UNITED NATIONS
DEVELOPMENT GROUP

INTERNAL WORKING DOCUMENT

UN Delivering as One: Interim Report on Change Management Support to Pilot Countries

¬UN Delivering as One:
Interim Report on Change Management Support to Pilot Countries

Including report on key findings from capacity assessments in Tanzania, Rwanda and Mozambique and "Delivering as One" staff survey in Viet Nam

July 2008

Dalberg **Global Development Advisors**

and UN Global Change Management Support Team

CONTENTS

- **Overview of work done and planned**

- Capacity assessments

- Staff survey on Delivering as One and readiness for change

TERMS OF REFERENCE FOR CHANGE MANAGEMENT SUPPORT WORK AND PROGRESS TO DATE

Task from TOR	Progress to Date	Remaining Work
2.1. Developing and refining a common inter-agency change management approach and toolkit	• Created change management framework • Designed user's guides for framework steps and activities within each step (partially complete) • Collected and reviewed change management tools from agencies • Developed tools for use on country missions	• Complete user's guides to steps and activities • Develop and refine tools, focussing on those areas that have not been touched upon in country work during 2007 or 2008
2.2. Supporting UN Development Group Office and UN System Staff College (UNSSC) in designing the training, developing training materials, and delivering a week-long training session	• Organised initial workshop on 17-18 March for members of the Global Change Management Support Team (GCMST)	• Develop and conduct training session on change management for country teams – once purpose and audience for the training has been determined by the IATT
2.3. Implementing change management missions to the pilot countries and apprenticing the Agency colleagues	• Conducted change management missions to Albania, Mozambique, Rwanda, Tanzania, Uruguay and Viet Nam – covering a range of topics according to the country demand and with a very level of demand • Engaged agency colleagues as full members of the change management support teams (for the countries and for the toolkit work)	• Continue to support pilot countries based on their requests

WORK CONDUCTED AND PLANNED IN PILOT COUNTRIES (1/2)

Country	Work conducted or planned
Albania	• UNCT retreat for discussion of (a) overall change management planning for Delivering as One and (b) how to sustain motivation and focus on the rationale for One UN. *[completed – Feb]* • Facilitation of discussions on a working principles document for the UNCT. *[possible – Jul]* • Short version of capacity assessment to identify future capacity requirements for Delivering as One and facilitate UNCT discussion of how to meet those requirements. *[planned – late Sept/Oct]*
Cape Verde	• Facilitation of Joint Office retreat and UNCT workshop to discuss (a) reviewing objectives for Delivering as One in Cape Verde and progress to date and (b) change management priorities. *[planned – 21-25 July]* • Work on topics identified during first mission and in UNEG evaluability report *[possible]*
Mozambique	• Capacity assessment, focussed on numbers of staff required to deliver the One Programme and on qualitative skills needed for "Delivering as One". *[completed – Apr/May/Jun]*
Pakistan	• Support for capacity assessment, focussed on delivery of the One UN Programme in 2008-2010. *[possible – timing and nature of support to be determined]* • Support the UNCT in (a) identifying requirements for change and priorities for change management, (b) reviewing experience of UNCT with working as a team. *[possible]*

WORK CONDUCTED AND PLANNED IN PILOT COUNTRIES (2/2)

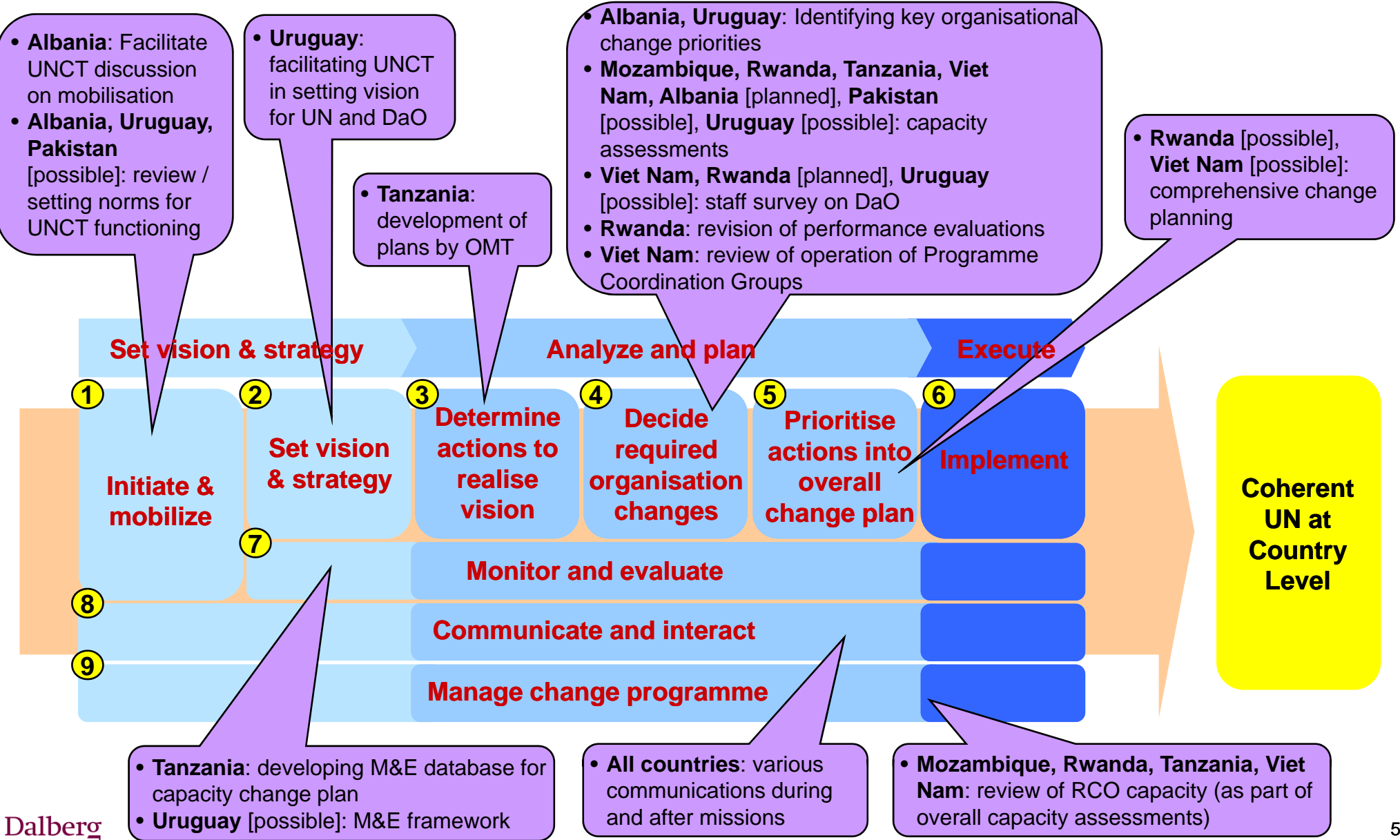| Country	Work conducted or planned
Rwanda	• Capacity assessment, focussed on capacity to deliver the current UNDAF and meet future requirements of Rwanda, and on how to make performance evaluations reflect contributions to "Delivering as One". *[completed – Apr/May/Jun]* • Staff survey on readiness for change and internal communications. *[planned – Oct/Nov]*
Tanzania	• Capacity assessment, focussed on delivery of Joint Programmes, future requirements of Tanzania, and implications of operations plans. *[completed – Feb/Mar]* • Development of a HR strategy and creation of a system to track progress towards agreed targets for changing the capacity mix in the UN system in Tanzania. *[possible]*
Uruguay	• Facilitation of UNCT retreat on (a) reviewing and clarifying the vision for Delivering as One in Uruguay and (b) developing norms to improve the functioning of the UNCT. *[completed – Apr/May]* • Staff survey on readiness for change and internal communications. *[planned – Jul/Aug]* • Support for development of an M&E framework for Delivering as One. *[possible]* • External stakeholder analysis and medium-term capacity assessment. *[possible]*
Viet Nam	• Staff survey on readiness for change and internal communications. *[completed – Apr/May/Jun]* • Capacity assessment, focussed on One Programme and including capacities to establish programmatic synergies to enhance development impact through Programme Coordination Groups (PCGs). *[in progress – May to Sept]* • Long-term change management planning. *[possible]*

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WHERE CHANGE MANAGEMENT SUPPORT INTERVENTIONS CONDUCTED TO DATE FIT INTO THE OVERALL CHANGE MANAGEMENT FRAMEWORK

- **Albania**: Facilitate UNCT discussion on mobilisation
- **Albania, Uruguay, Pakistan** [possible]: review / setting norms for UNCT functioning

- **Uruguay**: facilitating UNCT in setting vision for UN and DaO

- **Tanzania**: development of plans by OMT

- **Albania, Uruguay**: Identifying key organisational change priorities
- **Mozambique, Rwanda, Tanzania, Viet Nam, Albania** [planned], **Pakistan** [possible], **Uruguay** [possible]: capacity assessments
- **Viet Nam, Rwanda** [planned], **Uruguay** [possible]: staff survey on DaO
- **Rwanda**: revision of performance evaluations
- **Viet Nam**: review of operation of Programme Coordination Groups

- **Rwanda** [possible], **Viet Nam** [possible]: comprehensive change planning

Set vision & strategy   **Analyze and plan**   **Execute**

1. **Initiate & mobilize**
2. **Set vision & strategy**
3. **Determine actions to realise vision**
4. **Decide required organisation changes**
5. **Prioritise actions into overall change plan**
6. **Implement**
7. **Monitor and evaluate**
8. **Communicate and interact**
9. **Manage change programme**

Coherent UN at Country Level

- **Tanzania**: developing M&E database for capacity change plan
- **Uruguay** [possible]: M&E framework

- **All countries**: various communications during and after missions

- **Mozambique, Rwanda, Tanzania, Viet Nam**: review of RCO capacity (as part of overall capacity assessments)

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CONTENTS

- Overview of work done and planned

- **Capacity assessments**
    - **Context**
    - **Typical terms of reference**
    - **Methodology**
    - **Key findings from the assessments on (a) current capacity, (b) reported short-term capacity needs for One Programme, (c) reported medium-term programmatic capacity needs, (d) capacity implications of "One Office" / operations strategy**
    - **Action plans made by UNCTs to change capacities**

- Staff survey on Delivering as One and readiness for change

CONTEXT – POLICY AND STRATEGIC DIRECTIONS FOR THE UN COUNTRY-LEVEL CHANGE PROCESS

❖ **Focus on developing national capacities**
  – "Capacity development and national ownership of national development strategies are essential" *[TCPR 2007]*
  – "… make effective use of existing capacities and harmonise support for capacity development accordingly " *[Paris Declaration 2005]*
  – "… each joint programme had to project the comparative advantage of the UN and include a combination of the four priority areas of support: policy/advocacy, normative and technical support, capacity development and civil society partnerships" *[Mozambique One Programme]*

❖ **Shift from UN management of programmes to national execution as much as possible**
  – "… further mainstreaming national execution … as the preferred implementation modality for operational activities for development of the UN" *[TCPR 2007]*
  – "… use country systems and procedures to the maximum extent possible" *[Paris Declaration 2005]*
  – "Many of the challenges that the UN will need to overcome resonate with principles articulated in the Joint Assistance Strategy for Tanzania… shifting towards the use of national systems in place for disbursement and reporting requirements" *[Tanzania One Programme]*

❖ **Reduce transaction costs**
  – "… high priority needs to be given to lowering transaction costs … and improving efficiency … Explore to what extent and in what ways savings on transaction cost can be channelled into programme funding ... Make increased use of national systems for support services" *[TCPR 2007]*
  – "In keeping with the principles of the Hanoi Core Statement, the participating UN Organizations will strive to simplify and harmonize their business processes, and progressively align with Government systems and procedures, to the maximum extent possible" *[Viet Nam One Plan Management Plan]*

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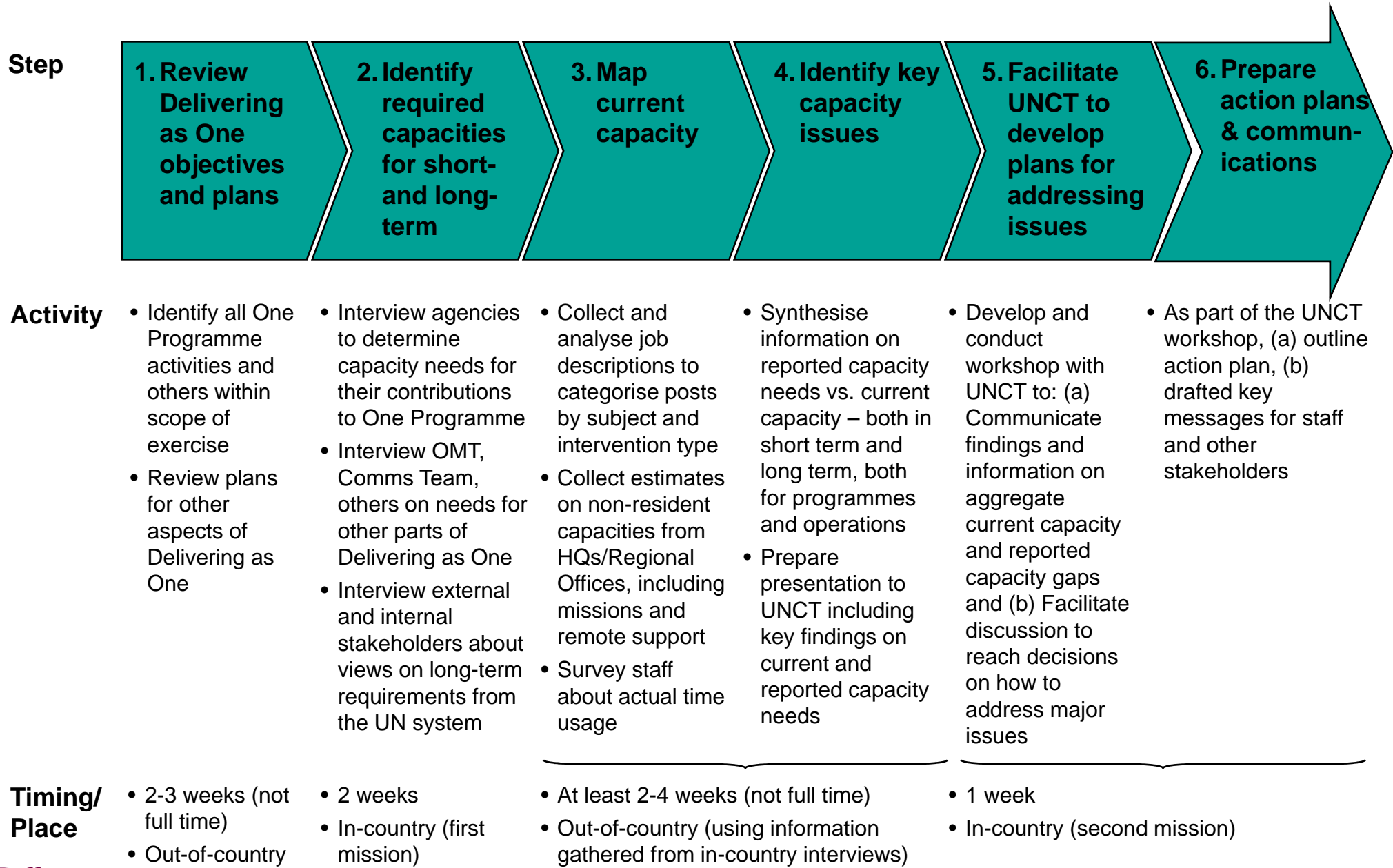# TERMS OF REFERENCE – KEY ELEMENTS SPECIFIED BY PILOT COUNTRIES*

❖ **Current capacity assessment** – to provide a 'snapshot' of the capacities deployed by the UN system for work in the country at present

❖ **Short-term capacity needs** – to identify the capacities required to deliver the One UN Programme/UNDAF, for back-office functions under One Office plans and for implementing the rest of Delivering as One

❖ **Medium-term capacity needs** – to identify the capacity required for the UN to meet future country needs, including in many cases the need for increased engagement in policy dialogue processes

❖ **Action plans** – to present recommendations to the UNCT for actions to address findings

* Countries varied slightly in the exact wordings of their TORs (see appendix for details). Some added extra items, e.g., Rwanda asked the team to propose changes to performance reviews to recognise contributions to Delivering as One, Viet Nam asked for an assessment of capacities to deliver programme synergies through its Programme Coordination Groups

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METHODOLOGY – UNDERLYING PRINCIPLES

Principle adopted by team

Implications for methodology

- Count **all** capacity, and allow for all business models

- Approach includes counting:
    - Capacity relevant to all UN activities (not just One Programme)
    - Both resident capacity and non-resident capacity
    - Both "sustained"/"office" and "targeted"/"project" capacity
    - Both programmatic and operational/back-office-support capacity, at all levels, i.e., internationally recruited, national officers, GS, etc.

  and takes no view on whether given models are better or worse for given work to be done

- Avoid assessing individuals

- Capacity analysis based on job descriptions; no review of individuals' CVs or performance reviews – which means that the capacity assessment does not assess quality, effectiveness or efficiency of the actual capacity deployed

- Don't try to define capacity requirements ourselves

- Capacity needs assessments based primarily on interviews with heads of agencies and stakeholders

- Take a UN-system-wide view

- Emphasis on findings presented in terms of the capacity of the system as a whole, presenting at agency level only when it is needed to highlight important issues for system as a whole or when trying to develop solutions that must be implemented by individual agencies

- Leave decision-making entirely to the UNCT *

- No specific recommendations – only findings – brought to the UNCTs; instead facilitated their discussions to develop ideas and make decisions

* Note that UNCT members would be expected to consult with their HQs or Regional Offices in the normal manner for their agency's level of delegation of authority, in contributing to UNCT decision-making.

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METHODOLOGY – KEY STEPS AND ACTIVITIES

Step	1. Review Delivering as One objectives and plans	2. Identify required capacities for short- and long-term	3. Map current capacity	4. Identify key capacity issues	5. Facilitate UNCT to develop plans for addressing issues	6. Prepare action plans & commun-ications
Activity	• Identify all One Programme activities and others within scope of exercise • Review plans for other aspects of Delivering as One	• Interview agencies to determine capacity needs for their contributions to One Programme • Interview OMT, Comms Team, others on needs for other parts of Delivering as One • Interview external and internal stakeholders about views on long-term requirements from the UN system	• Collect and analyse job descriptions to categorise posts by subject and intervention type • Collect estimates on non-resident capacities from HQs/Regional Offices, including missions and remote support • Survey staff about actual time usage	• Synthesise information on reported capacity needs vs. current capacity – both in short term and long term, both for programmes and operations • Prepare presentation to UNCT including key findings on current and reported capacity needs	• Develop and conduct workshop with UNCT to: (a) Communicate findings and information on aggregate current capacity and reported capacity gaps and (b) Facilitate discussion to reach decisions on how to address major issues	• As part of the UNCT workshop, (a) outline action plan, (b) drafted key messages for staff and other stakeholders
Timing/ Place	• 2-3 weeks (not full time) • Out-of-country	• 2 weeks • In-country (first mission)	• At least 2-4 weeks (not full time) • Out-of-country (using information gathered from in-country interviews)		• 1 week • In-country (second mission)	

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METHODOLOGY – CAPACITY CATEGORISATION FRAMEWORK

Category	Options		
Subject areas	• Agriculture & Rural Development • Children & Youth • Development Policy • Disaster Management • Education • Employment • Energy & Natural Resources • Environment • Food Security & Nutrition • Gender	• Governance & Public Sector Reform • Health (including Reproductive Health and excluding HIV / AIDS) • HIV and AIDS • Human Rights • Humanitarian • Industry & Trade and Private Sector Development • Information Technology	• Law & Justice • Macroeconomics • Population • Public Financial Management • Social Protection • Tourism and Culture • Transport & Infrastructure • Urban Development and Housing • Water & Sanitation
Intervention types	• Advisory – Policy • Advisory – Technical Assistance • Advocacy • Research • Programme Management • Direct Service • Operations – Management • Operations – Finance	• Operations – Human Resources • Operations – Procurement • Operations – ICT • Operations – Logistics • Operations – Transport • Operations – Facilities • Operations – Protocol • Operations – Security	• Operations – General Admin • General Management • Inter-Agency Coordination • Development Partner Coordination • Programme Communications • Media / Public Information • Resource Mobilisation • Monitoring & Evaluation
Levels of seniority	• Senior • Medium • Basic		

• See appendix for definitions.
• Some posts split over multiple intervention types and subject areas – hence count full-time equivalent (FTE) capacity numbers.
• Level of seniority can differ for different intervention types for a single post.
• Most non-resident capacity counted as Advisory – Policy/TA at Senior level.

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FINDINGS ON CURRENT CAPACITY:
UN CAPACITY BY ORGANISATION/UNIT FOR CURRENT PROGRAMMES
(showing average of breakdowns in Tanzania, Rwanda & Mozambique)

Percentage of FTEs

Legend:
- Resident "Sustained" / "Office" Capacity
- Resident "Targeted" / "Project" Capacity
- Non-resident Capacity
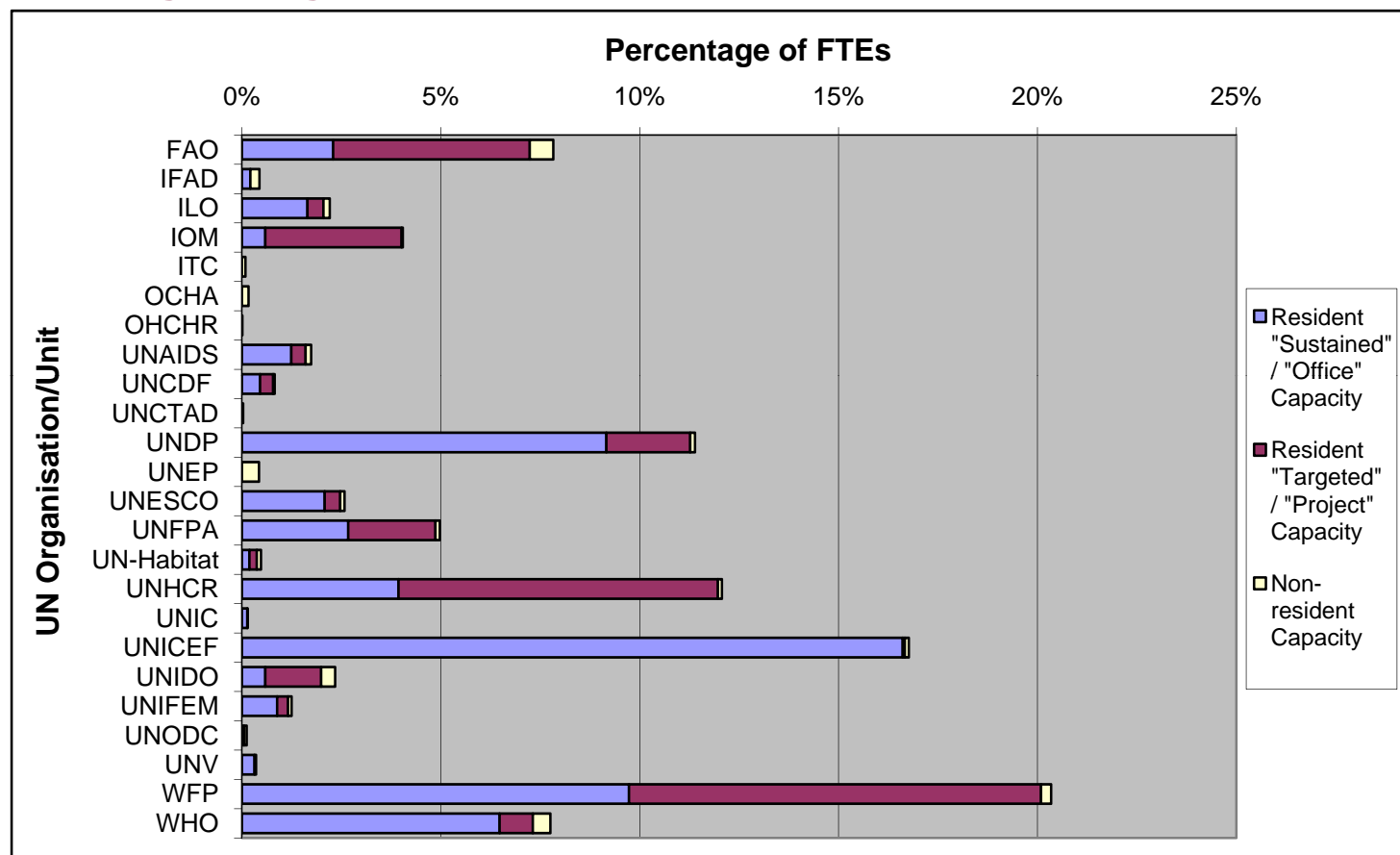
UN Organisation/Unit	Non-Resident as % of Total
FAO	7.6%
IFAD	51.8%
ILO	7.1%
IOM	0.8%
ITC	100.0%
OCHA	100.0%
OHCHR	100.0%
UNAIDS	8.0%
UNCDF	4.8%
UNCTAD	100.0%
UNDP	1.1%
UNEP	100.0%
UNESCO	4.2%
UNFPA	2.2%
UN-Hab.	21.9%
UNHCR	0.8%
UNIC	4.8%
UNICEF	0.6%
UNIDO	15.1%
UNIFEM	7.3%
UNODC	56.5%
UNV	11.5%
WFP	1.3%
WHO	5.7%
UN System	**3.6%**

- >10% non-resident
- >5% non-resident

Capacity mix for different agencies reflect different business models.

N = 2040.3 FTE total. FTE = full-time equivalent.

Notes: (1) See Appendix for definitions of capacity categories, including "sustained" and "targeted". (2) Average weights equally each of the three countries – Tanzania, Rwanda and Mozambique. (3) The term "targeted" includes mainly project and humanitarian staff. Humanitarian staff – mainly in Tanzania – were not considered for the purposes of most of the Tanzania UNCT's decision-making. (4) IOM is not a UN organisation, but is included because it several countries include IOM in their UNCT. (5) Data does not include""targeted" capacity not reported to teams by some agencies in some countries. (6) Minor changes to data may occur as UNCTs in Rwanda and Mozambique review final reports of their capacity assessments. (7) None of the results are much affected by the issues referred to in these notes.

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FINDINGS ON CURRENT CAPACITY:
BREAKDOWN OF ALL CAPACITY BY ALL INTERVENTION TYPES
(showing average of breakdowns in Tanzania, Rwanda & Mozambique)
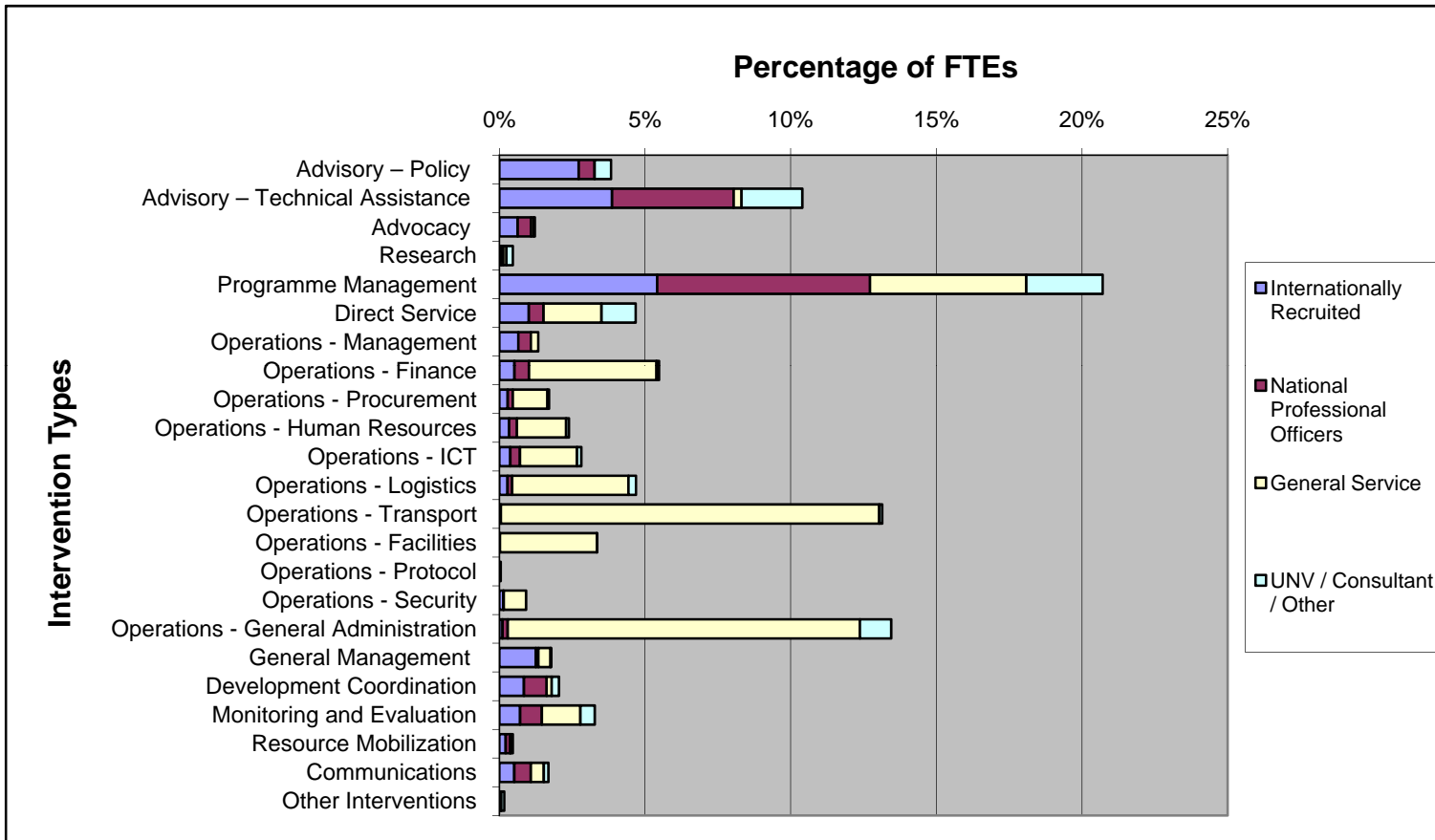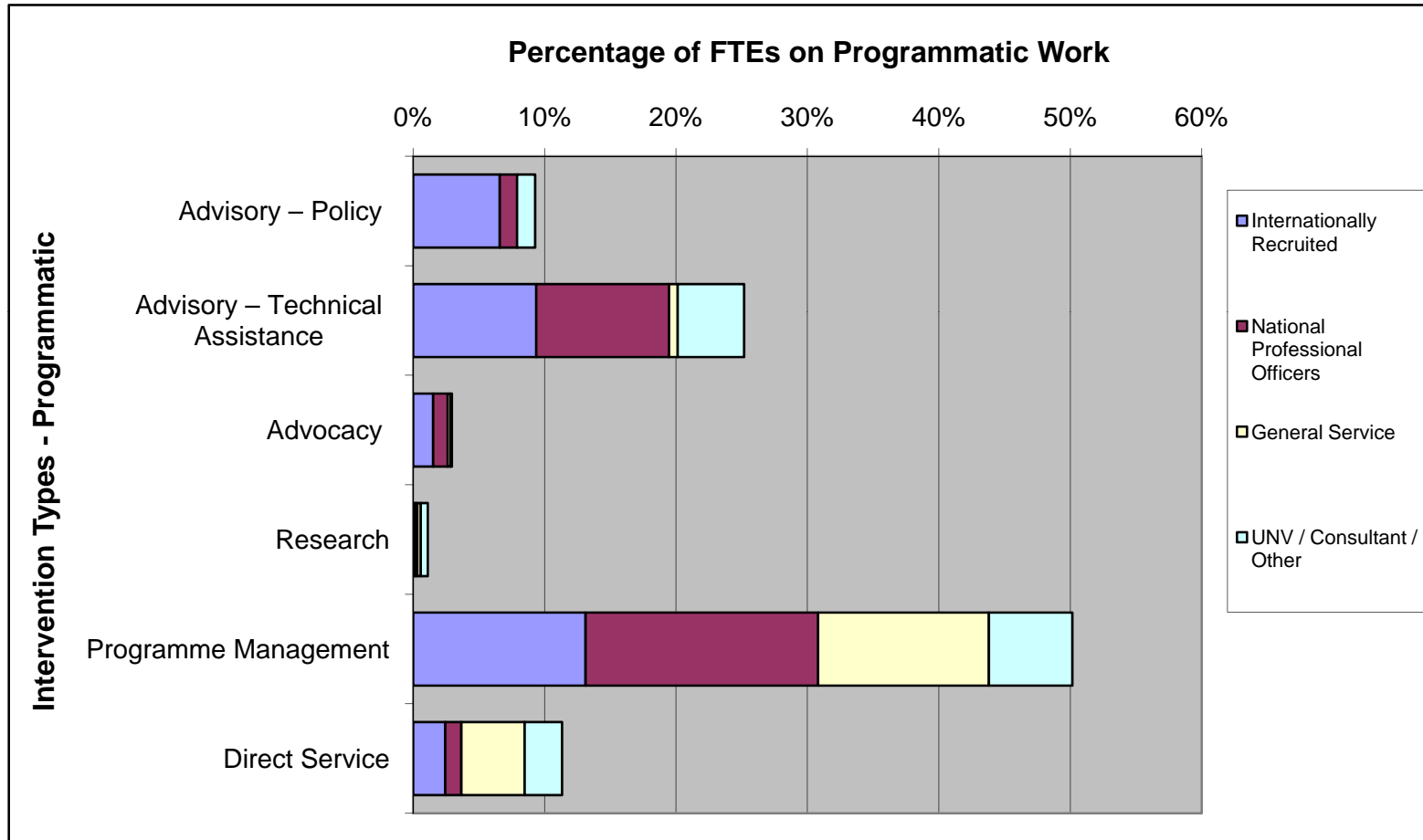

Note: Similar proportions seen in each of the three countries.

N = 2040.3 FTE total. FTE = full-time equivalent.

Notes: (1) This chart presents information on current capacity, without any judgment about the appropriateness of the capacity for current programmes. (2) See Appendix for definitions of capacity categories, including the intervention types. (3) Average weights equally each of the three countries – Tanzania, Rwanda and Mozambique. (4) Capacity includes both resident and non-resident capacity; most project staff except for some agencies in some countries that did not provide the relevant information; humanitarian staff where desired requested by the UNCT (but results would not differ much if all humanitarian staff were excluded). (5) Minor changes to data may occur as UNCTs in Rwanda and Mozambique review final reports of their capacity assessments. (6) None of the results are much affected by the issues referred to in these notes.

Source: Dalberg-UN GCMST capacity assessment teams' review of job descriptions in Tanzania, Rwanda and Mozambique; corroborated by responses to a staff questionnaire about roles and current allocations of time to different work.

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FINDINGS ON CURRENT CAPACITY:
BREAKDOWN OF ALL CAPACITY FOR PROGRAMMATIC INTERVENTIONS
## (showing average of breakdowns in Tanzania, Rwanda & Mozambique)

N = 788.9 FTE s total devoted to programmatic intervention work, which includes resident and non-resident capacity. FTE = full-time equivalent.
Notes: See notes on slide 13, all of which apply here.
Source: Dalberg-UN GCMST capacity assessment teams' review of job descriptions in Tanzania, Rwanda and Mozambique; corroborated by responses to a staff questionnaire about roles and current allocations of time to different work.

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FINDINGS ON CURRENT CAPACITY: BREAKDOWN OF TIME ALLOCATION BY INTERVENTION TYPES AS REPORTED BY PROGRAMMATIC STAFF, COMPARED WITH BREAKDOWN FROM JOB DESCRIPTION ANALYSES

(showing average of breakdowns in Tanzania, Rwanda & Mozambique)

Percentage of Time in Staff Questionnaire Responses / FTEs in JD Analysis
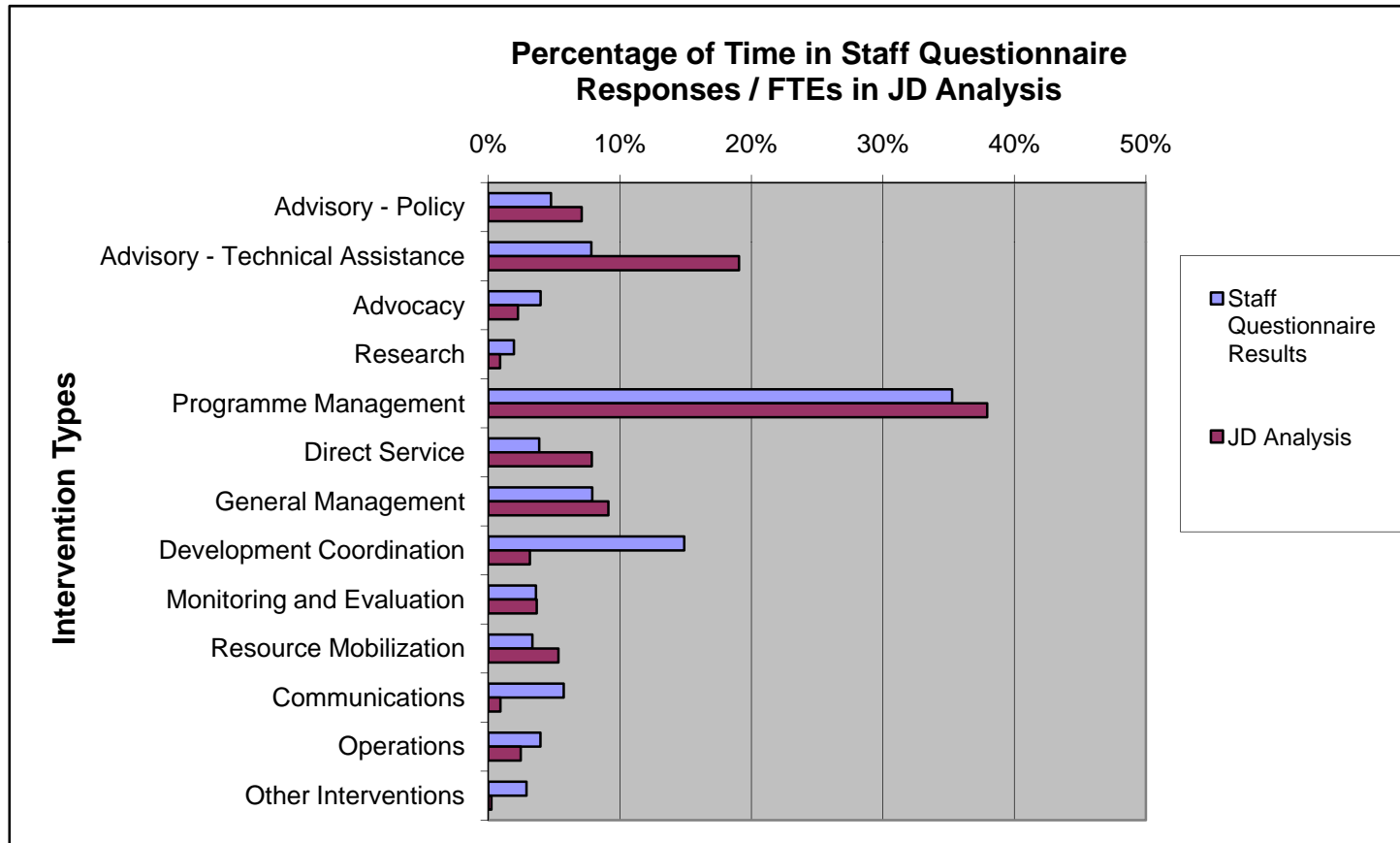
Staff time allocation questionnaire findings are well aligned with JD analysis results – both overall as shown in the chart and in all three countries separately – indicating consistent findings from two very different methodologies.
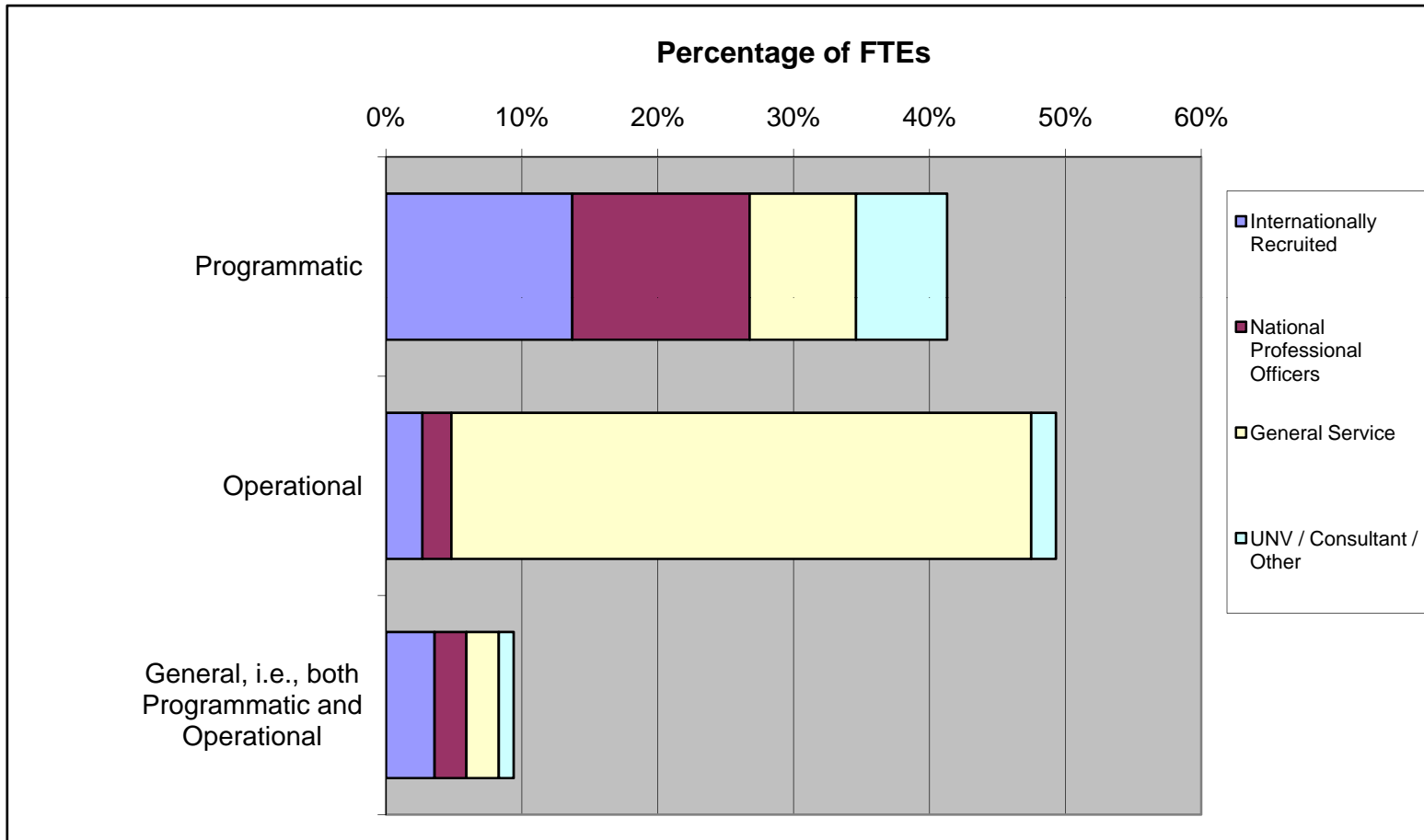
Main difference is that the staff questionnaire indicates less advisory work and more coordination work than the JD analysis.

N = 355 respondents to staff questionnaire self-identified as "programmatic staff"; 1031.9 FTE s for JD analysis, including resident staff identified as programmatic and all non-resident capacity.   FTE = full-time equivalent.

Notes: See notes on slide 13, all of which apply here.

Source: Dalberg-UN GCMST staff questionnaire about roles and current allocations of time to different work, and review of job descriptions in Tanzania, Rwanda and Mozambique.

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FINDINGS ON CURRENT CAPACITY:
BREAKDOWN OF ALL CAPACITY INTO PROGRAMMATIC / OPERATIONAL
(showing average of breakdowns in Tanzania, Rwanda & Mozambique)

Percentage of FTEs

Legend:
- Internationally Recruited
- National Professional Officers
- General Service
- UNV / Consultant / Other

Categories (vertical axis): Programmatic; Operational; General, i.e., both Programmatic and Operational

Note: Similar proportions seen in each of the three countries.
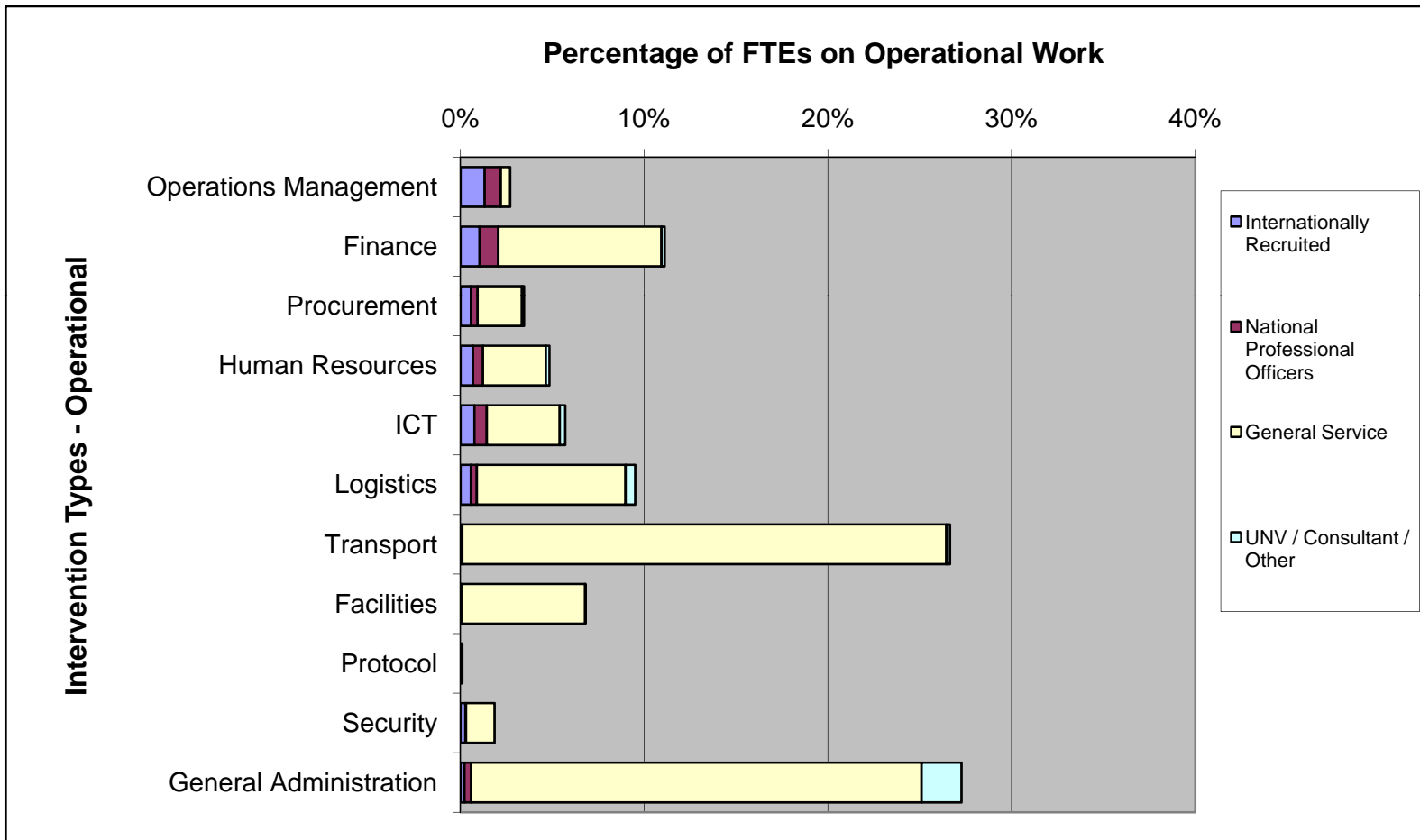
Note: Cost of operational capacity lower than programmatic capacity (due to lower cost of General Service capacity).

N = 2040.3 FTE total. FTE = full-time equivalent.
Notes: See notes on slide 13, all of which apply here.
Source: Dalberg-UN GCMST capacity assessment teams' review of job descriptions in Tanzania, Rwanda and Mozambique; corroborated by responses to a staff questionnaire about roles and current allocations of time to different work.

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FINDINGS ON CURRENT CAPACITY:
BREAKDOWN OF ALL CAPACITY FOR OPERATIONAL INTERVENTIONS
(showing average of breakdowns in Tanzania, Rwanda & Mozambique)

Percentage of FTEs on Operational Work

Intervention Types - Operational:
- Operations Management
- Finance
- Procurement
- Human Resources
- ICT
- Logistics
- Transport
- Facilities
- Protocol
- Security
- General Administration

Legend:
- Internationally Recruited
- National Professional Officers
- General Service
- UNV / Consultant / Other

Note: Similar proportions seen in each of the three countries.

N = 1047.1 FTE s total devoted to operational intervention work. FTE = full-time equivalent.
Notes: See notes on slide 13, all of which apply here.
Source: Dalberg-UN GCMST capacity assessment teams' review of job descriptions in Tanzania, Rwanda and Mozambique; corroborated by responses to a staff questionnaire about roles and current allocations of time to different work.

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REPORTED SHORT-TERM CAPACITY NEEDS FOR ONE PROGRAMME: ILLUSTRATIVE EXAMPLE FROM TANZANIA

FTEs	Intervention Type	Subject Area [and Notes]
0.5	Advisory – Policy	Employment (shared with JP5)
1.0	Advisory – TA	Industry and Trade
1.0	Advisory – TA	Water, Sanitation & Education
1.0	Programme Mgmt / Advisory – TA	Employment [agreed that at least 50% of work should be technical assistance]
1.0	Operations	Admin Assistant [to be reallocated from existing capacity]
4.5	**Total needed for JP1**	
a.b	[Rest not shown]	[Rest of detail not shown]
…	……….	…………………
X.Y	**Total needed for JP2**	
…	……….	…………………
X.Y	**Total needed for JP3**	
…	……….	…………………
X.Y	**Total needed for JP4**	
…	……….	…………………
X.Y	**Total needed for JP5**	
…	……….	…………………
…	……….	…………………
X.Y	**Total needed for JP6.1 & 6.2**	

1. Wealth creation, employment & economic empowerment

2. Maternal & newborn mortality reduction

3. HIV/AIDS

4. Capacity strengthening for development mgmt.

5. Capacity building support to Zanzibar

6. 1 - NW Tanzania transition; **2** – National disaster preparedness

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REPORTED LONG-TERM CAPACITY NEEDS FOR PROGRAMMES: UNCTS, GOVERNMENTS AND DONORS INTERVIEWED EXPRESSED DESIRE TO SEE THE UN SHIFT "UPSTREAM" …

"What do you see as the intervention type mix in 5-10 years' time?"
  ➢ *Selected quotes from interviews with gov't, donors and UNCT members*

"We want the UN to move away from projects. They have small programmes, not ones that really affect the economy… We want them to help us prepare strategies for different sectors and doing small interventions with big impact"

- Finance ministry official

"Get out of projects that doing what gov't should … get out of issue-specific policy advice just linked to projects"

- Donor

"We spend too much effort getting money for more small projects .. not enough on policy dialogue with government"

- UNCT member

"Many people doesn't mean strength … there are too many UN staff, but it is more a question of their effectiveness"

- Gov't officer from line ministry

"If you go to the UN [with a policy question] you get a budget proposal … if you to the World Bank you get quality analysis"

- Donor

"We are already shifting – and need to continue to do so – to more technical work, less on projects … support on regulation … more normative and research work"

- UNCT member

"UN should recruit more experts … rather than doing simple jobs that can be delegated to implementing agencies"
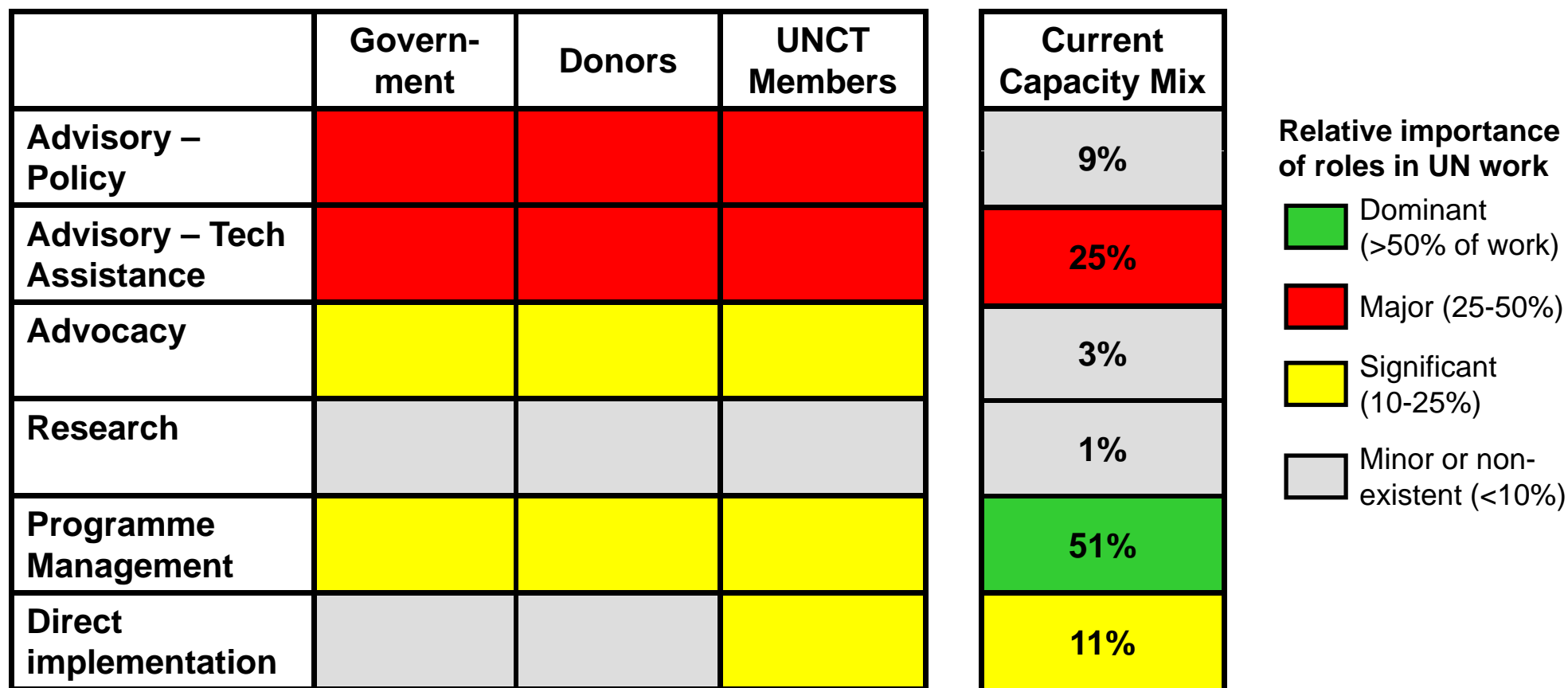
- Gov't officer from line ministry

"Selfishly, we'd like the UN to continue to do programmes … but real UN value will be in policy advice"

- Donor

Note: Additional quotes provided in Appendix.
Source: Dalberg-UN GCMST interviews with agencies and other stakeholders in Tanzania, Rwanda, Mozambique and Viet Nam

… TO DO MORE ADVISORY AND ADVOCACY WORK AND LESS PROGRAMME MANAGEMENT COMPARED WITH TODAY …

"What do you see as the intervention type mix in 5-10 years' time?"

> *Table of findings based on combination of mini-surveys asking interviewees from gov't, donors and UNCT to describe their ideal mix, and qualitative answers to questions*

	Govern-ment	Donors	UNCT Members	Current Capacity Mix
Advisory – Policy	Red	Red	Red	9% (grey)
Advisory – Tech Assistance	Red	Red	Red	25% (red)
Advocacy	Yellow	Yellow	Yellow	3% (grey)
Research	Grey	Grey	Grey	1% (grey)
Programme Management	Yellow	Yellow	Yellow	51% (green)
Direct implementation	Grey	Grey	Yellow	11% (yellow)

Relative importance of roles in UN work

- Green: Dominant (>50% of work)
- Red: Major (25-50%)
- Yellow: Significant (10-25%)
- Grey: Minor or non-existent (<10%)

CAPACITY IMPLICATIONS OF OPERATIONS / "ONE OFFICE" PLANS: POTENTIAL CAPACITY SYNERGIES EXIST IN OPERATIONS

Possible "One Office" Actions and Capacity Implications

- Greater use of government systems for financial management and procurement – where UN capacity could move to government or UN capacity could switch role to one of capacity building.

- Upgrading Human Resources from administration to strategic activities – requiring changes in HR staff skills.

- Integration of ICT services & equipment, especially if there is a common premises – limited capacity implications, mainly equipment cost savings.

- Introduction of an inter-agency dispatch service for transportation, possible without common premises but made easier by such premises.

- Integrated general administrative support in common premises.

- Consolidation of facilities services and security, if there is a common premises.

Could reduce Operations capacity needs (perhaps by 5-20% of "sustained" capacity) or allow same Operations capacity to support larger programmes.

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ACTIONS PLANNED BY UNCTS:
APPROACH TO UNCT CAPACITY PLANNING WORKSHOPS

❖ Typical workshop agenda included:
- Presentation and discussion of key findings on current capacity in the UN system (with little or no agency-specific capacity data)
- Series of sessions to develop actions on meeting needs for One Programme, meeting expected long-term programmatic needs, implications of One Office / operations plans [Tanzania], general skills needs [Tanzania, Mozambique], performance mgmt [Rwanda]
- Formulation of an action/implementation plan
- Drafting of key messages for communication to staff and external stakeholders.

❖ Time spent on different topics, and facilitation approaches, were adjusted according to UNCT priorities and styles.

❖ Discussions typically bring up:
- Country context factors, especially regarding the capacity of government to take over tasks that the UN might want to reduce (and/or to finance them)
- Agency business models, as members of the UNCT bring their agency's models to bear on different issues
- Need to make sure that capacity plans are congruent with programmatic plans.

Different country contexts, agency business models, etc. led to very different actions planned in the three countries.
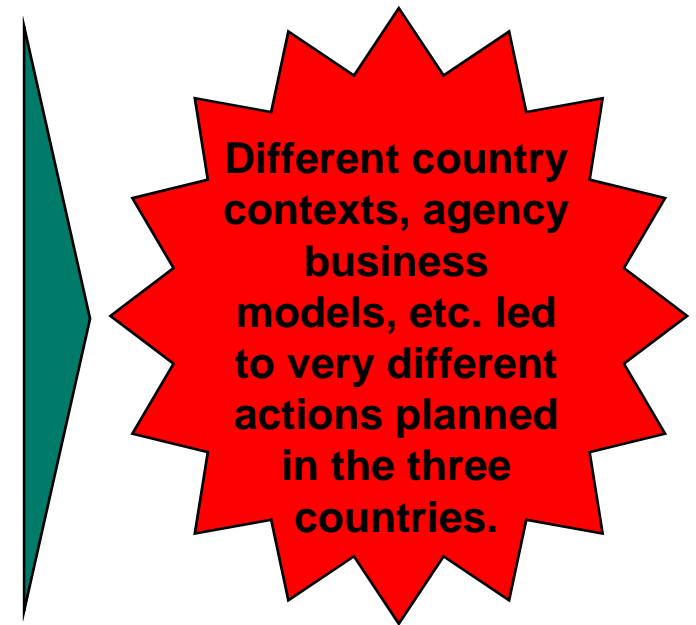
ACTIONS PLANNED BY UNCTS: TANZANIA

- Short-term capacity actions to deliver on One Programme, in 2008-9, will be to:
  - Recruit approx. 8 new positions in Policy and Technical Assistance to support the Joint Programmes – with funding from various sources.
  - Limit creation of new Programme Management and Operations posts for Joint Programmes as much as possible, so that the overall staffing balance shifts towards Policy and Technical Assistance.
  - Implement plans to save costs on procured goods & services and on ICT.
  - Launch key actions on organisational culture, systems & processes, and incentives.

- The UNCT set targets for reducing the number of staff dedicated to Programme Management and Operations and increasing the numbers dedicated to Policy/TA/Advocacy/Research, over the period from 2009-2012, and has identified key actions to take to achieve those targets, including:
  - Developing specific strategies with government for policy advice and TA in each major sector – and implementing these in Joint Programmes
  - Reducing the programme mgmt workload by increasing funding to government through basket modalities and shifting programme mgmt tasks to government
  - Creating a HR plan for shifting staff from Programme Mgmt/Operations to Policy/TA/Advocacy/Research
  - Establishing M&E database to track progress towards the targets.

ACTIONS PLANNED BY UNCTS: RWANDA

- Rebalance UN capacities to have more policy advice / TA / advocacy, but only to significant degrees once government's capacity to manage programmes has been built up. Therefore:
  - Build up policy advisory capacity in the short term by completing planned appointments of policy advisors for each of the theme group areas
  - "Right-size" the proportion of capacity dedicated to programme mgmt over time
  - Launch a dialogue with government about increasing the government's capacity for programme mgmt, and refine capacity building programs as needed.

- Develop an inter-agency approach to HR management:
  - Create a common database of all UN staff in Rwanda, and their skills/areas of expertise
  - Coordinate (a) recruiting and (b) training/skill-building
  - Use inter-agency staff mobility to implement shifts in capacity, where possible.

- Strengthen Theme Groups and cross-cutting Task Forces:
  - Ensure each is chaired by a Head of Agency or deputy, and members are senior enough
  - Track attendance by all members
  - Fund and recruit a Senior Policy Advisor, and recruit policy advisors for all Theme Groups
  - Allocate 50% of each communication officer's time to a specific Theme Group.

- Make staff accountable for Delivering as One, and:
  - Make at least one key result on each staff member's performance evaluation related to Delivering as One, and also include Delivering as One among supporting activities
  - Have second reviewer for relevant staff from another agency on Theme Group / Task Force.

ACTIONS PLANNED BY UNCTS: MOZAMBIQUE

- With regard to short- and longer-term capacity needs:
  - Have already right capacity (more or less) to deliver on UNDAF and One Programme
  - Will need more Policy Advice and Technical Assistance over time as these services become increasingly important; must maintain Programme Management because government needs this; should end Direct Service work (although there is not much of this outside humanitarian situations)
  - Create common system of M&E and increase FTEs to upgrade capacity in this area
  - Engage World Bank and IMF – both through invitations to UNCT meetings and at the programmatic level – to benefit from their policy expertise.

- With regard to inter-agency working groups for the UNDAF and OMT:
  - Include WG workplans in agency workplans
  - Create matrix of members/alternates from all agencies, and master calendar of meetings
  - Increase delegation of authority to WGs, and have relevant HoAs act as focal point advisors from the UNCT to each WG
  - Include 180-degree peer feedback from other WG members in evaluations.

- With regard to processes, incentives, behaviours and organisational culture:
  - Incorporate DaO activities in workplans and DaO skills and activities in performance evaluations
  - Conduct inter-agency dialogues with ministries, to show 'One Voice'
  - Communicate better DaO and its benefits, and measure communication activities.

CONTENTS

- Overview of work done and planned

- Capacity assessments

- **Staff survey on Delivering as One and readiness for change**
  - **Objectives and approach**
  - **Key findings from the staff survey in Viet Nam**

OBJECTIVE AND APPROACH TO STAFF SURVEY ON "DELIVERING AS ONE" AND READINESS FOR CHANGE

Objectives

Understand staff attitudes to and readiness for "Delivering as One", so that UNCT can develop actions to address issues and create 'building blocks of change'

Structure of Staff Survey

Part 1 – Assessment of current staff attitudes to "Delivering as One"
- Knowledge of "Delivering as One"
- Belief in "Delivering as One"
- View of progress on "Delivering as One"

Part 2 – Assessment of 'building blocks of change'
- Clear direction
- Leadership
- Capabilities & skills
- Motivation & incentives
- Accountability
- Organisational culture & values
- Manageability of the work
- Perceptions of external support from each of (a) HQs, (b) government, (c) donors

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VIET NAM STAFF SURVEY FINDINGS:
UNDERSTANDING OF ONE UN – *What, in your view, is the most important objective for the One UN Initiative in Viet Nam?*

Reducing the level of bureaucracy in the UN system

Reducing the internal cost of the UN system

Reducing the cost and burden to the government of working with the UN

Increasing the impact of UN's programmes on beneficiaries — 14%

Increasing the UN's impact on Viet Nam's development — 19%

Other — 4%

4%

3%

4%

Increasing coordination among agencies — 29%

Making the UN a more effective partner to the government — 22%

> **Impact on Viet Nam's development, effectiveness of support to government and impact on beneficiaries – all externally focused objectives – account for more than 50% of responses.**

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VIET NAM STAFF SURVEY FINDINGS:
UNDERSTANDING OF ONE UN – *What, in your view, is the most important reason why the One UN Initiative is being pursued?*

Pressure from Staff   Other
Responding to pressure from Headquarters
1%   5%
8%
Responding to Donors
14%
Desire by the Country Team to improve UN's performance
49%
22%
Responding to Government demands
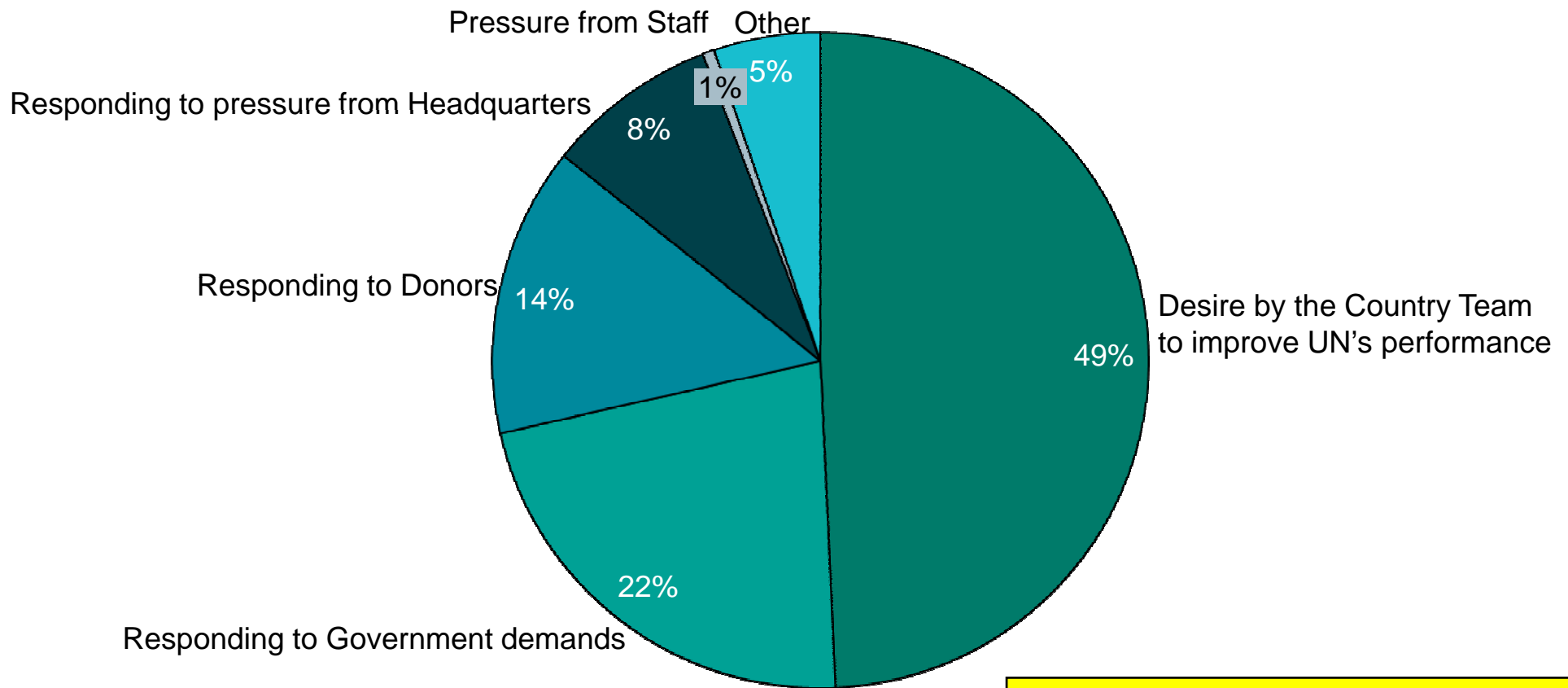
About half believe the One UN Initiative was primarily an internal initiative – driven by the Country Team.

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VIET NAM STAFF SURVEY FINDINGS:
VIEWS ON PROGRESS – *How much progress has the One UN Initiative on each of the following?*

Legend:
- Don't know
- Appears that dis-improvement may happen
- Not yet clear if there will be improvements
- Clear plan in place that makes it likely to happen
- Improvements already happening

Category	Improvements already happening	Clear plan in place	Not yet clear	Appears dis-improvement	Don't know	N=
*Increasing coordination among agencies	28%	46%	22%	3%	1%	147
*Making the UN a more effective partner to the government	9%	43%	39%	6%	3%	148
*Making the UN more environmentally sustainable	6%	43%	34%	14%	3%	147
*Increasing human rights-based approaches and promoting gender equality in projects and programming	9%	39%	39%	13%	1%	148
Increasing the UN's impact on Viet Nam's development	6%	34%	48%	9%	4%	343
*Reducing the cost and burden to government of working with the UN system	5%	29%	48%	11%	7%	148
*Reducing the internal cost of the UN system	5%	27%	47%	12%	9%	148
*Reducing the level of bureaucracy in the UN system	5%	19%	46%	18%	11%	147

- **Staff have a realistic view of progress – i.e., mainly increased coordination so far.**
- **Progress – especially on impact – is an important motivator for staff, so there may be a need to reinforce what progress is being made.**

* Not asked in short version of the survey
Source: Dalberg-UN GCMST Viet Nam Staff Survey
May 2008; GCMST analysis

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VIET NAM STAFF SURVEY FINDINGS:
EXTENT TO WHICH "BUILDING BLOCKS OF CHANGE" ARE IN PLACE TODAY – *Computed average scores for relevant questions from all versions of survey.**

Legend:
- ■ (Almost) fully in place (Score > 3.66)
- ■ Halfway in place (Score >2.33 and <3.66)

Not at all in place			Fully in place
1	2	3	4	5

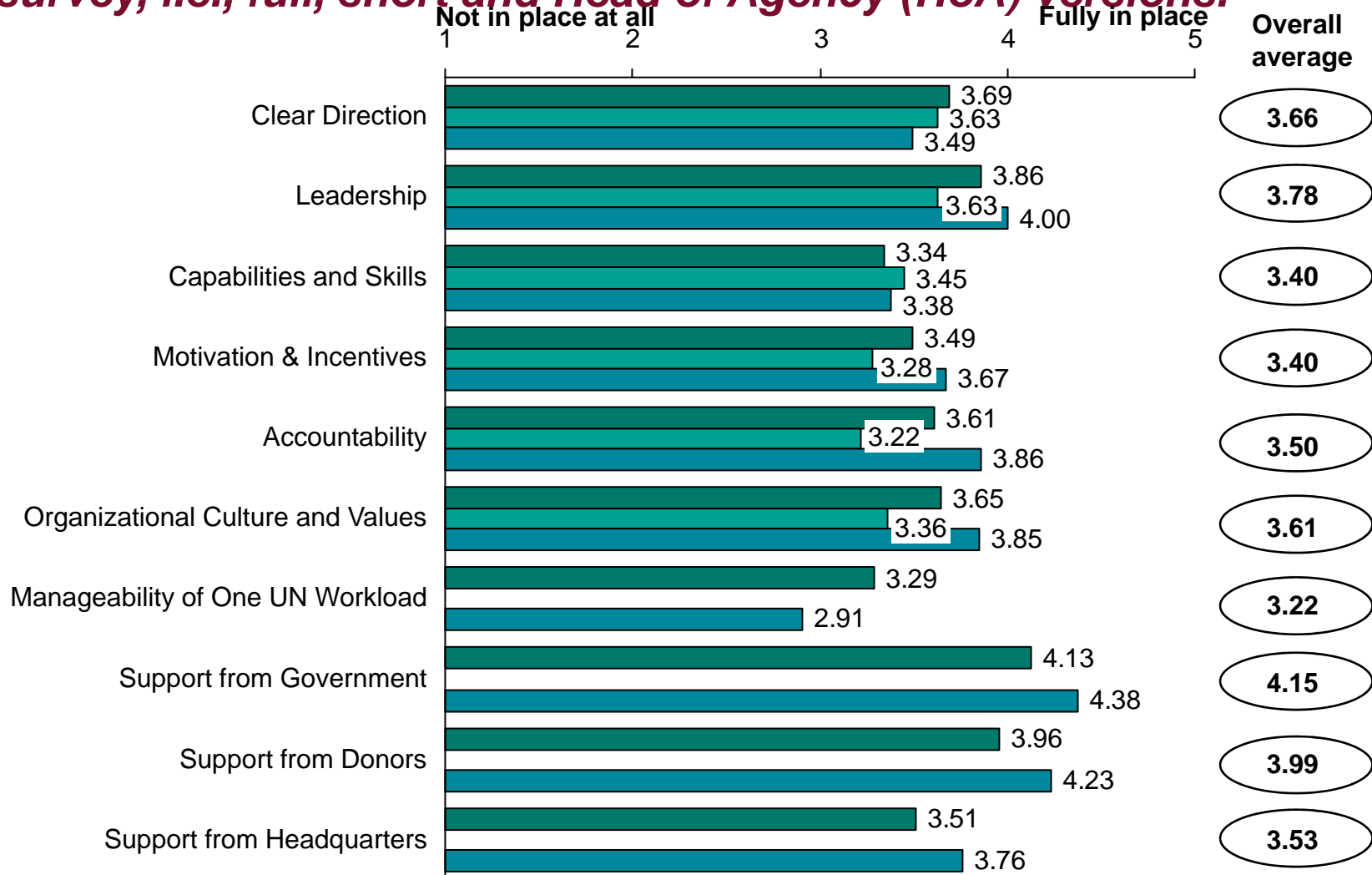| Building Block	Score
Clear Direction	3.66
Leadership	3.78
Capabilities and Skills	3.40
Motivation & Incentives	3.40
Accountability	3.50
Organizational Culture and Values	3.61
Manageability of One UN Workload	3.22
Support from Government	4.15
Support from Donors	3.99
Support from Headquarters	3.53

2.33   3.66

Most of the "building blocks" seem to be fairly well in place.

* Note: This shows the overall average per building block by adding up the sum of responses and dividing by the number of responses by building block. N differs by building block and ranges from 294 to 370 for questions asked on both full and short versions of the survey, and from 118 to 150 for questions only asked on the full version.
Source: Dalberg-UN GCMST Viet Nam Staff Survey May 2008; GCMST analysis

Dalberg

VIET NAM STAFF SURVEY FINDINGS:
EXTENT TO WHICH "BUILDING BLOCKS" ARE IN PLACE TODAY –
Computed average scores for relevant questions from each version of survey, i.e., full, short and Head of Agency (HoA) versions.

Legend:
- Full Survey – Min N = 118*
- Short Survey – Min N =176*
- HoA Survey – N=13

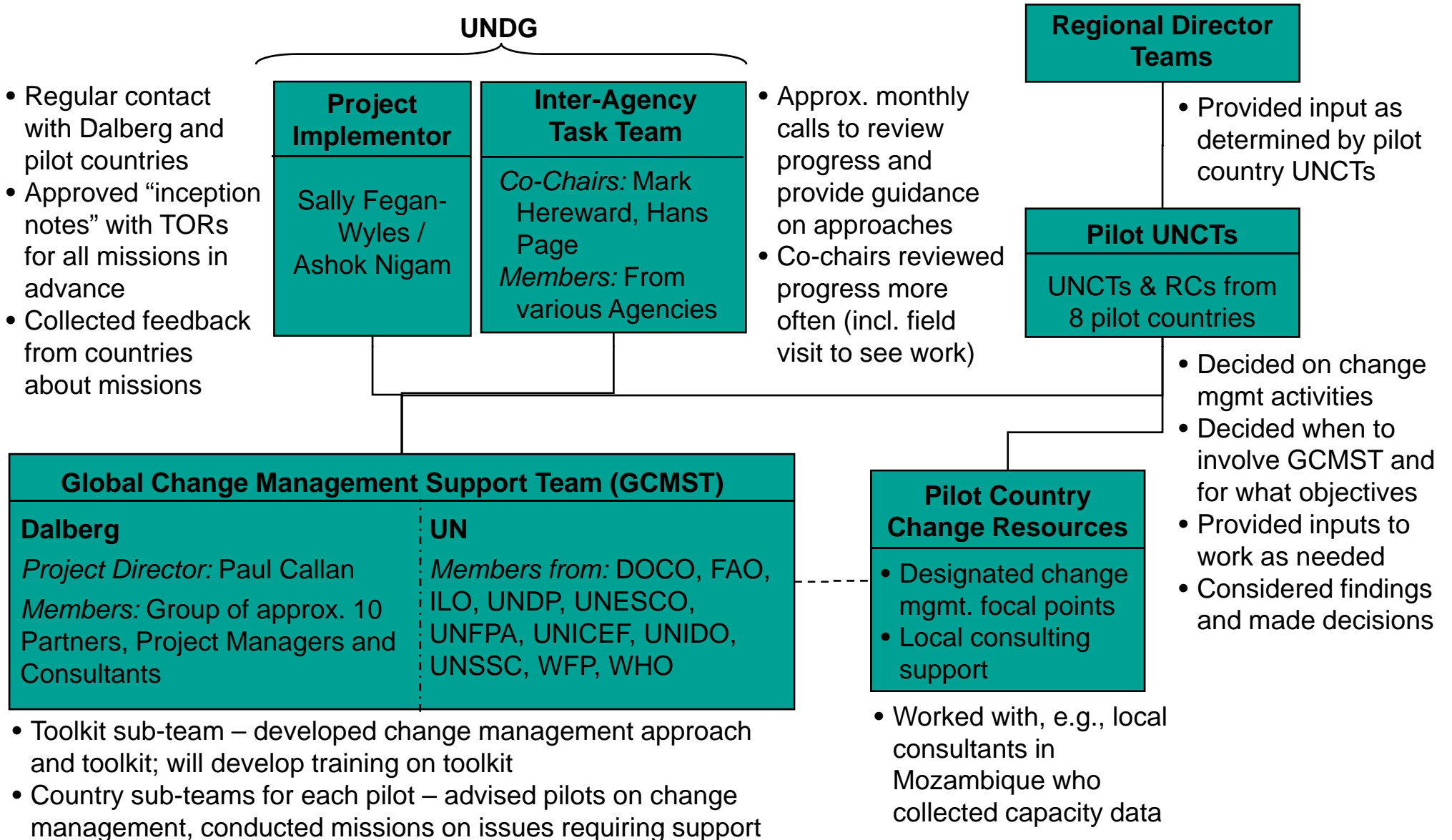| Building Block	Not in place at all (1) ────── Fully in place (5)	Overall average
Clear Direction	3.69 / 3.63 / 3.49	3.66
Leadership	3.86 / 3.63 / 4.00	3.78
Capabilities and Skills	3.34 / 3.45 / 3.38	3.40
Motivation & Incentives	3.49 / 3.28 / 3.67	3.40
Accountability	3.61 / 3.22 / 3.86	3.50
Organizational Culture and Values	3.65 / 3.36 / 3.85	3.61
Manageability of One UN Workload	3.29 / 2.91	3.22
Support from Government	4.13 / 4.38	4.15
Support from Donors	3.96 / 4.23	3.99
Support from Headquarters	3.51 / 3.76	3.53

Respondents have similar views on the "building blocks" – those heavily involved in One UN (who did the full survey), those not much involved to date (who did the short survey) and HoAs.

Note: For the short and HoA versions, the questions that form a building block are a subset of those questions that form the building block in the full version
* N differs by question and building block due to the drop out rate in the survey (max would be N=150 for the full version and N=220 for the short version)
Source: Dalberg-UN GCMST Viet Nam Staff Survey May 2008; GCMST analysis

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APPENDIX

- Project organisational structure

- Additional information on capacity assessments
  - Terms of reference for capacity assessments in Tanzania, Rwanda, Mozambique and Viet Nam
  - Definitions used for categorising capacity

PROJECT ORGANISATIONAL STRUCTURE

UNDG

Regional Director Teams

- Regular contact with Dalberg and pilot countries
- Approved "inception notes" with TORs for all missions in advance
- Collected feedback from countries about missions

Project Implementor
Sally Fegan-Wyles / Ashok Nigam

Inter-Agency Task Team
Co-Chairs: Mark Hereward, Hans Page
Members: From various Agencies

- Approx. monthly calls to review progress and provide guidance on approaches
- Co-chairs reviewed progress more often (incl. field visit to see work)

- Provided input as determined by pilot country UNCTs

Pilot UNCTs
UNCTs & RCs from 8 pilot countries

- Decided on change mgmt activities
- Decided when to involve GCMST and for what objectives
- Provided inputs to work as needed
- Considered findings and made decisions

Global Change Management Support Team (GCMST)

Dalberg	UN
Project Director: Paul Callan *Members:* Group of approx. 10 Partners, Project Managers and Consultants	*Members from:* DOCO, FAO, ILO, UNDP, UNESCO, UNFPA, UNICEF, UNIDO, UNSSC, WFP, WHO

Pilot Country Change Resources
- Designated change mgmt. focal points
- Local consulting support

- Toolkit sub-team – developed change management approach and toolkit; will develop training on toolkit
- Country sub-teams for each pilot – advised pilots on change management, conducted missions on issues requiring support

- Worked with, e.g., local consultants in Mozambique who collected capacity data

Dalberg and **UN** Global Change Management Support Team

—— Reporting relationship
---- Working-level relationship

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TERMS OF REFERENCE FOR CAPACITY ASSESSMENTS (1/2)

Tanzania

❖ To profile the capacity (person hours) and the competency (skill sets) required to deliver on the six Joint Programmes in the One UN Programme and the remaining results in the UNDAF II, other Joint Programmes like ESMIS, and back office functions as they stand after implementation of the OMT work plan.

❖ To assess the capacity of the UN to increase its engagement in policy dialogue processes at the sector, cluster, and main PER level.

❖ To assess the technical capacities and the competency available within the UN system in Tanzania, including external UN support to agencies in Tanzania and the division of labor between agencies to implement the same programmes and results, also taking into consideration the UNs positioning within the wider DPG division of labor.

❖ To use the previous three stages as a basis to develop a view of the balance or imbalance in capacity and competency supply and demand; this analysis should identify critical capacity gaps, overlaps, synergies and technical requirements, segmenting the same by agency, based on the division of labor.

❖ To present clear recommendations to the CMT for actions to address the findings, proposing specific strategies with associated rationales and responsibilities by UN stakeholders. The recommendations should be costed , to enable the UN system to select the most suitable/cost-effective approaches and to mobilize resources for their implementation

Rwanda

❖ To profile the capacity (person hours) and the competency (skill sets) required to deliver on the One UN Programme (based upon the Common Operational Document and the Consolidated Annual Workplans), as well as back office functions as they stand after the implementation of the action plan of the Operations Management Team (OMT)

❖ To assess the capacity of the UN to increase its engagement in policy dialogue processes at the different levels;

❖ To develop a view of the balance or imbalance in capacity and competency supply and demand; this analysis should identify critical capacity gaps, overlaps, synergies and technical requirements, segmenting the same by agency, based on the division of labour;

❖ To present clear recommendations to the UNCT for actions to address the findings, proposing specific strategies with associated rationales and responsibilities by UN stakeholders. The recommendations should be costed, to enable the UN system to select the most suitable/cost-effective approaches and to mobilize resources for their implementation.

TERMS OF REFERENCE FOR CAPACITY ASSESSMENTS (2/2)

Mozambique

- ❖ To conduct baseline study of the capacities available within the UN system to implement the four Pillars of the UNDAF 2007-2009, (Governance, Human Capital, HIV/AIDS and Economic Development) as well as any specific UN agency activities currently not captured in the UNDAF and UN's capacity to implement the 4 ones of the One UN initiative (One programme, One Leader, One Budget and One Services)

- ❖ To identify critical capacity gaps and technical requirements that will need to be urgently filled, if the UN is to move forward in an effective and coherent manner in the implementation of the UNDAF and the Delivering as one: Operational Plan of the UN in Mozambique (2007-2009)

- ❖ To present clear recommendations to the UNCT for actions that can be taken up as part of an overall change management strategy. The recommendations should be accompanied by a costed menu of options that will enable the UN system to both select the most suitable approaches, and work to mobilize resources for its operationalisation

Viet Nam

- ❖ To conduct baseline study of the capacities available within the UNCT to implement the five 'Ones' of the One UN initiative and the additional inter-agency reform instruments as developed (M&E Framework, OPMP)
- ❖ To conduct an in-depth review of the capacities available within the UNCT to coherently implement the five Outcomes of the One Plan / One Budget 2006 – 2010, including the capacities to establish programmatic synergies to enhance development impact through the Programme Coordination Groups (PCGs).
- ❖ To review the One UN Communications example and draw lessons for the wider change management and HR strategy related to joint teams.
- ❖ To identify critical capacity gaps and technical requirements that will need to be urgently filled, if the UN is to move forward in an effective and coherent manner in the implementation of the One Plan 2006 – 2010, with a result-based management and rights based programming approach, taking into account cross cutting issues of gender and HIV.
- ❖ To analyze the current capacities within the UNCT in relation to future needs when Viet Nam reaches Middle-Income Status, based on the UN comparative advantages in this context.
- ❖ To present analytical findings to the UNCT for actions that can be taken up as part of an overall change management strategy.

DEFINITIONS OF CAPACITY – DEFINITIONS OF INTERVENTION TYPES *

Intervention type	Description / definition
• Advisory – Policy	• Advice given on policy choices and strategic planning to ministers and senior civil servants.
• Advisory – Technical Assistance	• Advice given on how to implement policies and strategies, at national or local levels. Note that activities labelled "capacity building" will normally be categorised as Advisory-Technical Assistance, although capacity building can also happen through policy work, programme management, research and advocacy.
• Advocacy	• Either (a) lobbying government or other decision-makers or (b) persuading people to change behaviour (including taking up general programmes but not the specific programme under consideration). Responses to requests from decision-makers for advice count as Advisory-Policy or Advisory-Technical Assistance rather than Advocacy. Work that is marketing part of a project to get people to adopt the services being offered counts as Programme Management or Direct Service rather than Advocacy.
• Research	• Information gathering and analysis designed to produce reports for general use, not specifically related to a given piece of advisory or advocacy work.
• Programme Management	• Designing, supporting implementation of, and monitoring and reporting on programmes. Can refer to posts of very different levels (as is the case with other intervention types), e.g., Programme Officers, Assistants and Associates all work on Programme Management.
• Direct Service	• Provision of services direct to beneficiaries, e.g., food distribution.
• Operations	• Includes financial administration, human resources management, procurement, ICT services, transport and logistics, facilities maintenance, protocol, security and general administration – some of which may be related particular programmes and some of which may be related to general functioning of agency offices.
• General Management	• General direction and management of an agencies' country office, including establishing strategic direction, responsibility for signing off on key actions and staff management. Includes inter-agency coordination work at senior levels.
• Inter-Agency Coordination	• Activities to coordinate UN organisations in the country (including work Delivering as One and convening development partners to discuss UN coordination).
• Development Partner Coordination	• Activities to coordinate development partners in the country (not including convening them to discuss UN activities).
• Programme Communications	• Activities to communicate with external stakeholders, the general public, and staff, about programmes.
• Media / Public Information	• Activities to communicate with external stakeholders, the general public, and staff, on issues not related to specific programmes.
• Resource Mobilisation	• Activities to identify and raise resources, including meetings/presentations and proposal development.
• Monitoring & Evaluation	• Specialist work to establish systems for monitoring programmes or other work and to evaluate formally such work. Does not include regular monitoring and reporting on programmes, which counts as Programme Management.

* Note: These working definitions were created by GCMST teams to enable the conduct of this exercise, Their inclusion here should not be taken to imply that they have inter-agency endorsement as standard terms.

DEFINITIONS OF CAPACITY – DEFINITIONS OF LEVELS OF SENIORITY *

Intervention type	Description / definition of levels of seniority (H=High; M=Medium; L=Low)
• Advisory – Policy	• H=advises ministers and senior civil servants and leads development of major policy papers; M=advises mid-level officials or senior provincial officials and prepares policy briefs; L=supports policy advice through research guided by experts.
• Advisory – Technical Assistance	• H=regarded as a leading expert, providing input on the most important technical issues; M=provides technical advice to government ministries and other major partners; L=provides technical assistance at staff level in ministries or other partners.
• Advocacy	• H=designs major advocacy campaigns and leads interactions with senior stakeholders such as ministers; M=manages implementation of advocacy plans and interacts with key stakeholders in government and elsewhere; L=supports advocacy work through preparing materials, targeted research, etc.
• Research	• H=conceives and leads major research projects, regarding as an expert; M=leads small research efforts and/or parts of major research projects; L=conducts research work with guidance from others.
• Programme Management	• H=provides strategic direction and management to large programme areas / sets of programmes & projects; M=manages smaller programmes and/or projects; L=conducts research on programmes to support planning, monitoring and reporting.
• Direct Service	• H=leads service provision, establishing processes and providing guidance to others; M=manages day-to-day service provision; L=conducts service work usually with guidance from others.
• Operations	• H=leads operational service provision, establishing processes and providing guidance to others; M=manages day-to-day operational service provision; L=conducts operational work usually with guidance from others.
• General Management	• H=provides strategic direction and organizational management for large agency or unit; M=manages a small agency or unit within an agency or responsible for significant work on strategic or organizational planning; L=supports work on management through analyses.
• Inter-Agency Coordination	• H=is a decision-making participant in inter-agency coordination; M=plays an important role in facilitating or preparing for coordination among agencies; L=assists in inter-agency coordination, e.g., through participation in meetings,
• Development Partner Coordination	• H=convenes and leads development partners; M=considered an important contributor to coordination among development partners; L=assists in development coordination through participation in development partner meetings.
• Communications (Programme or Media / Public Information)	• H=designs major communications strategies and messages and interacts with stakeholders; M=creates or manages creation of individual communications pieces; L=supports communications work.
• Resource Mobilisation	• H=designs campaigns for resource mobilisation and leads interactions with senior stakeholders such as ambassadors and other senior officials from potential donors; M=manages implementation of resource mobilization plans and interacts with key stakeholders in donors and elsewhere; L=supports resource mobilization work through preparing materials, targeted research, etc.
• Monitoring & Evaluation	• H=regarded as a leading expert in M&E; M=able to design and implement M&E frameworks; L=able to implement M&E with guidance from others.

Dalberg * Note: These working definitions were created by GCMST teams to enable the conduct of this exercise, Their inclusion here should not be taken to imply that they have inter-agency endorsement as standard terms.

DEFINITIONS OF CAPACITY – "SUSTAINED" VS. "TARGETED" *

- Distinction made between:
  - "Sustained" or "office" posts = those that are a sustained part of the UN country team, working on core functions (general mgmt, programme mgmt, policy advice/TA/advocacy outside specific projects, operations related to programme mgmt and internal office matters, etc.) and that can flexibly be allocated between activities because they are not contractually tied to individual projects
  - "Targeted" or "project" posts = those created for specific projects, which must be allocated to those projects and typically would not continue after the project came to an end

- "Targeted" posts were further divided into categories labelled 'A' and 'B':
  - A = posts where the person is active in general agency matters (e.g., planning) even if primarily working on a given project (and will often, but not always, be located at the agency's office rather than a project site)
  - B = posts where the person does not do much agency work outside the specific project (and often will be located at the project site, e.g. in a government ministry, and interact primarily with the partner's staff)

- "Sustained" and "targeted" were used as the terms, to avoid confusion with budgetary structures or contract modalities in any agencies. Thus, for example, IOM staff, all of whom are paid from project budgets, and UNHCR and WFP staff, all of whom are paid from "core" budgets, are divided into "sustained" and "targeted" categories according to whether the post was more like a project implementation post or an office post (including positions that would be akin to programme management positions in other agencies), so that there would be better comparability of the way capacity was classified across agencies

- Non-resident capacity is counted as "sustained" capacity as it comes from staff that are not dedicated to specific projects but who are called upon to help according to specific needs (with different non-resident capacity, of course, being used for different needs)