meetings with users, pilot tests for certain SOPs, and the overall intent of developing a relationship with users that ensure the SOPs are fully understood, address user needs and are "owned" by both HQ and Regions.

Recommendation 8: Criteria to Assess the Feasibility of the e-Management Tool

ESTA recommends that the characteristics of the ideal funding and reporting process that were identified by the regions and headquarters (see Finding 5 on page 17) be used as criteria to help assess the feasibility of adopting the e–Management Tool throughout UNISDR and to assess any other tool or system introduction.

Recommendation 9: Clarity Regarding the Role and Processes Associated with the Monthly Programme Group

ESTA supports UNISDR's decision to create the Programme Management Committee. Such a Committee will play an important role in ensuring funds will be allocated to the important work plan priorities.

ESTA recommends that in order to ensure all staff members understand the role of the Committee, the Committee's Terms of Reference, and related procedures and processes be explicitly documented and formally communicated. Of particular importance is its relationship to the SLG and the processes it uses to communicate its decisions.

Recommendation 10: Defining the Purpose of Grants

UNISDR needs to clearly define and document the purpose of grants. Doing this will help the organization determine who receives grants, what type of work grantees should perform, how grantees should be monitored and how poor performers should be managed.

For example, if UNISDR has a written policy that states grants can be used to build partner capacity, then in certain circumstances, giving more than one grant to the same organization over several or even consecutive years would be justified.

ESTA recommends that the SLG oversee the development, communication and application of a policy that defines and documents the purpose of grants within UNISDR.

Recommendation 11: Risk-Based Approach to Monitoring Grants

Risk indicators can be developed collaboratively by staff and leaders across the organization and Programme Officers can be guided on how to apply risk profiles to each grant scenario. This system will increase efficiencies associated with monitoring activities at UNISDR and will balance the reporting burden placed on recipients in keeping with the size, perceived risk and sensitivity of the grant awarded.

Risk indicators can include the following considerations:
- Financial Considerations: How large or small is the financial allocation?
- Recipient Considerations: Is the recipient a well established organization or a new entity? Does the recipient have a performance history associated with UNISDR grants?
- Time and Scope Considerations: For how long does the grant extend? What is the scope and profile of activities?

ESTA recommends that UNISDR consider developing a risk-based approach to monitoring grants and disseminates this in a guidance note to programme officers. This will identify risk exposure and adjust audit and monitoring requirements based on an assessment of whether the grant is low, medium or high risk. In doing so, UNISDR should build on best practices of other UN Secretariat departments as available.

Recommendation 12: Evaluate Benefits of a Consultant Roster by Engaging the Regions and Conducting a Pilot

ESTA recognizes that a consultant roster could be a very useful tool but it may also be labour intensive and require significant maintenance.

ESTA recommends RMS engage in further discussions with regional staff to ensure the benefits the regions derive from the roster will be worth the time and resources required to develop it. Discussions with regional staff should also include representatives from regional service providers as each organization has a series of criteria related to rosters which will need to be met by UNISDR.

Assuming a decision to proceed is made, ESTA recommends a pilot be developed that will allow RMS and the regions to build a deeper understanding of how much effort will be involved in the creation and ongoing management of a UNISDR-wide roster.

Recommendation 13: Use the Consultant Recruitment Process Map to Continue Discussions Between Headquarters and the Europe Regional Office

ESTA agrees the issues that the Europe Regional Office has with the consultant recruitment process are best resolved by improving communication with headquarters and UNDP and/or providing training.

ESTA recommends that headquarters and the Region, and as appropriate UNDP, review the bottlenecks and barriers identified in the Europe Regional Office Consultant Recruitment Process Map (see the appendix to this document) and collectively work to identify solutions to improve the efficiency of this process.

INTRODUCTION

In January, 2012 ESTA was invited to review the financial management and administrative processes of UNISDR. The review was one of a series of initiatives undertaken to respond to recommendations in the Office of Internal Oversight Services' (OIOS) July, 2010 Audit Report.

After consultations with senior management, ESTA was directed to focus on three processes, each central to UNISDR carrying out its mandate:

1. The Funding and Reporting Cycle: The process for developing, costing, funding, implementing, monitoring and reporting on UNISDR's global and regional work plans.

2. The Management of Grants: The process for identifying, selecting, monitoring and assessing grant recipients.

3. The Recruitment of Consultants: The process for identifying, selecting, monitoring and assessing consultants recruited to implement activities in UNISDR's global and regional work plans.

The review included working with a wide range of staff at headquarters and the field to map the three processes, identify existing bottlenecks and barriers and develop recommendations for how to mitigate them. This document contains the key findings that surfaced from the review as well as suggestions for addressing the most critical issues. It also contains a description of the methods used to arrive at these conclusions and a comprehensive record of all maps developed at headquarters and five regional offices.

METHODOLOGY

At the inception of the project, ESTA worked with staff members in UNISDR's Resource Management Section to clarify the scope and objectives of the review. It was agreed that ESTA would create high level maps of the funding and reporting cycle, the management of grants and the recruitment of consultants at headquarters and the five regional offices: Africa, the Americas, the Arabs States, Asia-Pacific, and Europe.

In advance of the process mapping sessions, ESTA studied all relevant literature including UNISDR's standard operating procedures, strategic framework, biennial work plans, external evaluations and audit reports. The goal was to develop a preliminary understanding of the three processes, the context in which UNISDR was working and the broader management issues facing the organization.

In order to map the processes and identify the key inefficiencies, redundancies and barriers, ESTA conducted interviews and led process mapping sessions with over 30 staff members at headquarters and the regions including:

- The Special Representative of the Secretary General for Disaster Risk Reduction.
- Five Regional Heads of Office.
- The Chief of UNISDR's Resource Management Section.
- UNISDR's Budget and Finance Officer.
- UNISDR's Administrative Support Services Coordinator.
- Finance and Administrative Professionals and Support Staff at headquarters and in five regional offices.
- Programme Officers.
- Human Resource professionals.

Over a two month period, ESTA consultants worked with the above staff members to define the core tasks that constitute each of the three processes, the purpose of the each task, the individuals that perform the tasks, the individuals that authorize a task has been completed satisfactorily, where the tasks are completed, how long they take to complete, the key bottlenecks and barriers and the characteristics the process should ideally in the future.

In the final stage of the review, ESTA consolidated the key findings from each of the process mapping sessions and shared them with staff at headquarters including senior members of the Resource Management Section. ESTA also discussed possible solutions to the most critical bottlenecks and barriers in each process. The results of these discussions were analysed and a series of recommendations for improving the efficiency and effectiveness of each process were developed.

FINDINGS AND RECOMMENDATIONS

The Funding and Reporting Process

The funding and reporting cycle is the most critical financial management and administrative process at UNISDR. While some variation exists across the organization, the fundamental components are as follows:

- Identify global/regional and donor priorities.
- Develop Global and Regional Biennial Work Plans and ensure Plans are aligned with priorities.
- Develop Global and Regional Cost Plans to allocate financial resources to the activities in the Work Plans.
- Mobilize resources to ensure there is cash flow to fund the activities identified in the Work Plans.
- Implement the activities described in the Work Plans.
- Monitor the implementation of the Work Plans to ensure results are being achieved and expenditures are being tracked to the Cost Plans.
- Create financial and narrative reports on the activities implemented.

A critical component of the functioning of operations across UNISDR is the use of third party administrative service providers to support back-end operations and processing of transactions. Each region has the authority to choose its own service provider to ensure services are tailored to the needs of regional operations. Examples of service providers include UNOG, UNOPS, UNDP and ESCAP. As a result, the funding and reporting cycle takes into consideration the relationship between headquarters and the regions as well as the role that the service providers play in supporting operations.

As the funding and reporting cycle moves from planning to implementation, each region takes responsibility for managing and tracking its finances, monitoring operations and reporting on results. Many regional offices use manual systems supported by Excel sheets while others have created more robust financial management and reporting systems.

As described in detail below, ESTA's review revealed that there are two critical issues related to the funding and reporting process that severely limit the efficiency and effectiveness of the organization. The most serious is the lack of availability and predictability of funds due to cash flow problems. The second is the absence of an integrated financial management and information system that is shared across the organization. Both of these issues are serious impediments to UNISDR delivering on its mandate.

ESTA also identified three other issues with the funding and reporting process that, if addressed, will not solve the key problems with the funding and reporting cycle, but will

improve its functioning and performance. These issues include UNISDR Programme Officers spending excessive time addressing administrative and financial management tasks; their inability to take full advantage of Finance and Administrative Standard Operating Procedures (SOPs); and the lack of transparency regarding how programme funds are allocated.

For all of the challenges, described above, ESTA has provided a series of recommendations that may help UNISDR address these process issues.

FINDING 1: IRREGULARITY OF CASH FLOW

The most critical issue facing UNISDR is the irregularity of its cash flow. In essence, cash is rarely available for planned activities at the right time. Cash flow difficulties limit the capacity of UNISDR to deliver on its Work Plan, threaten the credibility of UNISDR with its donors, limit the effectiveness of planning, and cause excessive time to be wasted resolving administrative issues.

Recommendation 1: Improved Donor Support and Creation of a Dedicated Resource Mobilization Unit
The only long term solution to the irregular cash flow lies in the hands of UNISDR's donors. More specifically, the donor base needs to be widened and donors need to be encouraged to supply funds in a timely manner, provide funding that is liberated from restrictive conditions, and consider offering support to a reserve supply of base funding that will enable UNISDR to smooth out its annual cash requirements. ESTA recommends UNISDR proceed with the recent decision to create a separate, Resource Mobilization Unit whose mandate is to address this issue reporting directly to the UNISDR Director, as reflected in UNISDR's transitional functional chart dated March 2012.

Recommendation 2: Enhanced Resource Mobilization Plan

The current version of the new Unit's draft Resource Mobilization Plan contains a high level diagnosis of the resource mobilization challenge and outlines its targets with respect to diversifying the donor basis. In our view the plan is a solid beginning but could benefit from a more detailed analysis and strategy.

ESTA recommends that the next version of the Unit's draft Resource Mobilization Plan include what we consider to be additional key elements of a strategy:

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Recommendation 3: Preparation for Post HFA

With the end date of the Hyogo Framework set for 2015, the DRR domain (including UNISDR) will be faced with the challenge to develop a new strategic direction for a "post-Hyogo" world.

ESTA recommends that UNISDR include an examination of solutions to its cash flow problems as it carries out its post HFA consultations.

FINDING 2: LACK OF A SHARED INFORMATION SYSTEM

UNISDR suffers from the absence of a single, integrated financial and management information system to support monitoring, reporting and decision making. In the absence of such a mechanism, regional offices have gone to extensive effort to develop local systems in support of their operations. These systems support regional programming, are not compatible with either headquarters information systems or the systems of the regional service providers, and are, given their reliance on Excel spreadsheets, very time consuming. In all cases, local managers have become dependent on their own systems, and would feel exposed without them.

One particularly sophisticated system (the e-Management Tool) has been developed in the Asia Pacific Region. Currently a study is being conducted into the technical feasibility of adapting it to the needs of the entire organization. If feasible and depending on cost, the e-Management Tool could prove an acceptable interim solution to UNISDR's financial system requirements until the UN wide SAP-based Enterprise Resource Planning system, Umoja, is adopted.

Recommendation 4: Treat Any Implementation of the e–Management Tool as a Major Change Management Project
ESTA did not conduct a technical evaluation of the e-Management Tool in the Asia Pacific region, but we point out that several regional managers remain to be convinced that it is superior to their current solutions. Comparative advantages of this e-tool should be explored in consultation with regional offices and a shared decision reached before proceeding to next steps. In addition, like all system changes, the introduction of the e-Management Tool is more than a technical challenge. To be successful, implementation must also address the "people" side of change and transition. ESTA recommends, should the e-Management Tool be adopted, its implementation be treated as a change management project and supported by due training for staff and be assigned resources and a period for transition as required.

Recommendation 5: Upgrade Capabilities of Finance and Administrative Clerical Staff
The e-Management Tool requires a higher level of skill and knowledge than it would appear finance and administrative staff possess in most regions. ESTA recommends that, should the e-Management Tool adopted, the capabilities of the regional finance and administrative staff be upgraded so that the full potential of the Tool can be realized.

FINDING 3: PROGRAMME OFFICERS SPEND EXCESSIVE TIME ADDRESSING ADMINISTRATIVE AND FINANCIAL MANAGEMENT TASKS

Financial management and administrative staff in the regions are committed to providing strong support to Programme Officers. Regardless, Programme Officers still spend significant time dealing with issues related to the funding and reporting cycle such as meeting multiple reporting requirements, tracking and managing expenditures, duplicating administrative tasks and addressing service provider requirements. This issue is exacerbated by the fact that there is a lack of consistency in the profiles and training of finance and administrative staff across the organization.

Recommendation 6: Regional Office Focal Points

Programme Officers spend significant time dealing with issues related to the funding and reporting cycle such as meeting multiple reporting requirements.

ESTA recommends that UNISDR designate regional office focal points that are tasked with providing staff members with financial management and administrative advice and guidance. These administrative staff would play a valuable support role, freeing up the time of programme staff and ensuring there is procedural consistency across the regions.

While these staff would be regionally based, they would have a strong relationship with the finance and administration team at headquarters. (For example, it is recommended that these key administrative and finance staff would report to a regional manager and have a "dotted line" reporting relationship to RMS.)

It may not be necessary for the focal point to be an additional resource. The focal point could simply be an upgraded, existing staff member that has been given standardized finance and administrative training and access to the required tools. This would enable him/her to support the regional office in its programme work and to assist the regional office head in exercising his/her delegation of authority.

Such arrangements could be replicated at the sub-regional level, resources permitting. Alternatively, if the designation of a sub-regional focal point is not currently feasible in a particular sub-region, it may also be suitable for one focal point to serve more than one sub-region or be supported by headquarters.

FINDING 4: UNISDR IS NOT TAKING FULL ADVANTAGE OF THE BENEFITS OF FINANCE AND ADMINISTRATIVE STANDARD OPERATING PROCEDURES (SOPS)

Headquarters staff have, in the past, developed a number of finance and administrative SOPs designed to support staff across the regions. There have, however, been issues with UNISDR staff members not being aware of the SOPs, not knowing where to find them, not knowing how to use them and feeling that they are out of date.

Recommendation 7: Implementation and Ongoing Management of SOPs

Headquarters is presently working to ensure that financial management and administrative SOPs are up-to-date and posted on the UNISDR Intranet. In ESTA's experience the effective acceptance and use of SOPs requires a multi-faceted implementation plan.

ESTA recommends that a plan be developed to support the implementation and ongoing management of the SOPs. The plan should include a communications strategy, feedback mechanisms so staff can provide input into the continually updating of SOPs, face-to-face meetings with users, pilot tests for certain SOPs, and the overall intent of developing a relationship with users that ensure the SOPs are fully understood, address user needs and are "owned" by both HQ and Regions.

FINDING 5: CHARACTERISTICS OF THE DESIRED FUNDING AND REPORTING PROCESS IDENTIFIED BY HEADQUARTERS AND THE REGIONS ARE COMPLEMENTARY

Headquarters and regional staff identified a number of ideal characteristics that they would like to see across the funding and reporting process. The two lists reflect the different perspectives and roles the two groups play in UNISDR. Further dialogue is needed to develop an integrated list which acknowledges both perspectives. Headquarters staff indicated the process should be:
- consistent
- standardized
- flexible, accountable
- integrated

Regional staff indicated the process should be:
- clear
- predictable
- timely
- planned
- transparent

Recommendation 8: Criteria to Assess the Feasibility of the e-Management Tool
ESTA recommends that the characteristics of the ideal funding and reporting process that were identified by the regions and HQ be used as criteria to help assess the feasibility of adopting the e–Management Tool throughout UNISDR and to assess any other tool or system introduction.

FINDING 6: LACK OF TRANSPARENCY AROUND THE ALLOCATION OF PROGRAMMING FUNDS

There is a general lack of understanding across the organization regarding how decisions are made to allocate funds to UNISDR's programme priorities.

The newly formed Programme Management Committee is a senior management team that is responsible for tracking the performance of the organization against its strategic work plan. This Committee is a key element of UNISDR governance. It reports to the Senior Leadership Group (SLG) and is regarded as the programme monitoring group for the SLG. The Committee's responsibilities include developing policy for resource mobilization initiatives, reviewing programming priorities when an allotment of funds is received from donors and monitoring cash flow. It is anticipated that the Committee will play a valuable role in addressing some of the fundamental financial management and administrative issues facing the organization as it will mean the senior leadership team will be involved in ensuring programming within the organization is optimized and not driven by financial and administrative concerns.

Recommendation 9: Clarity Regarding the Role and Processes Associated with the Programme Management Committee
ESTA supports UNISDR's decision to create the Programme Management Committee. Such a Committee will play an important role in ensuring funds will be allocated to the important work plan priorities.
ESTA recommends that in order to ensure all staff members understand the role of the Committee, the Committee's Terms of Reference, and related procedures and processes be explicitly documented and formally communicated. Of particular importance is its relationship to the SLG and the processes it uses to communicate its decisions.

The Management of Grants Process

The second process reviewed by ESTA was the process for managing grants. The process typically involves four key tasks:

- The identification and selection of the grantee.
- The approval of the grant.
- Monitoring of the grantee and the progress made to deliver on the grant.
- Conducing a post-grant review and assessment.

Grants at UNISDR are used to implement substantive components of the organization's Work Plan which require partnerships with strategic organizations within the regions. They are used to develop administrative and implementing partnerships and to enhance the capacity of UNISDR. A significant portion of the work completed by grantees focuses on coordinating and delivering workshops, conferences and meetings. Grantees are also funded to do research (e.g. the University of Geneva).

Grantees are non-governmental or inter-governmental bodies that have mandates which align with the work of UNISDR. Grants are also used to support projects with academic/knowledge institutions. Grants are given to organizations, never with individuals, governments or private sector companies.

As indicated below, the review of the management of grants process revealed that there are no critical issues which need to be addressed related to the integrity or overall functionality of the system. Issues which have surfaced in the past are currently being addressed through the recent creation of a UNIDSR Grants Committee. As work in this area moves forward, ESTA recommends that the Committee clearly define the purpose of grants and that a risk management approach be adopted to differentiate the monitoring requirements associated with grants.

FINDING 1: UNISDR HAS TAKEN ACTIVE STEPS TO ADDRESS THE MOST PRESSING ISSUES WITH THE MANAGEMENT OF GRANTS PROCESS

The two key issues staff members at headquarters and the regions had with the management of grants process had to do with which organizations are being awarded grants (grantees) and how the grant approval process functions. Issues with the grantees included a lack of grant recipient diversity; too many poor performing organizations being awarded grants; and ineffective substantive and financial monitoring of the results they produce. Issues with the grant approval process included a lack of transparency with the Grant Committee; the irregularity of the meetings of the Committee; lack of clarify of the terms of reference of the Committee; and lack of understanding of the approval procedures and sub-processes.

UNISDR has recently received the delegation of authority to have its own grants review committee. (The committee was officially launched in January, 2012.) To support this new development, an initiative is currently underway to update and improve the management of grants process. The progress that has currently been made with this initiative has addressed, or will be addressing, the majority of the issues identified above. For example:

- A process has been put in place to reduce the number of grants given to grantees that have a history of poor performance.
- A terms of reference for the Grants Committee has been developed that clearly defines its roles and responsibilities.
- Numerous activities have been undertaken to improve transparency including: ensuring grant submissions officers are aware of the deadline for approval of the grant; ensuring grant submission officers have a copy of the comments the Grants Committee made regarding a grant; creating guidelines that clearly state the turn around time for the processing of a grant; creating grant submission templates and "how to" guides and making them accessible on the Intranet; making announcements to all UNISDR staff when a grant has been awarded; putting approved grants in the UNISDR web site; and putting grant monitoring information and deadlines on the UNISDR Intranet.

Even though it is clear that there are no critical issues with the management of grants process and that it is evolving in a manner where many of the process inefficiencies and barriers will be addressed, the following two recommendations may be useful in ensuring the desired characteristics of the grants and management process are achieved.

Recommendation 10: Defining the Purpose of Grants

UNISDR needs to clearly define and document the purpose of grants. Doing this will help the organization determine who receives grants, what type of work grantees should perform, how grantees should be monitored and how poor performers should be managed.

For example, if UNISDR has a written policy that states grants can be used to build partner capacity, then in certain circumstances, giving more than one grant to the same organization over several or even consecutive years would be justified.

ESTA recommends that the SLG oversee the development, communication and application of a policy that defines and documents the purpose of grants within UNISDR.

Best practice in the field of monitoring of grant activity is shifting away from a one-size-fits-all system toward the adoption of a risk management approach. This shift acknowledges the different levels of risk that characterize the diverse nature of grants. Some grants involve significant financial commitments while others are relatively small allocations. Alternatively, some grant recipients are well established organizations while others are newly formed, unproven entities.

A one-size-fits-all approach to monitoring grants imposes identical reporting requirements on all recipients, regardless of the nature of the grant. The administrative burden of monitoring the grants system is high for both UNISDR and recipients. However, a risk-based system recognizes that some grant scenarios are lower risk than others and adjusts reporting requirements based on an assessment of the risk profile associated with each grant.

Recommendation 11: Risk-Based Approach to Monitoring Grants

Risk indicators can be developed collaboratively by staff and leaders across the organization and Programme Officers can be guided on how to apply risk profiles to each grant scenario. This system will increase efficiencies associated with monitoring activities at UNISDR and will balance the reporting burden placed on recipients in keeping with the size, perceived risk and sensitivity of the grant awarded.

Risk indicators can include the following considerations:
- Financial Considerations: How large or small is the financial allocation?
- Recipient Considerations: Is the recipient a well established organization or a new entity? Does the recipient have a performance history associated with UNISDR grants?
- Time and Scope Considerations: For how long does the grant extend? What is the scope and profile of activities?

ESTA recommends that UNISDR consider developing a risk-based approach to monitoring grants and disseminates this in a guidance note to programme officers. This will identify risk exposure and adjust audit and monitoring requirements based on an assessment of whether the grant is low, medium or high risk. In doing so, UNISDR should build on best practices of other UN Secretariat departments as available.

The Consultant Recruitment Process

The final process mapped and analysed in this review was consultant recruitment. Recruited consultants perform a range of professional and support services including conducting evaluations, developing frameworks, giving DRR advice to governments and providing administrative assistance during peak work periods. In general, the consultant recruitment process can result in the award of two types of contracts:

- Professional services contracts are used for specialized skills specific to projects and for a limited period of time. These contracts are almost exclusively used to recruit individuals but in special cases can be used to recruit a team of consultants if necessary.[1]
- Service contracts are awarded to individuals who are considered core staff within regional office. These contracts have limited duration (often one year) and are renewable based on the needs of the regional office and in keeping with available funds.

Even though there is variation of practice at headquarters and in each regional office, the process used to recruit these consultants involves four key tasks:

- Defining the need for the consultant in the context of the organizational priorities, outcomes, outputs and budget.
- Searching for and selecting the consultant.
- Monitoring performance to ensure results are being achieved.
- Assessing the performance of the consultant.

The majority of tasks in the consultant recruitment process are typically performed by a Programme Officer. However, UNISDR's service providers also play an important role and perform many of the backend support services related to the recruitment of consultants and administration of contracts. Service providers carry out administrative and human resources activities such as preparing the intent of offer, issuing contracts, setting consultant rates and issuing payments. It is important to note that the service providers used by UNISDR tend to vary from region to region. For example, the Africa regional office uses UNDP Kenya, the Asia Pacific regional office uses ESCAP, and headquarters works with UNOG.

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[1] Please note that the ESTA review focused exclusively on the recruitment of individual consultants and not the recruitment of teams or firms through professional services contracts.

As indicated below, ESTA's review revealed that there are no critical challenges associated the consultant recruitment process. Only one of the five regions (the Europe Regional Office) included in the review had specific issues with the process and headquarters is currently moving to address these challenges. Some regions are facing specific challenges with the support that they receive from service providers, but this sentiment was not shared across the organization.

In moving forward to continue improving the consultant recruitment process, ESTA recommends that a roster of consultants be developed in keeping with the guidelines required by service providers. The use of a roster can shorten the recruitment period and will allow regions to better target specialized expertise within the DDR field.

FINDING 1: RMS IS CONSIDERING DEVELOPING A ROSTER OF CONSULTANTS

To increase the efficiency of the consultant recruitment process, RMS staff are exploring the possibility of developing a roster of consultants. The goal of the roster is to minimize the time it takes to recruit and process consultants UNISDR regularly works with. The roster would include a pre-qualified pool of individuals with skills that range from management experts to DRR specialists to facilitators.

Staff in the regions were supportive of the idea of having a roster but they were not clear it would make a significant difference in how consultants are processed and paid, given the role of the service providers.

Recommendation 12: Evaluate Benefits of a Consultant Roster by Engaging the Regions and Conducting a Pilot
ESTA recognizes that a consultant roster could be a very useful tool but it may also be labour intensive and require significant maintenance. ESTA recommends RMS engage in further discussions with regional staff to ensure the benefits the regions derive from the roster will be worth the time and resources required to develop it. Discussions with regional staff should also include representatives from regional service providers as each organization has a series of criteria related to rosters which will need to be met by UNISDR. Assuming a decision to proceed is made, ESTA recommends a pilot be developed that will allow RMS and the regions to build a deeper understanding of how much effort will be involved in the creation and ongoing management of a UNISDR-wide roster.

FINDING 2: WITH THE EXCEPTION OF THE EUROPE OFFICE, STAFF IN THE REGIONS AND HEADQUARTERS DID NOT HAVE CRITICAL ISSUES WITH THE CONSULTANT RECRUITMENT PROCESS

Staff members at headquarters and five regions identified a number of inconvenient process lags, inefficiencies and redundancies but there were no bottlenecks or barriers that require immediate attention. Problems with the process, however, are more acute in the Europe Regional Office especially since they rely heavily on consultants to carry out their Work Plan. Some of the key issues staff in this office identified are:

- Delays in the receipt of funds from headquarters which in turn delay the process for hiring international consultants.
- The amount of time it takes to recruit an international consultant is excessively long.
- Payments to international consultants are consistently late.

Headquarters and the Europe Regional office are currently engaged in discussions to address these issues.

Recommendation 13: Use the Consultant Recruitment Process Map to Continue Discussions Between Headquarters and the Europe Regional Office
ESTA agrees the issues that the Europe Regional Office has with the consultant recruitment process are best resolved by improving communication with headquarters and UNDP and/or providing training.   ESTA recommends that headquarters and the Region, and as appropriate UNDP, review the bottlenecks and barriers identified in the Europe Regional Office Consultant Recruitment Process Map (see the appendix to this document) and collectively work to identify solutions to improve the efficiency of this process.

Additional Observations and Comments

During the course of this review ESTA made several observations that were beyond the scope of the terms of reference. These are listed outlined below.

Cost Savings
ESTA was not asked to conduct a review of the administrative work-load and cost or the utilization of the finance and administrative staff. However, it is our observation that the finance and administrative functions are not over-resourced at headquarters or the regions.

If there is a desire to reduce costs in this area, it may be worth exploring the pros and cons of some headquarters administrative or financial processes being carried out in a region.

Transitional UNISDR Functional Chart
ESTA's supports the separation, in the Transitional Chart, of the section responsible for "incoming funds" (Resource Mobilization) from the section responsible for "out going funds" (Executive Office). This separation should allow both functions to benefit from the focused attention that each requires.

ESTA also supports the change in reporting relationships by the Regional Offices as reflected in the Transitional Chart. Heads of Regions will now report directly to the Office of the Director; this is appropriate given the "regionally driven" nature of the disaster reduction domain and UNISDR.

Managing the Transition to the New Functional Structure of UNISDR
The new functional structure of UNISDR represents another stage in the ongoing evolution of UNISDR. The Chart depicts a fundamental change in how headquarters and the regional offices work with each other. However, realizing the full potential of this new relationship will involve a significant cultural shift as well as a reorientation of the roles, responsibilities and accountabilities of staff across the organization and, in particular, within the Senior Leadership Group (SLG).

ESTA suggests that the senior leadership of UNISDR engage in an organization development process that will enable them to address, in concrete terms, management roles, the distribution of accountabilities, and the culture development implications of the new Functional Chart.

The importance of culture cannot be underestimated; there is considerable truth to the old saying that "culture eats strategy for breakfast and structure for lunch". Of particular significance is the culture that characterizes the SLG, UNISDR's most senior operational decision making body.

Our experience suggests that in times of transition executive leadership teams like the SLGs need to develop clarity around:

- their role (including relationships with other key management bodies such as, in the case of UNISDR, the Programme Management Committee);
- how SLG decisions are made, disseminated and implemented; and
- the norms and values that will inform and guide the interactions and relationships between headquarters and the field.

Without a shared understanding of the SLG's role and practice, clarification of its decision making framework, and agreement as to norms of behaviour, the new Functional Structure will have a very difficult transition from concept to practice.

Relationships with Service Providers

Even though many staff at headquarters and in the regions were content with the consultant recruitment services they were receiving from UNISDR's administrative service providers, many also indicated that they were the source of bottlenecks and barriers. For example,

- In the Arab States regional office, UNDP has recruitment rules and conditions that can be very time consuming. (E.g. a consultant must sign their contract using an original signature, adding a week to the process.)
- Extensive follow up with some service providers is required to ensure there is timely payment.
- There is limited recourse if a service provider performs poorly.

UNISDR's Resources Management Section has had discussions regarding how to improve finance and administrative processes by changing how service providers are used. The advantages and disadvantages of working with one service provider instead of many or moving some administrative processes to a regional office have been explored but, to date, there have been no clear conclusions.

Since problems with administrative service providers do not seem to be a critical issue impacting the consultant recruitment process, ESTA does not recommend that UNISDR make radical changes as a means to get increased efficiencies.

ESTA suggests UNISDR work with regions that have identified a number of consultant recruitment issues with their service providers and explore practical solutions. In particular, UNISDR should ensure that service level agreements with service providers are in place, up to date and relevant.

APPENDIX: PROCESS MAPS

Following are the funding and reporting cycle, the management of grants and consultant recruitment headquarters and regional office process maps. The regional offices studied in this review included Africa, the Americas, Asia Pacific, the Arab States and Europe. Each map contains:

1. The core high level tasks that constitute each process.
2. A description of each task.
3. The purpose of each task.
4. Who performs the tasks.
5. Where the tasks are performed.
6. How long the tasks take to perform.
7. Who has the authority to indicate tasks have been completed satisfactorily.
8. The bottlenecks and barriers in each task.

Also included is a description of the characteristics staff indicated the processes should ideally have.

FUNDING AND REPORTING

HEADQUARTERS

HEADQUARTERS FUNDING AND REPORTING PROCESS MAP

	DEVELOP UNISDR WORK PLAN	DEVELOP UNISDR COST PLAN	STRATEGIC ALIGNMENT	RESOURCE MOBILIZATION	WORK PLAN IMPLEMENTATION	MONITORING	REPORTING
DESCRIPTION OF TASK	• Define UNISDR activities by strategic objective.	• Cost the UNISDR Work Plan.	• Nurture convergence and alignment of UNISDR strategic priorities with donor priorities. • Dictate/influence the strategic direction of donors.	• Obtain written formal commitment from donors to advance funds. • Completion of donor template. • Completion of Note Verbal.	• Plan and manage disbursements to meet deliverables.	• Tracking expenditures to cost plan. • Tracking activities to outcomes.	• Compile report on findings from the monitoring task.
PURPOSE	• Give direction to work programmes. • Align UNISDR activities with results.	• Allow mangers to initiate expenditures. • Validation of the Work Plan.	• Ensure UNISDR is relevant to its constituents. • Receive funding that is predictable, flexible, sustainable and multi-year. • Ensure effective resource mobilization strategy.	• Ensure there is predictable cash flow coming into UNISDR.	• Ensure projects are funded in a timely manner.	• Ensure the Work Plan and project plans are being implemented. • Ensure good stewardship of funds.	• To account for the proper management of funds.
WHO	• Unit heads, section heads, branch heads and the SRSG develop the Work Plan. • RMS is the focal point for developing the Work Plan.	• Budget and Finance Unit coordinate inputs and develop the Cost Plan. Once complete, Budget and Finance develop the Plan.	• Donor Partnerships Unit takes the lead. • SRSG, the SLG and regions provide support.	• Donor Partnership Unit is the lead. • RMS, OSRSG, the UN Secretariat, the Controller and the OLA provide support.	• Finance manages the disbursement of funds. • ROSCU compiles needs from the regions.	• Finance and Administration track expenditures to the Cost Plan. • ROSCU ensures activities are completed in accordance with the Work Plan.	• Programme Units create donor financial and substantive reports. • The OSRSG with financial data from UNOG develops the annual report.
WHERE	• The Work Plan is developed in headquarters and the Regions.	• Headquarters with input from across the organization.	• Headquarters.	• Headquarters manages the collection of funds. • The regions dialogue with the donors.	• Headquarters.	• Headquarters.	• The task is performed in HQs and the regions provide input.

HEADQUARTERS FUNDING AND REPORTING PROCESS MAP

	DEVELOP UNISDR WORK PLAN	DEVELOP UNISDR COST PLAN	STRATEGIC ALIGNMENT	RESOURCE MOBILIZATION	WORK PLAN IMPLEMENTATION	MONITORING	REPORTING
TIMING	• Development starts in Q3. • Work Plan developed every 2 years. • Dependent on the completion of the Global Platform.	• Developed every year. • Finalized in Q4.	• The task is done continuously. • The resource mobilization strategy comes out in Q1.	• Task is done in all quarters of the fiscal year.	• Randomly. (When funds are in hand.)	• Reports tracking expenditures to the Cost Plan are generated monthly. • Reports tracking activities to outcomes are generated quarterly.	• Interim and final reports are provided to donors. • Annual UNISDR report is done in Q2.
AUTHORITY	• SRSG approves the Work Plan.	• SRSG approves the Cost Plan.	• SRSG and SLG	• The SRSG has the authority to sign the donor document. • RMS has authority to receive donor contributions.	• SLG	• RMS	• RMS signs of on the donor financial and substantive reports. • SRSG signs off on the annual report.

Desired Characteristics of the Headquarters Funding and Reporting Process

- The funding and reporting process is consistent and standardized across the organization.
- Information systems are clear, regular, healthy and open (i.e. effective information exchange).
- Cash will be available to meet organizational needs and there will be strong cash flow. (This could include having a cash reserve.)
- There will be clear links between programming and funds. When cash comes into the organization, it will be allocated to specific activities and projects.
- The process is flexible so that the organization can respond effectively to shifting organizational priorities or the changing work environment.
  - Senior managers do not want to be limited in what they distribute funds to.
  - This may involve ensuring more un-earmarked funds are available.
- Accountabilities in the process are clear.
- The funding and reporting roles and responsibilities of staff members are clear effective checks and balances are in place.
- Organization-wide standard operating procedures and process maps are in place.
- There will be timely, reliable third party monitoring and analysis of the process.
- The process will be integrated.
- There will be strong two way communication This includes:
  - Ensuring staff have an understanding of funding needs.
  - Ensuring managers are provided with reports that will help them with their decision making.
- Reports related to the funding process will be relevant and of a high quality.

Additional Notes on the Headquarters Funding and Reporting Process

- The current issues with the headquarters funding and reporting process include:
  - The funding and reporting process is inconsistent.
  - There is weak exchange of information.
  - The flow of cash is weak.
  - Accountabilities, roles and responsibilities are not clear. (Requests come to "one's desk" that are not one's responsibility.)
  - There is confusion about procedures and steps in the process are out of order.
  - The monitoring and analysis system is untimely and unreliable. This includes:
    - Poor monitoring of service providers.
    - Not knowing where funds "are going".
  - Reporting on how funds are spent in relation to the Cost Plan is inconsistent.
  - There are process disconnects. (E.g. There are disconnects between the Work Plan and the Cost Plan.)

THE AFRICA REGION

THE AFRICA REGION FUNDING AND REPORTING PROCESS MAP

	DEVELOP REG. WORK PLAN	DEVELOP REG. COST PLAN	STRATEGIC ALIGNMENT	RESOURCE MOBILIZATION	WORK PLAN IMPLEMENTATION	MONITORING	REPORTING
DESCRIPTION OF TASK	• Review of performance in the previous biennium. • Define the region's activities and priorities. (This is influenced by the African Union Programme of Action.).	• Costing the regional Work Plan for the biennium. (Note: Annual Cost Plans are not developed.) • This includes putting financial figures to regional activities.	• Align regional activities and priorities with the Global Work Plan.	• Working with donors to develop a regional framework for mobilizing the allocating funds.	• Manage the expenditure of funds in accordance with the Cost Plan.	• Manage the stewardship of funds.	• Develop narrative reports that describe the status of completion for an activity. • Develop financial reports.
PURPOSE	• To develop activities and outputs that address the needs of the region and contribute to global strategic priorities.	• To allow the region to do cash flow planning. • Clarify how much funding managers need and how much funding they will have access to.	• Ensure regional resources help achieve the global results of the organization.	• Develop a stable funding platform for the region.	• Ensure funds are spent on the right activities.	• Ensure there is adherence to budget limits. • Ensure funds are being applied to the appropriate activities.	• To have a baseline for what has been achieved in an activity.
WHO	• All staff participate in the development of the Work Plan at an all staff retreat. • Staff members and RE DRR advisors participate in a second retreat to review the draft Work Plan.	• The Head of Office and the Finance Administrative Associate develop the Cost Plan and get input from HQs.	• Programme Managers • ROSCU	• The Focal Point for Resource Mobilization and Donor Relations coordinates resource mobilization in the region.	• The Programme Managers make requisitions for the activities in the Work Plan. • The Finance Administrative Associate manages the expenditure of funds.	• The Finance Administrative Associate certifies the requisitions made by Programme Managers. • The Head of Office approves the expenditure of funds. • UNDP has an internal control framework.	• The Programme Managers create the narrative reports. • The Finance and Administrative Associate does the financial reporting.
WHERE	• The Africa Regional Office	• The Africa Regional Office	• The Africa Regional Office and HQs.	• The Africa Regional Office	• The Africa Regional Office	• The Africa Regional Office	• The Africa Regional Office

THE AFRICA REGION FUNDING AND REPORTING PROCESS MAP

	DEVELOP REG. WORK PLAN	DEVELOP REG. COST PLAN	STRATEGIC ALIGNMENT	RESOURCE MOBILIZATION	WORK PLAN IMPLEMENTATION	MONITORING	REPORTING
TIMING	• The retreat to develop the Work Plan occurs in Nov/Dec before the new biennium. • The retreat to review the draft Work Plan takes place in January of the first year of the biennium.	• The Cost Plan is developed in Q4.	• In Q4 before the final approval of the Work Plan.	• Ongoing. • Resource mobilization intensifies when an event is forthcoming.	• It takes approximately 3 days to have funds released to make payments.	• Monitoring reports are created weekly for the Head of Office. • Monitoring reports are created for HQs as required.	• Mid term and final reports are created. • Final reporting is done 3 months after the completion of a project.
AUTHORITY	• The Head of Office approves the regional Work Plan.	• The Head of Office and the SRSG.	• The Head of Office	• Not clear who has the authority to approach a donor.	• The Head of Office approves the expenditure of funds.	• The Finance Administrative Associate and Head of Office.	• The Head of Office
BOTTLENECKS / BARRIERS	• Ensuring the regional Work Plan is consistent with the Programme of Action. • Not enough regional input into how the Global Work Plan is developed. • Ensuring regional priorities are part of the Global Work Plan.	• Not having a clear understanding of how much funding they will receive in the biennium from HQs. • Receiving EC funds 4 months into the EC's 18 month funding cycle. The problem is exacerbated by the fact UNDP is not willing to contract consultants until funds are received.	• Managing inconsistencies in priority areas as defined in the Programme of Action and as envisioned in the Global Work Plan.	• Communications with HQs to coordinate resource mobilization needs to improve. E.g. need to share information on what countries have an interest in funding DRR in Africa.	• There can be a delay of 3 months in the transfer of funds from HQs to the region. • It can take 2 weeks for UNDP to top up their basket of funds. • Difficult to trace issues with transfer of funds between UNISDR, UNOG and UNDP. • No way to ensure UNISDR's financial records are in sync with UNDP's. • The region rarely receives UNDP Inter-Office Vouchers.	• There is a lack of a proper ERP tool. Currently they are using an improvised Access database.	• Sometimes they are faced with a myriad of reporting requirements. • Different donors can have different reporting requirements which can be very time consuming.

Desired Characteristics of the Africa Region Funding and Reporting Process

• Receive greater clarify from headquarters on how much funding the region can expect to receive in the biennium.
• Have a system that enables UNISDR Africa to track and monitor transactions between donors, service providers and UNISDR. The system could be accessed by donors, service providers and UNISDR. The system would also:
  o Be transparent.
  o Allow for the timely generation of reports.
  o Have a HQs-regional interface where they can share information.
  o Allow for the tracking of the status of project proposals and the funds received against project proposals.

Additional Notes on the Africa Region Funding and Reporting Process

• The annual budget for the Africa Region is approximately $2.5 million.
• Of the $2.5 million, the region mobilizes $1.5 million.
• Some earmarked funds from certain donors (e.g. the EC) are not part of $2.5 million budget. These projects are not part of the Regional Work Plan but they are a priority for the Africa Programme of Action and hence are a regional priority. (Note: This may drain some staff resources from the region but most of the work is usually done by a consultant.)
• UNDP is their main service provider and UNOG is used for financial services.
• The transfer of funds from the donor to the UNISDR Africa follows the below process:
  o The donor transfers funds to UNISDR HQs.
  o Funds are then transferred to UNOG. (Note: The money has to go to UNOG because UNISDR does not have the full financial delegation of authority to transfer the funds to UNDP.)
  o Funds are then transferred from UNOG to UNDP New York.
  o UNDP New York then makes the funds accessible to UNDP Kenya.
  o UNISDR Africa can then spend the funds.
• The region has an Access database that it uses to manage its finances and finds it more useful than the e-management tool.

THE AMERICAS REGION

THE AMERICAS REGION FUNDING AND REPORTING PROCESS MAP

	STRATEGIC THINKING	DEVELOP BIENNIAL STRATEGIC FRAMEWORK	DEVELOP AND APPROVE REGIONAL WORK AND COST PLANS	RESORUCE MOBILIZATION	WORK PLAN IMPLEMENTATION	MONITORING & REPORTING
DESCRIPTION OF TASK	• Review of Global Assessment Report, reporting against Hyogo Framework and the Global Platform • Scan of trends in funding, presence in the field, country reports and size of the organization.	• Identification of global outcomes, outputs and indicators to guide the operations of UNISDR through the biennial period (currently through to 2015).	• Regional workshop with all staff to develop regional work plan. • Following the development of the work plan the costing plan is created. • The costing plan is based on a financial ceiling defined by Geneva. • Note: A follow up workshop with all regional staff is organized in the third quarter of each year to review the work and cost plans and to consolidate plans for the final quarter of operations.	• Drafting and submission of funding proposals. • Mobilization of resources from donors. • These tasks are performed in consultation with RMS.	• Implementation of activities outlined in the work plan. • Risk management associated with cash flow difficulties.	• Monthly reporting to HQ with regional achievements from the past month, upcoming commitments as well as confidential communication between Head of Office and SRSG. • Quarterly reporting to HQ focused on resource utilization and needs. • Reporting to donors as required. • Prepare inputs to various corporate reports (e.g., SG Report to General Assembly).
PURPOSE	• To ensure senior leadership has a common understand of the operating environment. • To set the stage for the development of the Global Strategic Framework.	• Provides the framework within which regional plans are developed.	• To identify the regional contribution to the Global Strategic Framework. • Identification and prioritization of resources and cash flow predictions on a quarterly basis.	• To secure funding for activities as outlined in the regional work plan.	• To carry out activities outlined in the work plan.	• To ensure accountability in the use of funds. • To notify HQ of any pressing issues, concerns and opportunities. • To report back on achievements against the RBM framework.
WHO	• SLG + Heads of Regional Offices	• SLG + Heads of Regional Offices • Input provided by donors	• All staff develop work and cost plans. • Head of Office approves work and cost plans. • RMS provides feedback on the work and cost plans.	• Head of Office supported by Programme Officers.	• All regional staff, partner organizations, consultants as needed.	• Quarterly reports prepared by Programme Officer with thematic responsibility for RBM and reporting. • Monthly reports by Head of Office. • Donor reports by Programme Officers submitted through HQ.
WHERE	• Geneva	• Geneva	• Regional Office / Geneva	• Regional Office	• Americas Region	• Regional Office

THE AMERICAS REGION FUNDING AND REPORTING PROCESS MAP

STRATEGIC THINKING	DEVELOP BIENNIAL STRATEGIC FRAMEWORK	DEVELOP AND APPROVE REGIONAL WORK AND COST PLANS	RESORUCE MOBILIZATION	WORK PLAN IMPLEMENTATION	MONITORING & REPORTING
TIMING					
• July / August • This always occurs just a few months after the Global Platform meeting in May /June.	• July / August at the same time as strategic thinking.	• Work and Cost Plans submitted in September. • Review in Geneva takes 15 days. • Mid-October the biennial Work Plan approved. • Submit to UNOC and beginning processing at the corporate level. • End of October develop installment schedule.	• In consultation with potential donors at the beginning of the planning cycle and ongoing as needed.	• Ongoing	• Monthly, quarterly and as needed.
AUTHORITY					
• SLG	• SLG	• Head of Office to develop • SRSG to approve	• Head of Office	• The Programme Officers implement the activities in the Plan. • The Head of Office has authority over the implementation of the Work Plan.	• Head of Office
BOTTLENECKS / BARRIERS					
			• Funding proposal templates required by donors can be complex and time consuming.	• Lack of availability and predictability of funds due to cash flow difficulties. These occur through three scenarios (1) donor is late transferring funds, (2) delays in contractual processing, (3) lack of cash reserve.	• Manual tracking of financial expenditures is time consuming and cumbersome. • Regional Office is unable to take advantage of full suite of services available through UNDP Service Provider.

Desired Characteristics of the Americas Funding and Reporting Process

- Cash reserve available to smooth operational cash flow needs.
- System capability to manage financial transactions, including support to the reporting system.
  - o Note: The Asia-Pacific e-management tool in its current form does not provide enough flexibility to meet the needs of the Americas Region and the size of the regional office.
  - o If a common tool is implemented, there may be a need (depending on the size of the office) to provide regional offices with a certified financial management professional who understands UN rules and procedures. This individual can be a national or international staff member.
  - o Tracking of finances can be provided by UNDP Service Provider if UNISDR is willing to transfer earmarked funds at the commencement of a project.

Additional Notes on the Americas Region Funding and Reporting Process

- This region reports significant improvement in the past planning cycle regarding the development of global and regional work and cost plans.
- The biennial strategic framework acts as a permanent frame within which regional operations must move forward. There is some flexibility but for the most part, once the outputs are defined at the global level it is expected that all of the regional activities will feed into those outputs.
- The majority of donors do not allow funds to carry over at year end. As a result, the Region is occasionally required to return funds to a donor because the cash flow challenges prevent the money from being allocated to regional operations in a timely manner. In some cases, it is impossible to accomplish activities set out in the work plan when the corresponding resources are only released during the final quarter of the year. As a result, some resources are returned to the donor which creates difficulties in managing the relationship.
- The e-Management tool which has been developed in Bangkok has been tested in the Regional Office. Efforts were made to use the reporting and finance modules.
  - – The Regional Office experiences difficulties with the tool because it can only be used in situations when the cash flow is smooth and there is a steady flow of resources. This is the case in the Asia-Pacific Region and as a result this tool works well for them.
  - – However, the Americas Region is not fully funded and the tool does not provide enough flexibility to accommodate this reality.
  - – In the event headquarters is able to offer a corporate financial management and reporting package with increased flexibility, there will also be a corresponding need to strengthen administrative capacities in the regional office. This could take the form of hiring a professional (either international

or national) admin/finance officer who understands the UN system and the rules and regulations within which activities must operate.

- A new initiative is underway at headquarters to request that the Regional Offices formally record in kind contributions made by strategic partners when activities are organized/administered in a joint fashion. It is anticipated that moving beyond rough estimates of in kind contributions will be very difficult.

THE ARAB STATES REGION

THE ARAB STATES FUNDING AND REPORTING PROCESS MAP

	STRATEGIC ALIGNMENT WITH GLOBAL PRIORITIES	DEVELOP REG. WORK PLAN	DEVELOP REG. COST PLAN	RESOURCE MOBILIZATION	WORK PLAN IMPLEMENTATION	MONITORING	REPORTING
DESCRIPTION OF TASK	• Contribute to the development of the Global Work Plan. • Analyse the global objectives and outcomes that make up the Global Work Plan. • Identify how to align the priorities and activities of the region with the global priorities.	• Articulate outputs and activities for the region for a two year period.	• Prepare an initial biennial Cost Plan for the Regional Work Plan. • Develop a detailed Cost Plan for the first year of the Regional Work Plan by costing the Plan's activities.	• Obtain the funds to implement the Regional Work Plan. • Obtain funds from multi-year agreements that UNISDR HQs has with partners. (These are un-earmarked funds.) • Work to mobilize resources from donors to address specific needs of the region.	• Implement the activities in the Regional Work Plan. • Manage the expenditure of funds.	• Ensure funds go to the right activity and desired results are being achieved. • Monitor the expenditure of funds against the Regional Work Plan outputs.	• Provide financial reports to HQs. This includes breaking down expenditures by how donor funds have been used. (This allows HQs to report to donors.) • Substantive reports are also sent directly to certain donors (the Swiss and the World Bank).
PURPOSE	• To ensure regional needs are addressed in the global framework. • Ensure regional outputs are aligned with global priorities.	• Define outputs and activities that support the global priorities but serve regional needs.	• To have a budget against which to request funds.	• Ensure funds are available to implement the Regional Work Plan.	• Fund activities that are aligned with results.	• Cash management. • Stewardship of funds.	• Account for how funds are spent and Work Plan activities are being completed.
WHO	• The regional team.	• The regional team develops and ROSCU and RMS review it.	• Finance and Administration staff member with input from Programme Officers and the Head of Office.	• No one staff member is dedicated to approaching potential donors. All staff members do it when the opportunity arises.	• Programme Officers do the work. • The Finance and Administration Officer monitors funds and ensures they are available.	• Each staff member monitors the activities for which they are responsible. • The Head of Office reviews all monitoring done by staff.	• Programme Officer and Head of Office.

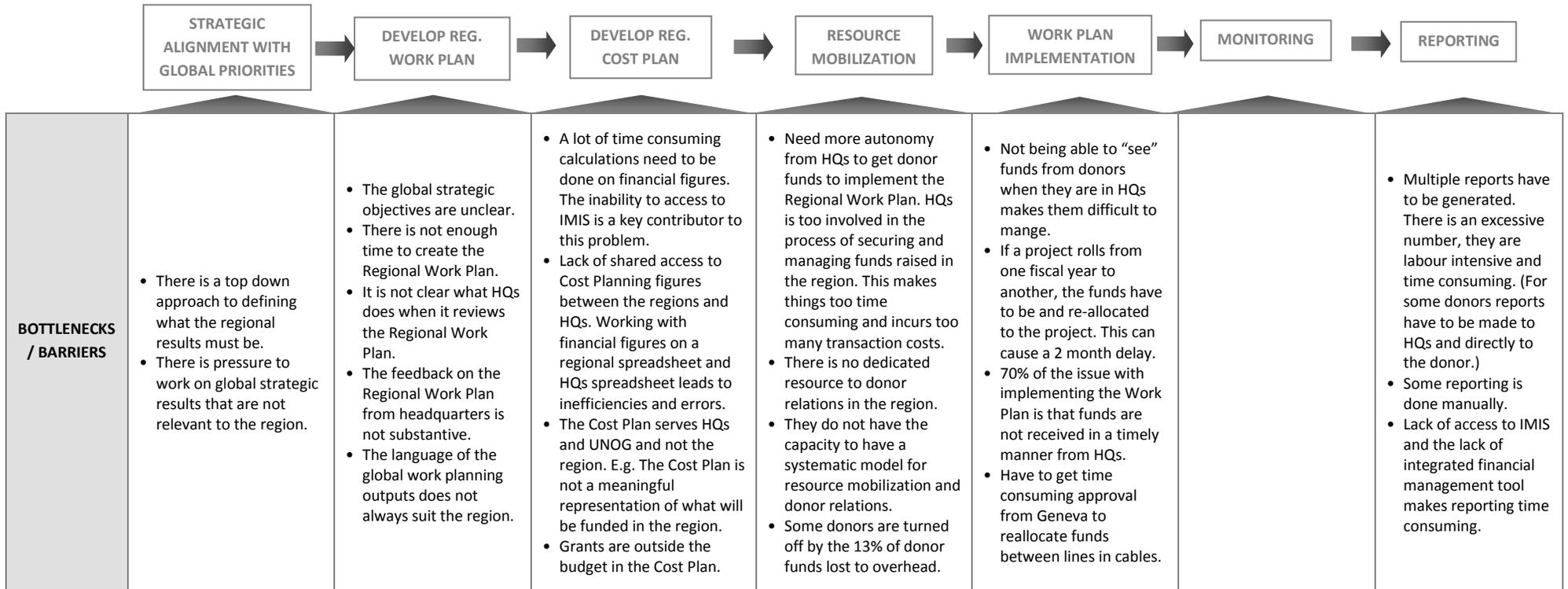## THE ARAB STATES FUNDING AND REPORTING PROCESS MAP

	STRATEGIC ALIGNMENT WITH GLOBAL PRIORITIES	DEVELOP REG. WORK PLAN	DEVELOP REG. COST PLAN	RESOURCE MOBILIZATION	WORK PLAN IMPLEMENTATION	MONITORING	REPORTING
WHERE	• The Arab States Regional Office	• The Work Plan is developed in the Arab States Region. • Review of the Work Plan by ROSCU and RMS occurs at HQs.	• The Arab States Regional Office	• The Arab States Regional Office	• The Arab States Regional Office	• The Arab States Regional Office	• The Arab States Regional Office
TIMING	• July/August during the development of the Global Work Plan and the Regional Work Plan.	• The Regional Work Plan is developed in July/August after the global strategic objectives have been developed. • The development of the Work Plan includes a 2 day staff retreat.	• The annual Cost Plan is developed from September to mid-October.	• Obtaining funds from donors is ongoing and opportunistic.	• Quarterly budget requests are sent to HQs to acquire funds to implement the Work Plan. • Work Plan implementation is ongoing.	• Expenditures are monitored on a monthly and quarterly basis.	• Quarterly reports on the Work Plan, the budget balance sheet and GFDRR are done quarterly. • A note to management on what they have achieved in relation to the Global Work Plan is done monthly. • Ad hoc reports are also required.
AUTHORITY	• The Head of Office.	• The Head of Office signs off in the Regional Work Plan. • The Work Plan is validated by ROSCU and RMS.	• Head of Office.	• No staff member has the authority to say whether or not a donor should or should not be approached for funds.	• The Head of Office.	• None	• The Head of Office

THE ARAB STATES FUNDING AND REPORTING PROCESS MAP

STRATEGIC ALIGNMENT WITH GLOBAL PRIORITIES	DEVELOP REG. WORK PLAN	DEVELOP REG. COST PLAN	RESOURCE MOBILIZATION	WORK PLAN IMPLEMENTATION	MONITORING	REPORTING

BOTTLENECKS / BARRIERS							
	• There is a top down approach to defining what the regional results must be. • There is pressure to work on global strategic results that are not relevant to the region.	• The global strategic objectives are unclear. • There is not enough time to create the Regional Work Plan. • It is not clear what HQs does when it reviews the Regional Work Plan. • The feedback on the Regional Work Plan from headquarters is not substantive. • The language of the global work planning outputs does not always suit the region.	• A lot of time consuming calculations need to be done on financial figures. The inability to access to IMIS is a key contributor to this problem. • Lack of shared access to Cost Planning figures between the regions and HQs. Working with financial figures on a regional spreadsheet and HQs spreadsheet leads to inefficiencies and errors. • The Cost Plan serves HQs and UNOG and not the region. E.g. The Cost Plan is not a meaningful representation of what will be funded in the region. • Grants are outside the budget in the Cost Plan.	• Need more autonomy from HQs to get donor funds to implement the Regional Work Plan. HQs is too involved in the process of securing and managing funds raised in the region. This makes things too time consuming and incurs too many transaction costs. • There is no dedicated resource to donor relations in the region. • They do not have the capacity to have a systematic model for resource mobilization and donor relations. • Some donors are turned off by the 13% of donor funds lost to overhead.	• Not being able to "see" funds from donors when they are in HQs makes them difficult to mange. • If a project rolls from one fiscal year to another, the funds have to be and re-allocated to the project. This can cause a 2 month delay. • 70% of the issue with implementing the Work Plan is that funds are not received in a timely manner from HQs. • Have to get time consuming approval from Geneva to reallocate funds between lines in cables.		• Multiple reports have to be generated. There is an excessive number, they are labour intensive and time consuming. (For some donors reports have to be made to HQs and directly to the donor.) • Some reporting is done manually. • Lack of access to IMIS and the lack of integrated financial management tool makes reporting time consuming.

Desired Characteristics of the Arab States Region Process

- Develop the Global Work Plan using a bottom up process. This would include:
  - The regions develop their priorities/activities for the biennium based on the unique needs of each region.
  - These priorities/activities are then sent to headquarters.
  - Headquarters identifies the commonalities between each region and creates the global strategic objectives.
- Be able to access data in IMIS.
- Have a Virtual Private Network link to Geneva that would allow for increased information sharing of financial data.
- The regions and HQs have been growing and getting more sophisticated. As such, they need to use the same financial tools and have access to the same data.

Additional Notes on the Arab States Region Funding and Reporting Process

- The e-Management tool was piloted in the region but staff members found it to be difficult to use and did not receive enough training. However, the tool could be useful as it may reduce the number of reports the region would have to generate and send to HQs.
- Bottlenecks and barriers with UNDP:
  - One of UNDP's roles is to handle the actual disbursements of funds (e.g. to consultants). The regional office cannot access UNDP's systems so they have to do "virtual" tracking of how funds are being spent. (Virtual tracking is done by recording how much money HQs sends to UNDP and then making a record of when they ask UNDP to disburse funds.)
  - UNISDR and UNDP do not use the same financial and administrative terms. For example, UNDP does not recognize the idea of "obligated" funds. This can lead to obligated funds being considered unspent funds at the end of the fiscal year.
- The regional office organizes a lot of events in 22 Arab countries. Sometimes they will have to organize an event in a country where they do not have a presence. They will transfer funds to a partner organization, such as UNDP, to assist them with the event. This can cause issues as their partner must be involved in the reporting and financial management.

THE ASIA PACIFIC REGION

THE ASIA PACIFIC FUNDING AND REPORTING PROCESS MAP

	DEVELOP REGIONAL WORK PLAN	DEVELOP REGIONAL COST PLAN	STRATEGIC ALIGNMENT	RESORUCE MOBILIZATION	WORK PLAN IMPLEMENTATION	MONITORING	REPORTING
DESCRIPTION OF TASK	• Define tasks that support outcomes of the Global Work Plan. • Determine which outputs from the Global Work Plan, the region is going to contribute to using their projected income for the upcoming biennium.	• Costing of the Regional Work Plan. • Distribute funds across the strategic objectives. • Determine how funds will be distributed to regional staff. • Organize expenditures by UN object classes.	• Align activities in the Asia Pacific region with the UNISDR global strategy.	• Work with donors to negotiate the framework agreement, payment timing, requirements of payment and reporting.	• Ensure activities are aligned with outputs. • Managing the expenditure of funds.	• Tracking funds to ensure they are assigned to the appropriate activities. I.e. tracking expenditures to the Cost Plan. • Tracking activities to the results.	• Compile a report on the monitoring activities. • Create quarterly financial reports. • Create RBMS monthly reports.
PURPOSE	• Align the activities done in the region with the global results.	• Give managers their financial allotment. • Have a budget against which managers can initiate expenditures.	• To ensure the resources are aligned with results.	• Ensure secure and predictable funding for the Asia Pacific office. • Ensure funding arrives on time.	• To align activities with results.	• Ensure the Work Plan is being implemented. • Financial tracking is done to ensure good stewardship of funds and sound cash management.	• Ensure accountability for funds spent. • To trigger the release of cash. • To avoid deviation from the original Cost Plan results.
WHO	• 25 to 30 people (UNISDR staff, stakeholders and donors) participate in a retreat to develop the Work Plan. • A representative from ROSCU attends the retreat.	• The Programme Officers create their own cost plans. • The plans are rolled up by the Monitoring and Evaluation officer.	• Programme Officers are responsible for ensuring the work they do is linked to UNISDR strategic objectives.	• The Head of Office performs this task. • Headquarters collects the funds.	• Programme Officers in the region are responsible for outputs and implementation of the Work Plan. • Head of Office is responsible for outcomes. • Headquarters releases the funds.	• Expenditure tracking is done by the Asia Pacific Finance Officer. • Outcome tracking is done by the Monitoring and Evaluation Officer.	• The Finance Officer reports on expenditures. • The Monitoring and Evaluation Officer reports on outcomes.

THE ASIA PACIFIC FUNDING AND REPORTING PROCESS MAP

	DEVELOP REGIONAL WORK PLAN	DEVELOP REGIONAL COST PLAN	STRATEGIC ALIGNMENT	RESORUCE MOBILIZATION	WORK PLAN IMPLEMENTATION	MONITORING	REPORTING
WHERE	• Asia Pacific Region. • The retreat takes place off site.	• Asia Pacific Region	• Asia Pacific Region	• Dialogue with Donors is done in Bangkok.	• Asia Pacific Region	• Asia Pacific Region and Sub-Regions.	• In the Asia Pacific Region using the e-Management Tool.

TIMING	• The regional Work Plan is developed a few weeks after the Global Work Plan is finished. (The regional Work Plan is developed between August and October.)
	• The regional Work Plan is developed biennially.
		• The Cost Plan is developed immediately after the Work Plan in Q4.	• Q4	• Ongoing
				• Two times a year the Head of Office:
				  ° Meets with partners (AIP) to talk about the DRR priorities.
				  ° Meets with Asia Ministers.
					• Ongoing implementation.
					• Quarterly planning sessions take place as part of the implementation process.
						• Financial monitoring is ongoing.
						• Outcome tracking is done quarterly.
							• There are monthly reports that track activities. (These are M&E reports.)
							• There are quarterly reports that track outputs. (Financial and M&E reports).
							• There are annual reports that track outcomes. (Financial and M&E reports.)

AUTHORITY	• The Asia Pacific Head of Office signs off on the regional Work Plan once it has been completed in the regions. • The SLG reviews the Plan and the SRSG approves it.	• The Head of Office recommends the Cost Plan. • The SLG reviews the Cost Plan. • The SRSG signs off on the Cost Plan.	• Head of Office	• SRSG	• The Head of Office has authority over the implementation of the Work Plan.	• The Head of Office. (The Monitoring and Evaluation Officer gives the Head of Office status updates and the Head indicates what monitoring activities should be done next.)	• The Head of Office approves the financial reports and M&E reports.
BOTTLENECKS / BARRIERS				• There is no clear cut sense of who should do resource mobilization in UNISDR.			

Desired Characteristics of the Asia Pacific Region Funding and Reporting Process

- Predictability.
  - Money needs to be predictable and timely.
- Staff need to ensure they stick to the cost plan and ensure they meet the deliverables in the cost plan in a timely manner.
- Roles and responsibilities need to be clearly defined.
  - Within the region, staff members have specific tasks but they get pulled into other activities that are not part of their TORs.
  - The need to clearly define the responsibilities and obligations of administrative staff and officers.
- They have to determine the constraints that are immovable and cannot be changed.
- The regions have to be flexible and as such, funding needs to support this flexibility.
  - The regions need the flexibility to redeploy within an allotment. (E.g. Move funds from travel to pay rent.)
- They need to move to six month allotment periods.
- They need to have transparency in their cash flow.
- They need a cash buffer / reserve.
  - This could be for every unit and every region.
  - They need a buffer that could be deployed quickly at the end of the biennium in the regions.
  - They know in 2012 that they need to pay salaries. They have projected it.
- Funding should allow them to more than "just survive".
- They need better projections of their funding needs.

Additional Notes on the Asia Pacific Region Funding and Reporting Process

- Multiple reporting lines are time consuming and are a bottleneck in the process.
- Planning needs to be more consistent and professional. Every single planning cycle is led by a different person which leads to disagreements as to what direction the strategic plan should go in and broken results chains.
- There is too much involvement of management and too little involvement of technical people in the planning process.
- The e-management tool can eliminate bottlenecks in the process. For example, it can reduce the time it takes to make budget requests. These requests are paper based and can be made electronic with the tool. Doing this will eliminate the "back and forth" between headquarters and the regions.
- General issues with the Asia Pacific Region funding and reporting process include:
  - The money doesn't arrive on time, in the right quantity and in the right code.
  - They do not have the authority to do redeployment of funds.
  - They get a lot of ad hoc requests from headquarters and these requests are not in the Work Plan. (Note: These requests are related to allotments and make planning difficult.)

- o Planning is not balanced with cash flow.
- o The non-release of earmarked funds.
- o Accountabilities and authorities are unclear and are not written down. If not have written accountability mechanisms how does one avoid big problems?
- o Processes are not clear. (E.g. there is no written record of how the regional office is run.)
- o There are no global processes, SOPs or models related to financial management and administration.
- o Each region does them in their own way.
- o There is a lack of technical capacity in financial management and the related software. (E.g. some staff need training on the basics such as Excel.)
- o There are not enough staff members to provide support.

THE EUROPE REGION

THE FUNDING AND REPORTING PROCESS—EUROPE REGION

	STRATEGIC THINKING	DEVELOP BIENNIAL STRATEGIC FRAMEWORK	DEVELOP AND APPROVE REG. WORK AND COST PLANS	RESORUCE MOBILIZATION	WORK PLAN IMPLEMENTATION	MONITORING & REPORTING
DESCRIPTION OF TASK	• Review of Global Assessment Report, reporting against Hyogo Framework and the Global Platform. • Scan of trends in funding, presence in the field, country reports and size of the organization.	• Identification of global outcomes, outputs and indicators to guide the operations of UNISDR through the biennial period (currently through to 2015).	• Staff meets to develop the regional Work Plan. • Following the development of the Work Plan, the Cost Plan is created. (Note: The Cost Plan is based on a financial ceiling defined by headquarters.) • Periodic reviews of the Work Plan and Cost Plan are conducted.	• Drafting and submission of funding proposals. • Mobilization of resources from donors. • (Note: These tasks are performed in consultation with RMS.)	• Implementation of activities outlined in the Work Plan. • Risk management associated with cash flow difficulties.	• Monthly reporting to HQ with regional achievements from the past month, upcoming commitments as well as confidential communication between Head of Office and SRSG. • Quarterly reporting to HQs focused on resource utilization and needs. • Monthly summary of regional DRR highlights to partners and donors. • Reporting to donors as required. • Prepare inputs to various corporate reports (e.g., SG Report to General Assembly).
PURPOSE	• To ensure senior leadership has a common understanding of the operating environment. • To set the stage for the development of the Global Strategic Framework.	• Provides the framework within which regional plans are developed.	• To identify the regional contribution to the Global Strategic Framework. • Identification and prioritization of resources and cash flow predictions on a quarterly basis.	• To secure funding for activities as outlined in the regional Work Plan.	• To carry out activities outlined in the Work Plan.	• To ensure accountability in the use of funds. • To notify HQ of any pressing issues, concerns and opportunities. • To report back on achievements against the RBM framework. • Maintain relationship with partners.

THE FUNDING AND REPORTING PROCESS—EUROPE REGION

	STRATEGIC THINKING	DEVELOP BIENNIAL STRATEGIC FRAMEWORK	DEVELOP AND APPROVE REG. WORK AND COST PLANS	RESORUCE MOBILIZATION	WORK PLAN IMPLEMENTATION	MONITORING & REPORTING
WHO	• SLG + Heads of Regional Offices	• SLG + Heads of Regional Offices. • Input provided by donors.	• Staff in the regional office work together to develop the Work Plan and Cost Plan. • RMS provides feedback on the work and Cost Plans.	• Head of Office supported by staff.	• Regional staff and consultants as needed.	• Quarterly reports prepared by Regional Office. • Monthly reports prepared by Head of Office. • Donor reports prepared by the region and submitted through HQs.
WHERE	• Headquarters	• Headquarters	• Europe Regional Office • Headquarters	• Europe Regional Office	• Europe Regional Office	• Europe Regional Office
TIMING	• July / August • This occurs just a few months after the Global Platform meeting in May /June.	• July / August at the same time as strategic thinking.	• The Work Plan and Cost Plan are submitted in September. • Mid-October the Work Plan is approved. • Submit to UNOG and begin processing at the corporate level. • At the end of October, develop installment schedule. • The Work Plan and Cost Plan are reviewed on a quarterly basis.	• In consultation with potential donors at the beginning of the planning cycle and ongoing as needed.	• Ongoing • Quarterly regional staff meeting to review progress.	• Monthly, quarterly and as needed. • Scheduled reports for donors.
AUTHORITY	• SLG	• SLG	• Head of Office has the authority to develop and review the Work Plan and Cost Plan and SRSG has the authority to approve them.	• Head of Office	• The Head of Office has authority over the implementation of the Work Plan.	• Head of Office

THE FUNDING AND REPORTING PROCESS—EUROPE REGION

STRATEGIC THINKING	DEVELOP BIENNIAL STRATEGIC FRAMEWORK	DEVELOP AND APPROVE REG. WORK AND COST PLANS	RESORUCE MOBILIZATION	WORK PLAN IMPLEMENTATION	MONITORING & REPORTING

| BOTTLENECKS / BARRIERS | | | • Lack of standardization of the templates.
• Format for the Work Plan and Cost Plan does not differentiate among the different sources of funds.
• The financial ceiling for the regions does not acknowledge the different sources of funds.
• Delay/confusion over the official approval of the Work Plan and Cost Plan.
• Cash flow issues inhibit the effectiveness of planning. | • Funding proposal templates required by donors can be complex and time consuming to complete.
• Europe is not a priority for donors. | • Lack of availability and predictability of funds due to cash flow difficulties. These occur through three scenarios (1) donor is late transferring funds, (2) delays in contractual processing, (3) lack of cash reserve.
• Cash flow difficulties threaten the credibility of the region with donors, limit the capacity of the region to deliver on the Work Plan and causes excessive time wasted resolving administrative issues.
• Inability to shift small amounts of funds from one activity to another.
• Time spent troubleshooting issues with UNOG. | • Manual tracking of financial expenditures is time consuming and cumbersome.
• IMIS financial data is not visible to the region.
• Without a UNISDR-wide financial management tool there is excessive time responding to myriad of different HQs monitoring and reporting requirements.
• Excessive number of reporting templates to complete.
• Lack of common financial system causes "non value added time" to reconcile differences in financial figures between the region, HQs and UNDP. (Note: Different organization use different tools, e.g. Atlas, IMIS, Excel.) |

Desired Characteristics of the Europe Region Funding and Reporting Process

- Fast process for hiring consultants.
- 100% of the time the region would receive dollars and the financial authority to proceed as outlined in the Work Plan. (In rare cases they would get a timely heads up if there were issues.)
- HQs approves activities in the Cost Plan when funds are already dedicated/assigned to them.
- Fully staffed regional office capable of delivering on the Work Plan.
- Recognition that the European office contributes to resource mobilization for UNISDR beyond Europe.
- Payment of consultants is timely.
- Standardization of procedures, templates, SOPs, guidelines (e.g. hiring a hotel).
- All reporting requirements (including dates) are known a year in advance.
- Common tool for financial tracking, monitoring and reporting for all UNISDR. This will allow different HQs units to access information and tailor make the information they need instead of asking the regions for reports.
- Have ability to view financial data in IMIS.
- Cash reserve available to smooth operational cash flow needs.

Additional Notes on the Europe Region Funding and Reporting Process

- The e-management tool can meet the needs of the Europe region. However, to be effective, the tool must be used by all regions and HQs.
- The e-management tool has the potential to reduce the number of reports in the region.

MANAGEMENT OF GRANTS

HEADQUARTERS

THE HEADQUARTERS MANAGEMENT OF GRANTS PROCESS MAP

	GRANTEE IDENTIFCATION AND SELECTION	GRANT APPROVAL	MONITORING	POST-GRANT REVIEW AND AUDIT
DESCRIPTION OF TASK	• Clearly define the project the grantee will be undertaking. • Identify and select the grantee.	• Third party review/challenge of the grant proposal.	• Track performance of the Grantee in relation to agree milestones.	• Review the grant process • Review grantee performance. • Conduct financial audit.
PURPOSE	• The project must be defined to ensure the grantee's project aligns with the strategic objectives of ISDR. • To ensure the grantee is the best fit for the project.	• To protect the interests of the Secretariat. • To ensure the grant proposal is in line with UNISDR rules and regulations.	• Ensure quality performance of Grantee. • Ensure value for money. • Mitigate risk. • Ensure grantee meets project milestones.	• Review of the grant process is done to build corporate memory. • Review of the grantee is done to assessment the quality of the work. • The financial audit is done to ensure financial integrity.
WHO	• The Programme Officer defines the project within the scope of the project plan. • Programme Officer or the Head of Office identifies and selects the grantee.	• Grants Review Committee. • The Committee includes: the head of RMS; a representative from Admin/Finance; a legal officer; the Programme Officer; and the Secretary.	• Finance ensures the financial report, stipulated in the agreement, has been submitted. • Project officer monitors the substantive part of the project.	• RMS reviews the grant process. • Programme Officer reviews grantee performance. • Finance conducts the financial audit.
WHERE	• This task is done in the requesting unit. (Typically in the regions.)	• For a grant greater than $100,000 the Committee meets in Geneva. • For a grant less than $100,000 there is a virtual Committee meeting.	• Financial monitoring is done at HQs. • Substantive monitoring is done in regions or within the unit at HQs.	• HQs reviews of the grants process. • The region or unit assesses the performance of the grantee. • The financial audit is done in HQs (Finance Officer) and UNOG.

THE HEADQUARTERS MANAGEMENT OF GRANTS PROCESS MAP

	GRANTEE IDENTIFCATION AND SELECTION	GRANT APPROVAL	MONITORING	POST-GRANT REVIEW AND AUDIT
TIMING	• This task is done 10 days before the grants approval meeting.	• The Committee meets on an ad hoc basis.	• Monitoring is triggered by the grants schedule. • Tracking of a grantee's performance to project milestones is done periodically.	• Review of the grants process occurs at the end of the project. • Assessment of grantee performance occurs at the end of the project. • The financial audit is done 1 month following completion of the project.
AUTHORITY	• The head of unit or regional office has the authority to approve the project. • The Programme Officer has the authority to identify and select.	• Chair of the Grants Committee accepts recommendations from the Committee. The SRSG then approves.	• Finance in HQs has the authority to accept/reject submitted financial reports. • Project Officer can terminate the project if the grantee is not performing.	• The Programme Officer signs off on the review of the grants process. • The Programme Officer signs off on the quality of the performance of the grantee. • The Finance Officer and UNOG sign off on the financial audit.
BOTTLENECKS / BARRIERS			• The monitoring of capital assets is not done very well. (E.g. if grantees purchase a computer with grant money, they are supposed to return the computer to UNISDR once the project is over. This is rarely done.) • No cost extensions occur too frequently.	• No-one has the authority to accept of reject the quality of the review of the grant process. • The financial audit does not always happen.

Desired Characteristics of the Headquarters Management of Grants Process

- There is strong corporate memory of the performance of grantees.
- Grantee profiles and performance data is posted on UNISDR's Intranet.
- Grantee risk assessments are conducted.
- Evidenced based decisions are made when grantees are selected.
- The management of grants process is transparent.
- Automated alerts are sent to relevant staff members that indicate a review of a grantee is due.
- Grants Committee meetings are scheduled at regular intervals.
- Ensure UNISDR staff members are aware of the standard operating procedures for grants.
- Ensure there is comprehensive education and training for staff on the management of grants process.

Additional Notes on the Headquarters Management of Grants Process

- Grants are issued to NGOs, IGOs and institutions.
- Most grantees are administrative partners and implementing partners.
- Grants are often given to the same organizations. Organizations that commonly receive grants include the Asian Disaster Preparedness Center, Asian Disaster Reduction Center, CRID and the WARO Commission.
- Grants tend to be modest. (I.e. $30,000 to $50,000).
- In the most recent biennium, 22 grantees were used and $ 1.8 million was spent.
- Most grants stem from the regions.
- Most of the work grantees do focuses on workshops, conferences and meetings. They also fund grantees to do research (e.g. the University of Geneva).
- General issues with grantees:
  o They tend to submit poor financial reports.
  o There is a need to reduce number of organizations that receive grants or reduce the money spent on grants.
  o They are not getting new grantees. I.e. they are not getting "new blood".
  o More care needs to be taken to ensure grantees meet performance criteria.
  o Grantees need to be researched better before they are selected to do work for UNISDR. I.e. they need to have a better understanding of what the grantee does before they are selected.
  o Monitoring grantees is an issue.
  o UNISDR withholds 20% of the amount they own them until the grantee has provided them with a report. Even so, sometimes the grantee will not submit the report and they lose the final 20%.

THE AFRICA REGION
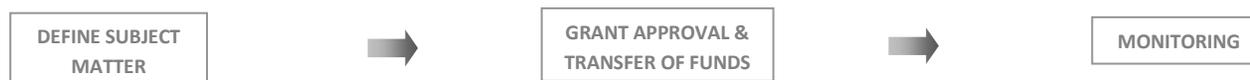
THE AFRICA REGION MANAGEMENT OF GRANTS PROCESS MAP

	GRANTEE IDENTIFICATION AND SELECTION	GRANT APPROVAL	MONITORING AND REPORTING	POST–GRANT REVIEW AND ASSESMENT
DESCRIPTION OF TASK	• Only one grantee is used in the Africa Region—SARDEC. (Note: Donors only want SARDEC to be used for the grant.)	• Complete the grant terms of reference template. (The terms of reference includes a plan of action and legal terms and conditions.) • Forward the grant proposal to the Grants Review Committee for approval.	• Monitor how the grantee is performing at regular milestones.	• Conduct an activity review. • Review the grant process.
PURPOSE	• To have a strong partner that shares UNISDR's values.	• Ensure the grant meets relevant rules and regulations.	• Ensure the work completed by the grantee is achieving the results outlined in the terms of reference.	• Obtain lessons learned. • Identify areas of success and areas for improvement.
WHO	• The selection of the grantee is a joint decision made with a number of key players in the region including the African Union.	• The Programme Officer prepares the grant submission and forwards it to the Grants Review Committee.	• The Programme Officer.	• The activity review is conducted by the Programme Officer. The grantee participates in the process.
WHERE	• The Africa Regional Office.	• The African Regional Office. • The Grants Review Committee meets in Geneva or virtually.	• The Africa Regional Office.	• The Africa Regional Office.
TIMING	• It took a number of years to develop the relationship with SARDEC.	• It takes 4 weeks for the grant to be approved.	• A narrative, substantive report is required every 3 months. • A financial report is prepared twice a year.	• The assessment is done 4 weeks prior to the planning of the next grant.
AUTHORITY	• The Head of Office in concert with ROSCU.	• The Grants Review Committee authorizes the Head of Office to sign off on the grant.	• The Head of Office	• The Head of Office
BOTTLENECKS / BARRIERS		• The Grants Review Committee is not very transparent and it meets irregularly.	• It is very difficult to get financial reports from the grantee. It usually requires holding back 20% of the final payment until the final report is received.	• The quality of the financial reports provided by the grantee is poor.

Desired Characteristics of the Africa Region Management of Grants Process

• Increase efficiency of the process in terms of timing and focus of the grants.
• Monitoring of the grant needs to be flexible. I.e. Monitoring should be different depending on the maturity of the organization.
• Grant rules and procedures need to be lighter but monitoring needs to be more rigorous.

THE AMERICAS REGION

THE AMERICAS REGION MANAGEMENT OF GRANTS PROCESS MAP

	DEFINE SUBJECT MATTER	GRANT APPROVAL & TRANSFER OF FUNDS	MONITORING
DESCRIPTION OF TASK	• Identify ideas for grants and potential partners during the development of the Work Plan. • Identify opportunities to mobilize resources to support grant opportunities. • Meet with partner to develop a detailed project document.	• Complete grant approval template and the project document.	• Monitor the performance of the grantee as outlined in the Project Document. • Review of narrative and financial reports submitted by grantee. • Close follow up by phone and email with partners due to importance of strategic activities.
PURPOSE	• To scope out a potential project. • To enhance relationships with key partners. • To advance planning in substantive areas.	• To provide funding authority for the grant. • To verify that the grant is in line with legal obligations and aligned with the work plan.	• To ensure activities are moving forward in line with the project objectives, timeline and budget.
WHO	• Programme Officer (geographic or thematic responsibilities) • Senior leadership liaison between Head of Office and partner organizations.	• The Programme Officer initiates the approval process and continues to communicate with the grantee re: status of grant. • The Head of Office sends grant documentation to HQ. • Finance unit provides templates and reviews documentation.	• Programme Officer
WHERE	• Americas Regional Office	• Headquarters	• Americas Region
TIMING	• Identification of opportunities at the beginning of Work Plan. • Preparation of project documents within six months. • Remaining tasks as soon as resource mobilization can occur.	• Dependent on resource mobilization. • No standard response time from Approval Committee. • Unsure if the Committee has regularly scheduled meetings or if they meet on a regular schedule.	• Review of narrative and financial reports once or twice a year depending on the duration of the grant. • Ongoing as needed.
AUTHORITY	• Head of Office – final approval of project document.	• The Grants Committee has the authority to approve the grant. • Headquarters releases initial funds.	• The Programme Officer certifies that the work has been completed. • Headquarters has the authority to release funds once the deliverables have been met.
BOTTLENECKS / BARRIERS	• Predictability of funds	• Need for a formal procedure to notify grant approvals. • When approved, it is sometimes difficult to find out (on behalf of the recipient) the status of the funds (obligated, committed or transferred). • No written document for how to prepare the grant and how to prepare the grant allocation request.	• Often remind grantees of the need for final reports. Final release of funds is an incentive to finalize reports.

Desired Characteristics of the Americas Region Management of Grants Process

- Clear guidelines on the preparation of grants as well as how to manage the finances of the grants at the regional office. Clarification on the steps that a grant takes while it moves through headquarters. Regional Offices need to know the roles, responsibilities and timelines associated with tasks at HQ.
- Grant templates accessible via the website and validation that the correct version is available. The intranet must be kept up to date and regional offices need to feel confident that the final version is available via web.
- Formal process to notify Regional Office of grant approval and confirmation of transfer of funds.
- Clarity regarding the financial terminology and processes (i.e., difference between obligated, committed and allocated funds)
- Clarify regarding financial planning, processes and management of funds for regional offices. (I.e. what do regional offices need to understand to maximize the effectiveness of the financial system?)

Additional Notes on the Americas Region Management of Grants Process

- Grants are used by the Regional Office to implement substantive components of the Regional Work Plan which require partnership with a strategic organization within the region. The vast majority of grants are executed with regional inter-governmental bodies – these organizations have mandates which align with the work of UNISDR. Grants are also occasionally used to support projects with academic / knowledge institutions. Within the current two year planning cycle, the Regional Office is managing approximately $180,000 in grants with five to six strategic partners.
- In all cases, grants are executed with organizations, never with individuals, governments or private sector companies. The Regional Office works with the grantee to define the grant objectives, products, activities, timeline and budget. These statements form the basis of the project and are found within the Project Document, which is an appendix to the Grant Agreement. In all cases, grants must be approved by the Grants Committee in Geneva. There is no financial threshold below which Regional Offices can administer grants without the express approval of the Grants Committee. Once a Grant Agreement is in place, the Regional Office is responsible for monitoring the execution of the Agreement. This is done through ongoing liaison with the grantee as well as through the review of mandatory narrative and financial reports provided by the grantee.

THE ARAB STATES REGION

THE ARAB STATES REGION MANAGEMENT OF GRANTS PROCESS MAP

	GRANTEE IDENTIFICATION AND SELECTION	GRANT APPROVAL	MONITORING	POST–GRANT REVIEW AND ASSESMENT
DESCRIPTION OF TASK	• Define the project to be completed. • Identify and select the right person or institution to undertake the project. Selection includes ensuring the grantee has a track record of completing similar projects.	• Submit the grant proposal to the Grants Review Committee. This includes the grants agreement and the specifics of the project (e.g. timelines, and financial statements). • Respond to questions, regarding the grant, posed by the Committee.	• Monitor performance of the grantee relative to project milestones.	• Review the process, product and performance of the grantee. • Determine if the grantee or the process used to complete the product should be used again. • Conduct a financial audit of the grant.
PURPOSE	• Ensure the project is aligned with the Regional Work Plan. • Ensure the grantee is the best fit for the project.	• Third party review and challenge of the grant proposal.	• Quality assurance. • Stewardship of funds.	• Identify trusted individuals and organizations to work with in the future.
WHO	• The Programme Officer defines the project. • The Programmer Officer and Head of Office select the grantee.	• Grants Review Committee reviews the grant proposal.	• Programme Officer.	• The Programme Officer does the assessment. (Note: The assessment is informal.)
WHERE	• The Arab States Regional Office	• Headquarters.	• Substantive monitoring of grant occurs in the Arab States Regional Office.	• The Arab States Regional Office.
TIMING	• Grants are restricted to GFDRR funding. When the office knows when the funding will arrive, they start identifying and selecting the grantee and negotiating the grant. • The development of the grant proposal, selection of the grantee and negotiation of the grant takes 2 months.	• Grants Review Committee meets on an as required basis.	• Monitoring occurs in accordance with the grant schedule.	• At the end of project.
AUTHORITY	• The Head of Office recommends the grantee.	• Grants Review Committee approves the grant.	• Programme Officer reviews the substance of the grant and The Head of Office approves. • Finance in Geneva approves the financial reports submitted by the grantee.	
BOTTLENECKS / BARRIERS	• There are no selection criteria for grantees.	• The Grants Review Committee meetings are unpredictable. • The deadline for the submission of grant proposal is not clear. • Different templates and annexes are required for the grant submission depending or who is the grantee is.		• Lack of time for the Programme Officer to do a comprehensive assessment of the grantee.

Desired Characteristics of the Arab States Region Management of Grants Process

- Improved planning process including:
    - Clear timelines.
    - Clear roles and responsibilities. (E.g. who sits on the Grants Review Committee and who approves grants)
- Standardized rules and regulations for managing grants especially in the selection of grantees.
- Fast grant approval system.
- Grant money should be cabled to and managed by regional offices.
- The Grants Committee should meet at regular interval and the timeline for submissions should be clearly communicated.
- If the amount of a grant is relatively small, the region should have delegated authority to approve the grant.
- The Grants Committee should conduct an annual exercise to identify which grantees have performed well. This would include identifying which grantees should be dropped and which should be kept for the future. The regions would input into this review.

Additional Notes on the Arab States Region Management of Grants Process

- The region issues 1 to 2 grants per year.
- The grants range from $40,000 to $80,000 in value.
- Characteristics of grants and grantees:
    - Grantees are typically given to Inter-Governmental Organizations.
    - Grantees do research, conduct drought risk assessments and studies and develop tools to house data about regional DRR issues.
    - Grantees do not provide services to UNISDR, per se. They provide services for the public good but contribute to the results and outputs of the Regional Work Plan.
    - Grantees are not-for profit organizations.
    - The regional office will use a grantee if the project requires a lot of research and work with regional partners.
    - Grants tend to be demand driven. I.e. a not-for-profit will approach UNISDR with a project proposal and UNISDR will consider funding it.
    - If the Regional Work Plan stipulates that UNISDR must work with a particular type of organization (e.g. a not-for-profit organization or a university) then they will use a grant.
- Consultants tend to do "core work" that the regional office has the expertise to do but does not have the time. (For example, mapping DRR institutions in the region.)

THE ASIA PACIFIC REGION

THE ASIA PACIFIC REGION MANAGEMENT OF GRANTS PROCESS MAP

	DEFINE SUBJECT MATTER	GRANTEE IDENTIFCATION AND SELECTION	GRANT APPROVAL	MONITORING	POST-GRANT REVIEW AND EVALUATION
DESCRIPTION OF TASK	• Identify the subject of the grant.	• Identify and select grantees that have the skills to meet the requirements of the grant.	• Complete grant approval form. • Complete the project document. • Prepare grant proposal. • Send documents to ROSCU. • ROSCU reviews the documents and the sends them to the Grants Review Committee.	• Monitoring the performance of the grantee in relation to the Work Plan. • Monitor the impact the grantee has had.	• Review the result of the grant. • Inform headquarters of the results of the review. • Ensure the work was done in accordance with the Work Plan. • Send ROSCU a report on the work performed by the grantee.
PURPOSE	• To align the grant with the Biennial Work Plan and the outcomes of the Global Platform. • To ensure delivery on the Biennial Work Plan.	• To ensure the quality of the product/deliverable.	• Align the grant with the Biennial Work Plan. • Ensure financial integrity. • Ensure legal integrity.	• Ensure the work of the grantee is focused on delivering results.	• Ensure the desired outcomes of the project were achieved.

WHO	• The subject matter of grants are identified at:
	  o ISDR Asian Partnership meetings.
	  o Asian Ministerial Conference for DRR.
	  o The Global Platform.
	  o The Regional Platform.
		• The Programme Officer responsible for grants.
		• Advice is also provided by the senior coordinator.
		• The ISDR Asian Partnership also provides guidance.
			• The Programme Officer responsible for grants initiates the approval process.
			• ROSCU reviews and clarifies the grant.
				• The Programme Officer responsible for grants.
				• ROSCU reviews interim and final reports.
					• The Programme Officer responsible for grants.
					• Headquarters ensures the work was done in accordance with the Work Plan and releases the final financial transaction.

WHERE	• The Asia-Pacific Region.	• The Asia-Pacific Region.	• Headquarters	• The Asia-Pacific Region.	• The Asia-Pacific Region.
TIMING	• Asian Ministerial Conference for DRR—September. • ISDR Asia Partnership—March and September. • Global Platform--May/June. • Regional Platform--September/October.	• 6 months before the start date of the grant.	• The approval of the grant occurs 6 weeks before the grant is to be issued.	• Monitoring occurs at project milestones.	• Four weeks after the completion of the grant.

THE ASIA PACIFIC REGION MANAGEMENT OF GRANTS PROCESS MAP

DEFINE SUBJECT MATTER	GRANTEE IDENTIFCATION AND SELECTION	GRANT APPROVAL	MONITORING	POST-GRANT REVIEW AND EVALUATION

	DEFINE SUBJECT MATTER	GRANTEE IDENTIFCATION AND SELECTION	GRANT APPROVAL	MONITORING	POST-GRANT REVIEW AND EVALUATION
AUTHORITY	• The Head of Office has the final say on what subjects are addressed by the grants.	• The Programme Officer responsible for grants recommends who should receive the grant but the Head of Office has the final approval.	• The Grants Committee has the authority to approve the grant.	• The Programme Officer certifies that the grant's work has been completed. • Headquarters has the authority to release funds once the deliverables have been met.	• The Programme Officer responsible for grants signs off on the evaluation of the grantee. • Headquarters has the authority to release the final payment to the grantee.
BOTTLENECKS / BARRIERS			• It takes 6 weeks from the time the grant is approved to the time it is issued. Sometimes it can take 3 months for this process to complete if there are issues with the grant. • It takes time for the Grants Review Committee to meet to approve the grant. • ROSCU does not have scheduled meetings to review the Grants.		• Involving ROSCU in the review of the substantive work delays the final payment. It is not clear that the role of ROSCU is necessary at this stage especially since they do not have any formal authorities. It may be feasible to have a staff member in the region authorize that the work done by the grantee is in line with the Work Plan.

Additional Notes on the Asia Pacific Region Management of Grants Process

- There are two kinds of grants:
  - Grants given to UN agencies
  - Grants given to NGOs.
- A key goal of grants is to strengthening partnerships.
- The region typically does 6 grants with UN agencies and 2 grants with NGOs grant per year.
- The smallest grants are $15,000. The largest grants are between $100,000 to $150,000.
- The duration of grant is usually linked to the duration of the funding from a donor. Typically this is between 4 to 6 month.
- Examples of recent grants include: a glacier lake outburst workshop; DRR research and development of a toolkit for biodiversity managers; and the development of a training programme on post flood recovery.

CONSULTANT RECRUITMENT

HEADQUARTERS

HEADQUARTERS CONSULTANT RECRUITMENT PROCESS MAP

	DEFINE NEED FOR THE CONSULTANT	SEARCH AND SELECT A CONSULTANT	MONITOR CONSULTANT	ASSESS CONSULTANT
DESCRIPTION OF TASK	• Define why the consultant is needed in the context of the UNISDR Work Plan and related deliverables.	• Advertise the position on the UNISDR web site. • Screen and interview candidates.	• Manage the performance of the consultant.	• Assessment of consultant's performance. • Gather evidence that the work conducted by the consultant was completed.
PURPOSE	• Enable the search for a consultant with the required skills.	• Ensure the consultant has necessary qualifications. • Ensure the process is fair and transparent.	• Ensure results/deliverables are being achieved.	• To deliver final payment. • Obtain a record of how the consultant performed for future reference.
WHO	• Programme Managers perform this task.	• HR advertises the position. • HR does experience, education and language screening of applicants. • The Programme Manager and two other staff members do the interviewing and selecting.	• Programme Manager performs the monitoring.	• Programme Manager.
WHERE	• This task is performed in the requesting unit. (In the regions or HQs).	• At the work site.	• The work place (In the regions or HQs.)	• The work place. (In the regions of in HQs.)
TIMING	• This task is done in one week.	• Sole source: 3 days. • Normal: 2 to 3 weeks.	• Monitoring is done at a pay point or at particular milestones. • Additional monitoring is done at the end of the contract.	• The assessment is done at the end of the contract.
AUTHORITY	• The unit head has the authority to say whether or not the need for the consultant has been defined accurately. o HR will not accept a contract with a consultant if the unit head has not signed off on it.	• HR has the authority to advertise the position. • Final selection of the consultant is done by the Programme Manager	• The Programme Manager has the authority to say if a performance is good or bad.	• The Programme Manager has the authority to sign off on the assessment.

Desired Characteristics of the Headquarters Consultant Recruitment Process

• The hiring and work of consultants is linked to the UNISDR RBMS and Work Plan.
• There is early planning and needs identification.
• Other staff members in the organization are aware that the process is transparent.
    o Standards for recruiting consultants are clear.
• The process is quicker and less labourious then it is a present.
• There is a database of pre-screened consultants (i.e. a roster). The database will include a consultant's name, skill set, and performance on previous projects.
• A consultant's performance on a previous project is communicated throughout the organization.
• The process for recruiting consultants is fully electronic.

Additional Notes on the Headquarters Consultant Recruitment Process

• Approximately 60 consultants are hired per year.
• The top consultants are paid up to $13,000 per month.
• Individual consultants are contracted via HR. If a consulting company is needed, the procurement process is used (i.e. UNOPS).
• When Umoja is in place, consultants will not be hired by HR.
• There are two different kinds of consultants:
    o A person that has subject matter expertise that UNISDR does not have. They tend to work for 24 to 36 months.
    o A person that does work that UNISDR can do but does not have the time to do. These consultants tend to work on site for a period of 6 to 9 months.
• Consultants are paid based on the number of years they have worked and their education.
• The current process is transparent.
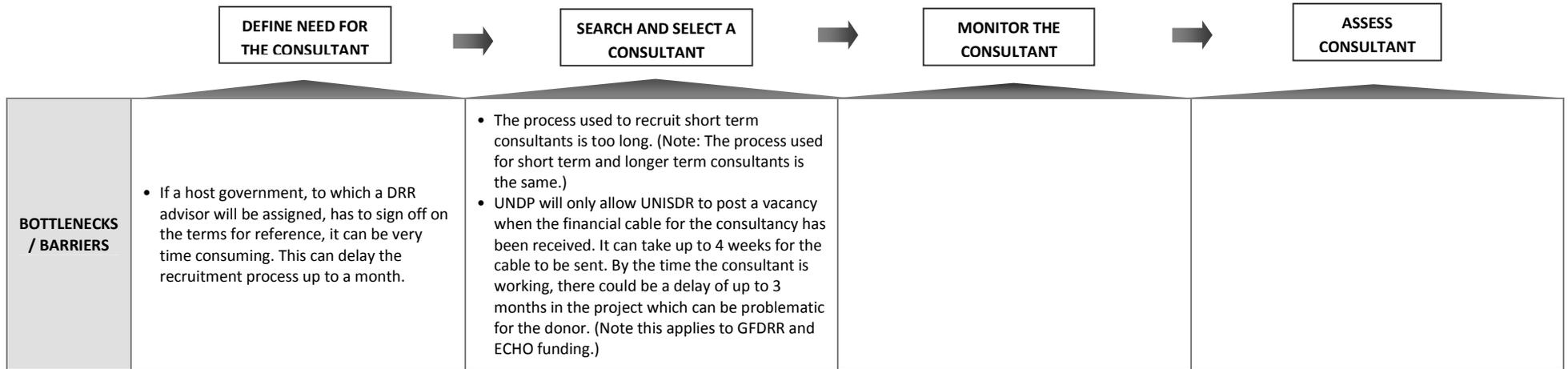• One of the key issues is that a number of tasks are paper-based.

THE AFRICA REGION

THE AFRICA REGION CONSULTANT RECRUITMENT PROCESS MAP

	DEFINE NEED FOR THE CONSULTANT	SEARCH AND SELECT A CONSULTANT	MONITOR THE CONSULTANT	ASSESS CONSULTANT
DESCRIPTION OF TASK	• Develop a project proposal that is in line with the Regional Work Plan. • Develop the terms for reference for the consultant.	• Information about the search and selection process is shared with UNDP (service provider). • The terms of reference are posted on Prevention Web. (15 to 30 applications will be received.) • The applicants are put into a matrix and then scored. The top 3 to 5 applicants with the highest score are short listed and interviewed by a panel of 3 people. • A consultant is selected and contacted by UNISDR. • UNDP sends the consultant an intent of offer.	• Monitor the deliverables and milestones of the consultant. • Check in with host government. • Conduct site visits where the consultant is working.	• Complete a narrative final report on the consultancy. • Indicate whether or not the consultant should be recommended for future work. • Share the report with the consultant if requested.
PURPOSE	• Ensure the work of the consultant will support an output in the Regional Work Plan.	• A key goal of the selection process is to ensure UN rules are followed.	• Ensure the results the consultant is achieving are delivering on the terms of reference.	• The assessment final report is a requirement for the initiation of final payment. • To maintain a record for future reference.
WHO	• Programme Officer	• The Programme Officer with assistance from the Finance and Administrative Associate. • UNDP issues the contract to the consultant.	• Programme Officer	• Programme Officer
WHERE	• The Africa Regional Office	• The Africa Regional Office	• The Africa Regional Office	• The Africa Regional Office
TIMING	• The terms for reference are developed approximately 1 month before the consultant is needed to start work.	• The search begins approximately 1 month before the consultant is needed.	• Informal monitoring is done weekly. • Formal monitoring is done as project milestones.	• End of the project.
AUTHORITY	• The Head of Office.	• UNDP has the authority to issue the contract.	• The Programme Officer.	• The Head of Office has to be in agreement with the final assessment.

THE AFRICA REGION CONSULTANT RECRUITMENT PROCESS MAP

| DEFINE NEED FOR THE CONSULTANT | → | SEARCH AND SELECT A CONSULTANT | → | MONITOR THE CONSULTANT | → | ASSESS CONSULTANT |

	DEFINE NEED FOR THE CONSULTANT	SEARCH AND SELECT A CONSULTANT	MONITOR THE CONSULTANT	ASSESS CONSULTANT
BOTTLENECKS / BARRIERS	• If a host government, to which a DRR advisor will be assigned, has to sign off on the terms for reference, it can be very time consuming. This can delay the recruitment process up to a month.	• The process used to recruit short term consultants is too long. (Note: The process used for short term and longer term consultants is the same.) • UNDP will only allow UNISDR to post a vacancy when the financial cable for the consultancy has been received. It can take up to 4 weeks for the cable to be sent. By the time the consultant is working, there could be a delay of up to 3 months in the project which can be problematic for the donor. (Note this applies to GFDRR and ECHO funding.)		

Desired Characteristics of the Africa Region Consultant Recruitment Process Map

- Use different processes for recruiting short term consultants versus longer term consultants. Currently they are the same.
- Have a roster that pre-qualifies consultants.
    - Each region would develop a roster and make it globally available.
    - The pre-qualification process may be more or less rigorous depending of the type of consultants that will be on the roster.

Additional Notes on the Africa Region Consultant Recruitment Process

- There are two key types of consultants recruited at UNISDR Africa: Long-Term DRR Advisors and Short-Term Consultants.
- Longer-Term DRR Advisors:
    - UNISDR Africa supports three project countries and two Regional Economic Commissions (RECs) by providing them with DRR advisors.
    - The advisors help with national coordination mechanisms for DRR and do some policy development and strategy development.
    - They are typically on 10 month contacts.
    - They work everyday with a government or REC.
    - They provide UNISDR Africa with monthly reports and are paid when the reports are delivered.
    - They are paid based on standard rates that have been developed using guidelines provided by UNDP.
- Short-Term Consultants:
    - The work of these consultants is more output oriented than the work of the DRR advisors.
    - They work in accordance with a project plan and are paid when deliverables are met.
    - These consultants might develop a distinct product such as a job contingency planning manual.
    - Their work is typically home-based.
    - Bids are not accepted from these consultants. ISDR sets the payment rate and how many days it will take to complete the work.
- The process to engage and recruit these two types of consultants is the same.
- Consulting firms are rarely hired.
- Support staff are occasionally hired to assist with events. These staff are also hired on consultant contracts.
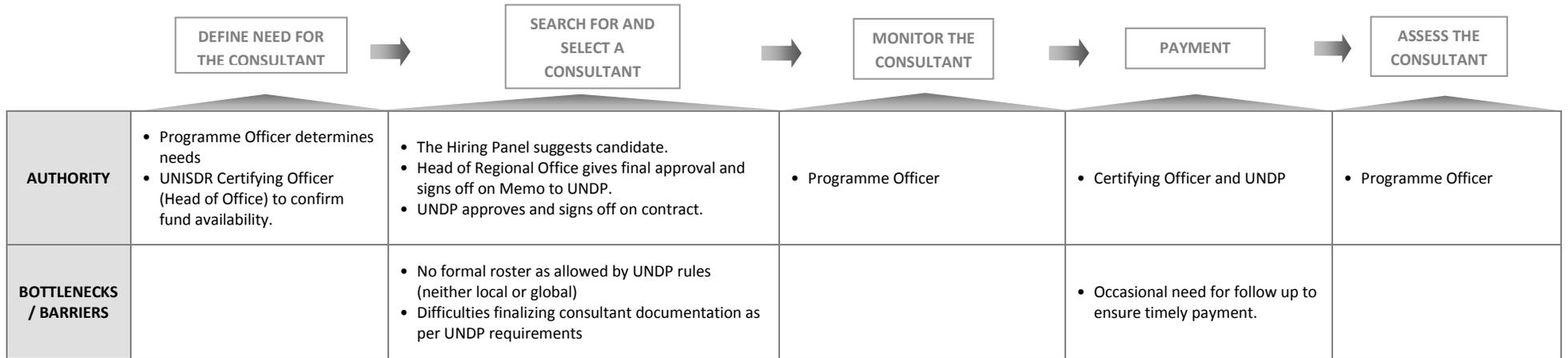
THE AMERICAS REGION

THE AMERICAS REGION CONSULTANT RECRUITMENT PROCESS MAP

	DEFINE NEED FOR THE CONSULTANT	SEARCH FOR AND SELECT A CONSULTANT	MONITOR THE CONSULTANT	PAYMENT	ASSESS THE CONSULTANT
DESCRIPTION OF TASK	• Identify the need for consulting services and confirm funds. • Prepare ToR	• Post vacancy on UNDP and ISDR websites. • Prepare long and short list of candidates. • Interview candidates and select consultant. • Request additional five documents from candidate (including medical certification and vendor forms). • Prepare minutes of Hiring Panel and forward to UNDP. • Prepare contract and inform requesting officer.	• Monitor consultant performance in relation to the terms of reference and deliverables of the project.	• Payment of consultant	• Informal assessment of performance and UNDP evaluation form at final payment
PURPOSE	• Beginning the process of identifying external resources for Wok Plan implementation	• Ensure process follows UNDP rules. • Selection of most appropriate candidate for the position.	• Ensure desired results are on track to being achieved.	• Compensation for work performed	• Assess quality of performance.
WHO	• Programme Officer (any of the three)	• Programme Officer and regional leader prepare long / short list and participate on panel. • Note: Option for UNDP to sit on hiring panel. • Admin support prepares documentation.	• Programme Officer	• Programme Officer sends authorization to admin support. • Admin support prepares payment request and interacts with UNDP. • Certifying Officer reviews and certifies request. • UNDP processes payment.	• Programme Officer
WHERE	• Panama	• Panama	• Panama	• Panama	• Panama
TIMING	• One week to develop ToR • The need for consultants is defined in the biennial Work Plan and the quarterly Work Plans.	• 15 to 20 days for posting. • Two additional weeks for interviews through to contract. • Total time to identify, recruit and select consultant is 30 to 45 days.	• On average, contracts range from three to six months but can go up to 12 months. • The work of the consultant is monitored based on product delivery or at monthly installments.	• As needed according to the payment terms as stipulated in the contract	• At conclusion of contract

THE AMERICAS REGION CONSULTANT RECRUITMENT PROCESS MAP

	DEFINE NEED FOR THE CONSULTANT	SEARCH FOR AND SELECT A CONSULTANT	MONITOR THE CONSULTANT	PAYMENT	ASSESS THE CONSULTANT
AUTHORITY	• Programme Officer determines needs • UNISDR Certifying Officer (Head of Office) to confirm fund availability.	• The Hiring Panel suggests candidate. • Head of Regional Office gives final approval and signs off on Memo to UNDP. • UNDP approves and signs off on contract.	• Programme Officer	• Certifying Officer and UNDP	• Programme Officer
BOTTLENECKS / BARRIERS		• No formal roster as allowed by UNDP rules (neither local or global) • Difficulties finalizing consultant documentation as per UNDP requirements		• Occasional need for follow up to ensure timely payment.	

Desired Characteristics of the Americas Region Consultant Recruitment Process

• Opportunity to develop a formal roster/database (at the global and local levels) in keeping with UNDP rules. This will allow for shortened recruitment periods and potential cost savings.
• Consistent and timely payment of contractor by regional service provider.
• An archive of vendors documenting performance but also basic documentation in files that will help to save time with additional follow up contracting opportunities.
• Improve the way in which we are able to track the status of payments to consultants. The regional office is unable to take advantage of UNDP's investment in the PeopleSoft system. As a result, the regional office needs to track payments manually, verify the status of funds and monitoring budgets manually.

Additional Notes on the Americas Region Consultant Recruitment Process

• Three contracting methods are used to recruit and hire skills and expertise to support the work of the regional office:

1. Consultant contracts are used for specialized skills specific to projects and for a limited period of time. In these cases, the UNDP Service Provider is used to support recruitment processes.
2. Service contracts are used for locally engaged staff within the regional office. These contracts are initially executed for one year and are renewable on an annual basis pending availability of funds. Example includes administrative support. The UNDP Service Provider is also used to support the recruitment of locally engaged staff.
3. National and international professional staff are recruited and managed by headquarters via the UN system.

• On average, consultant contracts are $3,500 to $4,000 per month with a duration of three to six months per contract. For specialized skills and expertise professional fees can range as high as $5,000 per month. The regional office runs approximately six consultant contracts at any one time. Consultants are generally hired to provide products, such as reports, workshops, advocacy and surveys. The consultant recruitment process is primarily used to recruit individuals but can be used to recruit firms if needed.
• The UNDP Regional Service Provider plays a significant role in support of the consultant recruitment process. In general the relationship between the regional office and the UNDP Service Provider is positive. The UNDP provides two individuals who act as focal points for service – one specializes in HR and the other for all other services. Although there is sometimes a need to follow up on payment, for the most part services are timely and the individuals who act as focal points respond appropriately.

- The regional office has always used a service provider to support contracting. The UNDP provides the rules and regulations within which contracting must occur. According to UNDP rules, the regional office can use three mechanisms for the recruitment of consultants:

  1. The most common is an open competition which requires a posting of 15 to 20 days through the UNDP website. The regional office also posts these opportunities on the UNISDR website.
  2. The second mechanism shortens the recruitment process by the use of a pre-approved, formal roster of consultants. In this case seven consultants can be pulled from the roster after which a short list is developed and interviews proceed. To date, the regional office has not developed a roster in keeping with the UNDP requirements and standards.
  3. The third mechanism is a sole source contract which can be used only when a justification is available and this recruitment mechanism needs to be approved by the internal UNDP contracts committee.

- UNDP works under a universal price list – they produce a bill at the end of the year for all transactions. The bill for 2011 was $18,000. This was the first full year that the regional office has worked with UNDP.
- The above process map focuses solely on the recruitment of consultants. The only variances between the recruitment of consultants and the recruitment of service staff are: (1) the requirement for a longer posting period for the hiring notice, and (2) more stringent rules regarding the composition of the hiring panel.

THE ARAB STATES REGION

THE ARAB STATES REGION CONSULTANT RECRUITMENT PROCESS MAP

	DEFINE NEED FOR THE CONSULTANT	SEARCH AND SELECT A CONSULTANT	MONITOR THE CONSULTANT	ASSESS THE CONSULTANT
DESCRIPTION OF TASK	• Define the need for the consultant in the context of the Regional Work Plan and Cost Plan.	• Advertise the vacancy. • Collect and review applicant CVs. • Shortlist the applicants based on their technical expertise, experience and financial offer (i.e. per diems). • Interview the shortlisted applicants.	• Monitor the technical performance of the consultants and ensure they are delivering on the tasks outlined in the terms of reference. • (Note: If the consultant is not performing well, the consultancy can be terminated.)	• Assess the performance of the consultant. • Complete a form (provided by HQs) indicating whether or not UNISDR should work with the consultant again in the future. • Complete an assessment for, provided by UNDP, if UNISDR is considering renewing a contract with a consultant.
PURPOSE	• Ensure the consultation is in line with regional priorities.	• Ensure there is a good fit between the applicant and the activity/project.	• Ensure results / deliverables are being achieved satisfactorily.	• Determine if the consultant is suitable to work with in the future.
WHO	• The Programme Officer prepares the terms of reference. (The terms of reference is created using a format provided by UNDP.)	• The Programme Officer	• The Programme Officer.	• Programme Officer
WHERE	• Arab States Region.	• Arab States Region.	• Arab States Region. • Sometimes UNDP assists in the monitoring of the consultant if the consultant is located outside Cairo.	• Arab States Region.
TIMING	• The need for the consultant must be defined 4 weeks before the project starts.	• The vacancy is advertised for approximately 10 days.	• Ongoing	• There are no formal time limits on when an assessment of the consultant is done.
AUTHORITY	• Head of Office	• Head of Office	• If the consultant is not performing well, the Head of Office has the authority to terminate the consultant based on the recommendation of the Programme Officer.	• Head of Office
BOTTLENECKS / BARRIERS		• UNDP adds conditions and rules to the process that are very time consuming. E.g. UNDP wants the consultant to sign their contract with an original signature. This adds a week to the process.		

Desired Characteristics of the Arab States Region Consultant Recruitment Process Map

- A global UNISDR roster that contains a list of pre-qualified consultants with generic skills would be useful. There are, however, two key issues that need to be taken into consideration:
  - o Much of the consultant work in the region is not "generic" and is very specific to their needs of the region.
  - o UNDP might have problems with a global roster built and maintained by Geneva. This is because the regional office has to do the advertising and screening in order for UNDP to issue a contract.
- Fast.
- Less bureaucratic.

Additional Notes on the Arab States Region Consultant Recruitment Process

- There are three levels of consultants (individual contractors).
  1. Consultants that do office work.
  2. Consultants that work on projects.
  3. Consultants that are from UN partners in the region.
- The work type 1 and 2 consultants do is very particular to the region. They typically have the same consultants working with them on a regular basis.
- Consultants are rarely hired from outside of the region and many consultants are home based.
- Three to five consultants are contracted per year.
- UNDP is their main service provider and assists the regional office in hiring consultants. (Note: In total, UNISDR Arab States pays approximately $50,000 per year to UNDP.)
- UNDP uses the same process to hire firms as they do to hire individual contractors.
- UNDP issues the contract to consultants.
- A key issue with UNDP is that there is no alternative to UNDP in the region. If UNDP does not provide good service then they have no recourse.
- Another issue with UNDP is that if the regional office does not comply with any step in the consultant recruitment process, it stalls. This can be very time consuming.

THE ASIA PACIFIC REGION
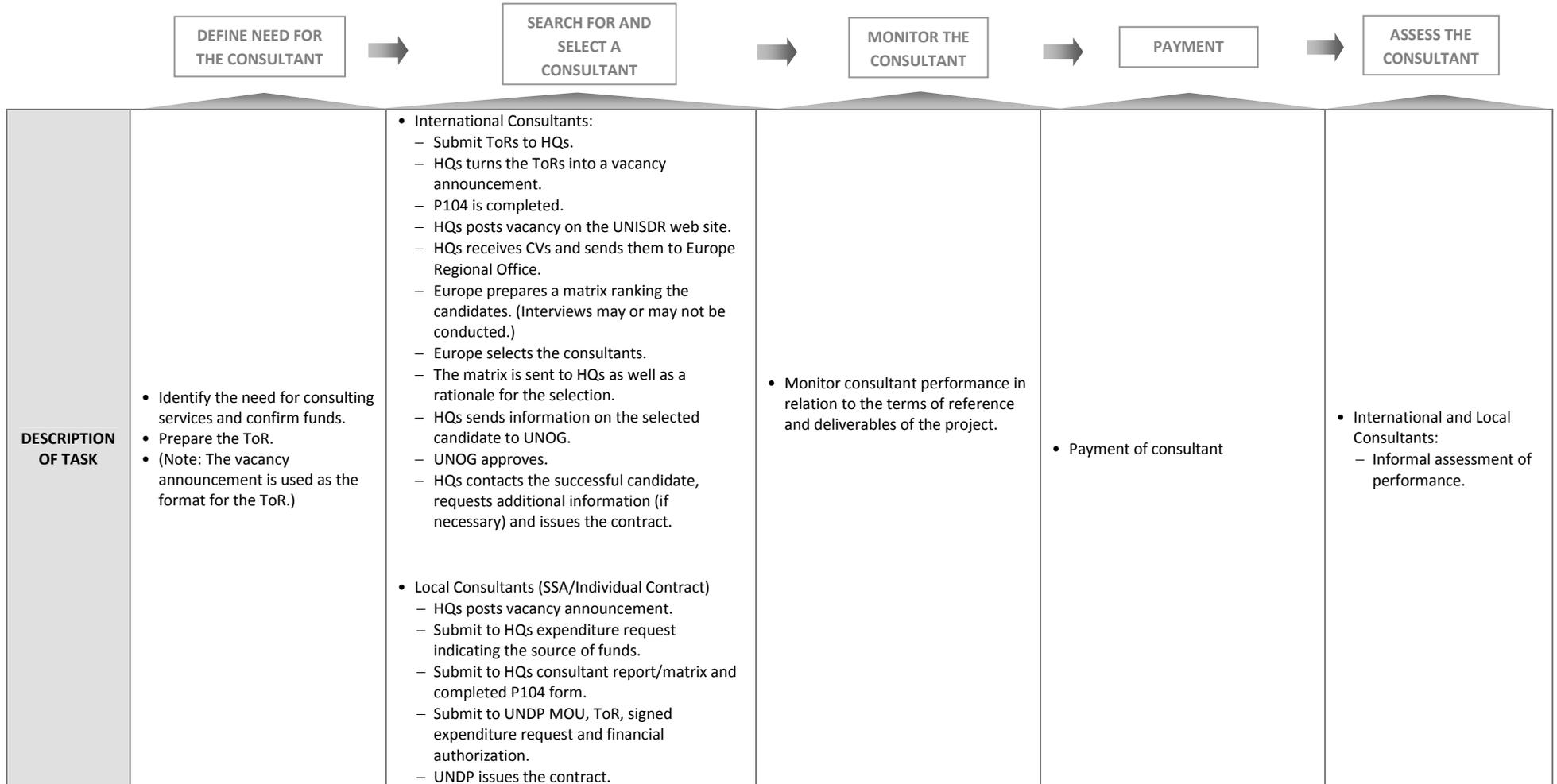
THE ASIA PACIFIC CONSULTANT RECRUITMENT PROCESS MAP

	DEFINE NEED FOR THE CONSULTANT	SEARCH FOR AND SELECT A CONSULTANT	MONITOR THE CONSULTANT	ASSESS THE CONSULTANT
DESCRIPTION OF TASK	• Determine why the consultant is needed. • Prepare the terms of reference. • Complete the payment instructions forms.	• Review the UNISDR informal roster of consultants. • If a suitable consultant is not found, review ESCAP's informal roster. • If a suitable consultant is still not found, advertise the position. • ESCAP creates the consultant contract.	• Monitor consultant performance in relation to the terms of reference and deliverables of the project. • (Note: If the work the consultant has performed is satisfactory at each milestone, UNISDR will tell ESCAP to issue a payment.)	• Assess the performance of the consultant.
PURPOSE	• Ensure the need for the consultant is in line with the outputs and objectives of UNISDR.	• Ensure there is a match between the skills of the consultant and the needs of the activity. • Ensure there is fairness in the recruitment process.	• Ensure desired results are on track to being achieved.	• Ensure the consultants delivered on the results stipulated in the terms of reference. • Allow the consultant's final payment to be processed. • Maintain institutional memory regarding the performance of the consultant.
WHO	• The Programme Officer defines the need.	• The Programme Officer	• The Programme Officer monitors the consultant.	• The Programme Officer conducts the assessment.
WHERE	• Bangkok	• Bangkok	• Bangkok	• Bangkok
TIMING	• The need for consultants is defined in the Regional Biennial Work Plan and the Regional Quarterly Work Plans. • The need for the consultant must be defined three to four weeks before the contract should begin.	• It takes 15 days to search for and select a consultant.	• The work of the consultant is monitored at each project milestone. • The work of the consultant is also monitored monthly.	• The assessment occurs at the contract end date.
AUTHORITY	• The Head of Office is the certifying officer. If the Head of Office does not certify the terms of reference it will not go to administration.	• The Head of Office, or the OIC (Officer in Charge), is the certifying officer.	• The Programme Officer and Head of Office sign off on the work of the consultant. • Once the Programme Officer and Head of Office sign off, a payment to the consultant is released. This authority is delegate if the Head of Office is not available.	• The Head of Office does the final approval of the assessment.

Additional Notes on the Asia Pacific Region Consultant Recruitment Process

- UNISDR AP typically hires 30 consultants a year.
- There are two types of consultants hired:
  o Consulting firms. (These are procured consultants.)
  o Individual Contractors (Consultancy Contracts). (These are handled by HRMS [ESCAP].)
- Individual contractors do the following work:
  o Develop collaboration frameworks.
  o Do studies and evaluations.
  o Support admin staff during peak periods.
- Consultants can be hired for 11 months per year or 24 months over three years.
- ESCAP sets the rate for the consultants. The maximum rate for a consultant is $500 dollars per day or $13,800 per month.

THE EUROPE REGION

THE EUROPE REGION CONSULTANT RECRUITMENT PROCESS MAP

DEFINE NEED FOR THE CONSULTANT	SEARCH FOR AND SELECT A CONSULTANT	MONITOR THE CONSULTANT	PAYMENT	ASSESS THE CONSULTANT

	DEFINE NEED FOR THE CONSULTANT	SEARCH FOR AND SELECT A CONSULTANT	MONITOR THE CONSULTANT	PAYMENT	ASSESS THE CONSULTANT
DESCRIPTION OF TASK	• Identify the need for consulting services and confirm funds. • Prepare the ToR. • (Note: The vacancy announcement is used as the format for the ToR.)	• International Consultants: – Submit ToRs to HQs. – HQs turns the ToRs into a vacancy announcement. – P104 is completed. – HQs posts vacancy on the UNISDR web site. – HQs receives CVs and sends them to Europe Regional Office. – Europe prepares a matrix ranking the candidates. (Interviews may or may not be conducted.) – Europe selects the consultants. – The matrix is sent to HQs as well as a rationale for the selection. – HQs sends information on the selected candidate to UNOG. – UNOG approves. – HQs contacts the successful candidate, requests additional information (if necessary) and issues the contract. • Local Consultants (SSA/Individual Contract) – HQs posts vacancy announcement. – Submit to HQs expenditure request indicating the source of funds. – Submit to HQs consultant report/matrix and completed P104 form. – Submit to UNDP MOU, ToR, signed expenditure request and financial authorization. – UNDP issues the contract.	• Monitor consultant performance in relation to the terms of reference and deliverables of the project.	• Payment of consultant	• International and Local Consultants: – Informal assessment of performance.

THE EUROPE REGION CONSULTANT RECRUITMENT PROCESS MAP

| DEFINE NEED FOR THE CONSULTANT | → | SEARCH FOR AND SELECT A CONSULTANT | → | MONITOR THE CONSULTANT | → | PAYMENT | → | ASSESS THE CONSULTANT |

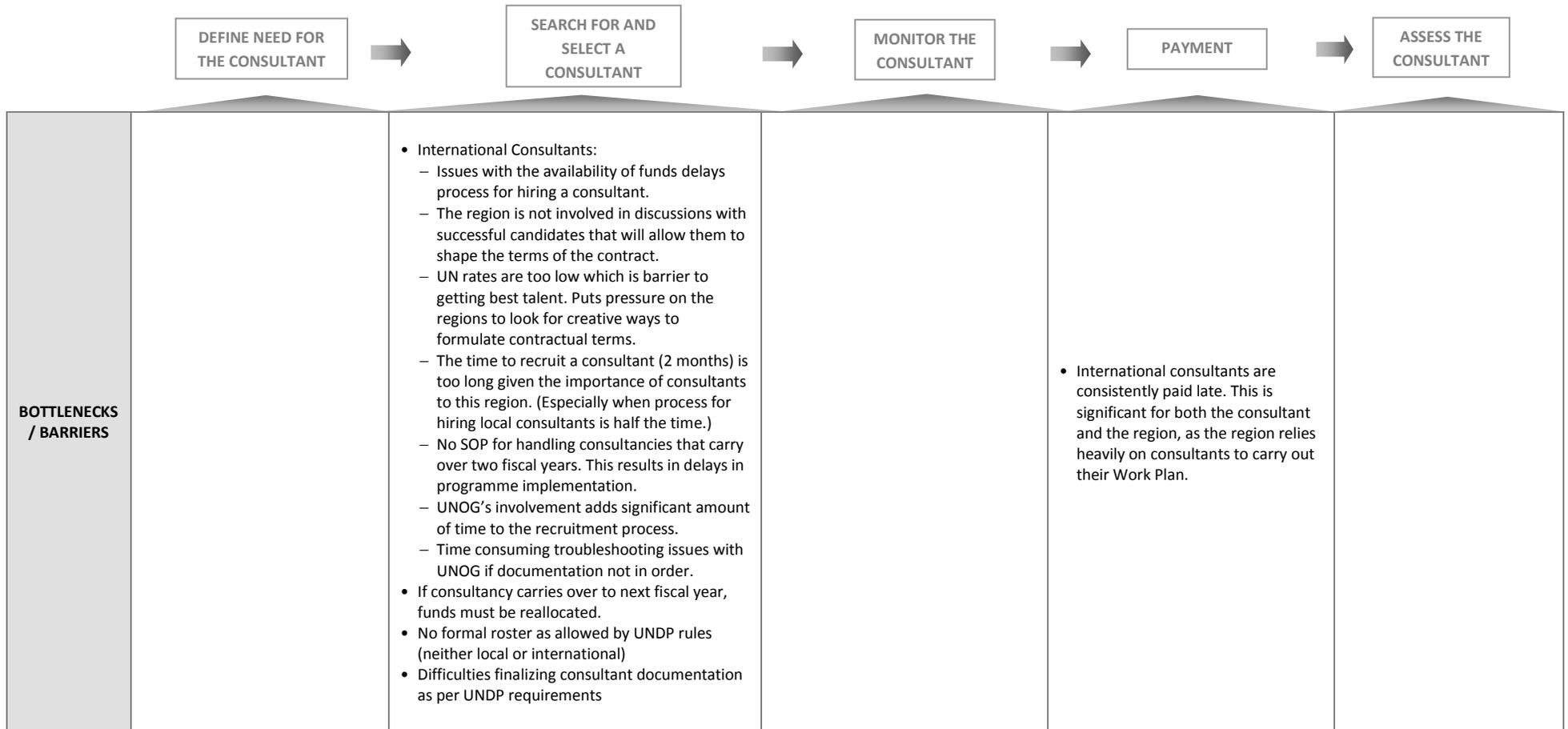|	DEFINE NEED FOR THE CONSULTANT	SEARCH FOR AND SELECT A CONSULTANT	MONITOR THE CONSULTANT	PAYMENT	ASSESS THE CONSULTANT
PURPOSE	• Begin the process of identifying external resources for work plan implementation	• International Consultants: − Ensure process follows UNOG rules. − Selection of most appropriate candidate for the position. • Local Consultants: − Ensure process follows UNDP rules. − Selection of most appropriate candidate for the position.	• Ensure desired results are on track to being achieved.	• Compensation for work performed	• Assess quality of performance.
WHO	• Regional staff.	• Regional office staff members. • HQs and service providers.	• Programme Officer	• Local Consultants: − Programme Officer sends authorization to admin support. − Admin support prepares payment request and interacts with UNDP. − Certifying Officer reviews and certifies request. − UNDP processes payment.	• Programme Officer
WHERE	• Europe Regional Office	• Europe Regional Office • HQs	• Europe Regional Office	• Europe Regional Office	• Europe Regional Office
TIMING	• One week to develop the ToR. • The need for consultants is defined in the biennial and quarterly Work Plans.	• Minimum of 2 months to recruit an International Consultants. • 3 to 4 weeks to hire a locally recruited consultant.	• The work of the consultant is monitored based on product delivery or at monthly installments.	• As needed according to the payment terms as stipulated in the contract	• At conclusion of contract
AUTHORITY	• The region has the authority to decide they need a consultant. • Head of Office confirms fund availability.	• International/National Consultants: − Region has authority to select the candidate. − UNOG/UNDP approves and signs off on contract. − HQs has authority to issue the contract.	• Programme Officer	• Certifying Officer and UNDP	• Programme Officer

THE EUROPE REGION CONSULTANT RECRUITMENT PROCESS MAP

DEFINE NEED FOR THE CONSULTANT	SEARCH FOR AND SELECT A CONSULTANT	MONITOR THE CONSULTANT	PAYMENT	ASSESS THE CONSULTANT

| BOTTLENECKS / BARRIERS | | • International Consultants:
  − Issues with the availability of funds delays process for hiring a consultant.
  − The region is not involved in discussions with successful candidates that will allow them to shape the terms of the contract.
  − UN rates are too low which is barrier to getting best talent. Puts pressure on the regions to look for creative ways to formulate contractual terms.
  − The time to recruit a consultant (2 months) is too long given the importance of consultants to this region. (Especially when process for hiring local consultants is half the time.)
  − No SOP for handling consultancies that carry over two fiscal years. This results in delays in programme implementation.
  − UNOG's involvement adds significant amount of time to the recruitment process.
  − Time consuming troubleshooting issues with UNOG if documentation not in order.
• If consultancy carries over to next fiscal year, funds must be reallocated.
• No formal roster as allowed by UNDP rules (neither local or international)
• Difficulties finalizing consultant documentation as per UNDP requirements | | • International consultants are consistently paid late. This is significant for both the consultant and the region, as the region relies heavily on consultants to carry out their Work Plan. | |

Desired Characteristics of the Europe Region Consultant Recruitment Process

• Fast process for hiring International Consultants.
• Opportunity to develop a formal roster / database (at the global and local levels) in keeping with UNDP rules.
• This will allow for shortened recruitment periods and potential cost savings.
• Consistent and timely payment of consultants.
• Headquarters facilitates cross-regional interaction to manage and share information on consultant recruitment.

Additional Notes on the Europe Region Consultant Recruitment Process

• The Europe Region uses both local consultants (i.e. national) and international consultants.
• For international consultants recruitment is done through HR at headquarters and UNOG.
• For local consultants recruitment is done with the support of UNDP.
• Unlike other regions, Europe does not use grants as a mechanism to carry out their work plan. Accordingly, consultants play a particularly significant role in this region. Their work includes, for example, organizing conferences, developing databases and conducting evaluations.
• In 2011, 8 consultants (international and local) were hired by the regional office, costing approximately $200,000 to $400,000.
• The process for hiring local consultants is 100% faster than the process for hiring international consultants (8 versus 4 weeks).