

## **MISSION PREPARATION**

### **Identification of information required, purpose, people to meet and tools/methodologies**

#### **Background**

##### Purpose:

1. Identify best practice/lessons learnt from managing and implementing the governance programme to date;
2. Determine programme and operational needs for managing and implementing the 2007-2011 governance programme;
3. Evaluate current capacity against those needs;
4. Formulate recommendations for how to breach the gap, manage change, etc.

These four purpose areas are also the mission deliverables and will constitute the four chapters of the final report.

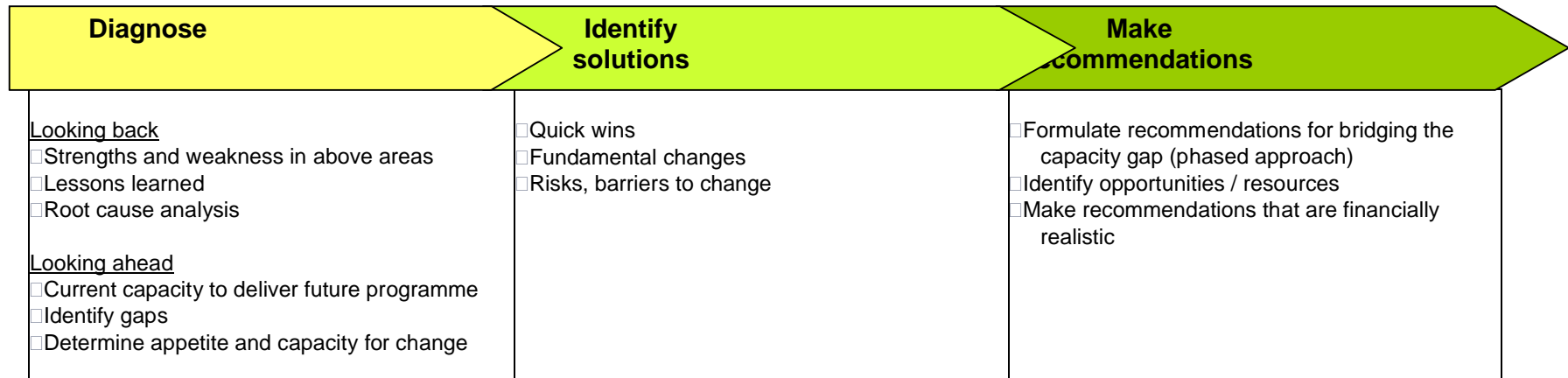
##### Scope:

1. **Programme assurance – Governance Unit:** This will be the primary focus of the mission, including strategic advice, external relations, coordination, funding, overall programme guidance and identification of windows of opportunity, execution monitoring and evaluation.
2. **Programme execution – the implementation team to be recruited:** Since the programme execution structure is being designed by the ongoing governance formulation mission, this will not be the focus of the present mission. However we will look at past experience and lessons learnt at the programme execution level to help formulate recommendations about the programme assurance and programme support levels.
3. **Programme support – UNDP operations and service centre:** The mission will assess capacity within procurement, financial management and expenditure management, and HR services to provide support to the Governance Unit and project teams to manage and implement the 2007-2011 Governance Programme.

##### Key stakeholders:

- CO senior management
- Governance Unit
- Project staff within the Governance Unit
- Operations department
- Service Centre staff
- Other UNDP units where there is overlap with the Governance Programme
- External partners working with Governance Unit

## Overall approach



## Methodology

The main approach will be:

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- individual interviews and focus groups
- two workshops: introductory workshop (day 1) and workshop to devise recommendations together with key stakeholders (middle-end of week 2)

The table below provides an overview of the information required by organisational level and by purpose area (mission deliverables), as well as the specific tools and methodologies to be used.

Overall purpose	Objective	What information?	How to get it?	Tool/methodology	Who responsible?	Timing
<b>Level 1 – Programme assurance: Governance Unit</b>						
<b>1. Identify best practice/lessons learnt in managing and implementing Governance Programme to date</b>	Identify best modalities for coordination with programme assurance level	Comparative data on different experiences from perspective of Governance Unit	Talk to individual members of Governance Unit	Questionnaire for Governance Unit staff and senior mgt? Structured interviews		
	Identify best execution modalities, structures, processes		Verify conclusions from sessions with project implementation staff (see level 2)	Workshop		
<b>2. Determine capacity needs for managing the 2007-2011 Governance Programme</b>	Understand scope of 2007-2011 governance programme	Current thinking about governance programme	Meeting with governance programme design mission			
			Meeting with senior management and Governance Unit			
		Donor programmes to be implemented through UNDP DEX	Review of DFID concept note			
		What upcoming opportunities for UNDP?	Meetings with external partners			
	Determine staffing requirements for programme assurance			Workload analysis		
<b>3. Assess capacity (looking back and looking ahead)</b>	Determine capacity to provide strategic advice		Feedback from senior management	Workshop Structured interviews?		

Overall purpose	Objective	What information?	How to get it?	Tool/methodology	Who responsible?	Timing	
	Determine capacity to exchange and input into HQ policy	% time spent on HQ or regional policy issues					
		% time spent seeking advice / support from HQ and regional advisers	Hard evidence of time spent Feedback from: - Democratic Governance Group - regional advisers -Practice communities	Workload analysis Review input into knowledge network (if possible) to estimate time			
		Quantity and quality of inputs sent by Governance Unit to HQ policy teams	Feedback from: - Democratic Governance Group - regional advisers -				
	Determine capacity to coordinate with external partners on policy/strategy issues	Current coordination activities and time spent by Governance Unit			Structured interviews Formulate questions Multiple stakeholder dialogue		
		Perceptions from partners	Feedback from external partners: Sweden, Belgium, EC, DFID, Germany, Netherlands and USAID		Structured interviews		
	Determine capacity to coordinate internally with other units	Past experience / lessons learnt on coordination	Feedback from other units		Formulate questions Benchmarks / define desired capacities Standards?		
		Current and future programmes overlapping with governance programme					

Overall purpose	Objective	What information?	How to get it?	Tool/methodology	Who responsible?	Timing	
	Determine capacity to design programmes / projects			Benchmarks? Standards?			
	Determine capacity to produce budget reports			Benchmarks? Standards?			
	Identify strengths and weaknesses in current structures and staffing						
	Determine capacity to oversee programmes in 6 provinces			Map over present and future sub-offices Review staffing, thematic and geographical coverage of sub-offices Review sub-office structures and communication lines with CO			
	Determine capacity to monitor and evaluate programme implementation	Review CO track record on M&E					
		Data on delegated authority					
		Project staff satisfaction	Feedback from project staff	Structured interviews			
		Project partner satisfaction	Feedback from project partners	Structured interviews			
Determine capacity and appetite for change				Change readiness assessment			

Overall purpose	Objective	What information?	How to get it?	Tool/methodology	Who responsible?	Timing
	Determine capacity to access to external support networks and self-develop		List of relevant external support networks available (UNDP and other) and feedback on usefulness Hard evidence of time spent on development Feedback from Governance Unit, senior management, Practice Communities	Workload analysis Questionnaire to include development events attended over past 2 years Structured interview to follow up		
	Review management of knowledge, capacity internally to provide training and access to international knowledge					
<b>4. Identify solutions and make recommendations</b>	Formulate recommendations on likely programmatic and structural needs	UNDP guidelines	New CO Typology			
		Experience from other countries/institutions				
		Expected workloads by area				
	Formulate recommendations on distribution of work / responsibilities	% time spent on different areas of work: - external meetings - internal meetings - meetings w/ projects - programme design - project set-up - M&E - approval procedures - etc.				

Overall purpose	Objective	What information?	How to get it?	Tool/methodology	Who responsible?	Timing
<b>Level 2 – Programme execution: implementation teams</b>						
<b>1. Identify best practice/lessons learnt in implementing the Governance Programme to date</b>	Identify best modalities for coordination with programme assurance level	Comparative data on different experiences	Talk to project staff	1. Project questionnaire 2. Structured interviews with project managers 3. Focus group session with project managers		
	Identify best execution modalities, structures, processes					
			Level of delegated authority			
	Identify obvious bottlenecks and highlight opportunities to streamline procedures	% time spent on different steps from request (development of specifications) to delivery	Project staff to estimate (if possible measure	Structured interview Prepare process map and request feedback on % time spent on each step		
		Staff turnover				
<b>4. Identify solutions and make recommendations</b>	Formulate recommendations about the structure of the programme					

Overall purpose	Objective	What information?	How to get it?	Tool/methodology	Who responsible?	Timing
<b>Level 3 – Programme support: UNDP operations and service centre</b>						
<b>1. Identify best practice/lessons learnt in supporting the Governance Unit to deliver the Governance Programme to date</b>	Determine best experience in terms of ratio of procurement staff/volume purchases					
<b>2. Determine capacity needs for supporting the Governance Unit to deliver the 2007-2011 Governance Programme</b>						
<b>3. Assess capacity (looking back and looking ahead)</b>	Identify strengths and weaknesses in current structures and staffing					
	Identify obvious bottlenecks and highlight opportunities to streamline procedures	Process map	Guide d'utilisateur Module 1 and MCT desk review	PwC review ??		
		% of time spent on different tasks	Feedback from service centre and operations unit staff	Structured interviews followed by focus group session on specific issues identified		
		Usefulness of different types of support provided	Feedback from Governance Unit and project staff			
Assess capacity to support Governance Unit	Capacity to recruit to meet programmatic needs			HR checklist		

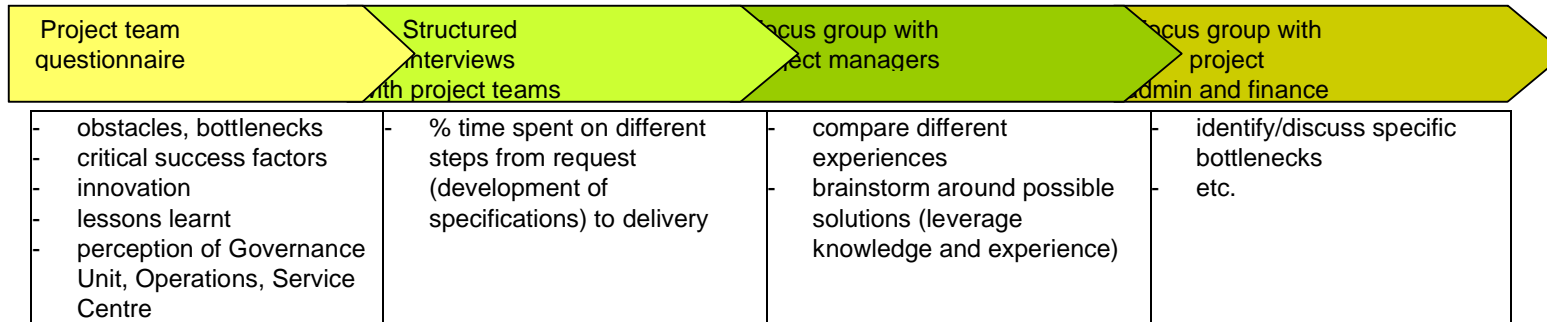


Overall purpose	Objective	What information?	How to get it?	Tool/methodology	Who responsible?	Timing
		Capacity to manage central procurement on behalf of project teams (governance)		Procurement best practice evaluation grid Procurement health checklist		
		Capacity to provide financial support		Analyse spend leakage (MCT review?)		
	Determine capacity and appetite for change				Change readiness assessment	
<b>4. Identify solutions and make recommendations</b>	Formulate recommendations on distribution of work / responsibilities	% of time spent supporting the Governance Unit				
	Assess systems and processes (where they impact Governance Programme)					

Information required by level:

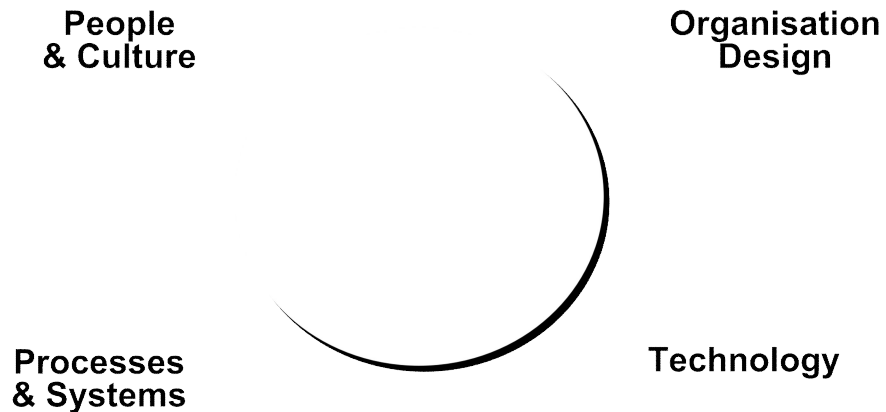
complete

**Level 2**



Structured interviews:

The structured interviews will be organised along the following key organisational aspects:



Benchmarking:

Some limited benchmarking can be done by the mission, eg.

- Benchmarking against other UNDP CO (Mia to complete)
- Benchmarking against other donor organisations looking at different areas of responsibility: advisory, coordination, project oversight (Carine to complete)
- To a more limited extent, benchmarking against other organisations implementing large, complex projects in developing/post-conflict countries (Kristin?)

N.B: PwC has a benchmarking service, Saratoga, which has a wealth of benchmarking data on HR departments and some data on Finance and IT functions. They don't hold benchmarking data on capacities for programme management. IWe use it a lot in big restructuring programmes that have significant HR aspect, e.g. service centres and to benchmark salaries, etc. and it is a global database, but not sure how appropriate it is for developing/post-conflict countries and DRC in particular.

Portfolio analysis:

Area to be assessed	Recurrent tasks per area	Approx. time / task + person (days; hours/day)	Intensity per Prgm Area				Level and number of staff needed
			Econ. Gov.	Parliam. / Media / Pol. Prt.	Pub. Adm.	Decent.	
Programme Support							
Recruitment needs once the programme is set up and running							
Financial volume and expected level of transactions							
Management of contracts (goods and service providers)							
Management of contracts (personnel)							
Procurement management and volume	Quality control of SPECS	2d; 4h	Low	high	Med.	High	One P-3 Procurement Specialist, Two P-2 Procurement Officers, One G-6/7 Procurement Assistant, Two G-4/5 Procurement Assistants.
	Establishment of bidding file	2d; 8h	Low	High	Med.	High.	
	Review and selection of service providers	3d; 6h	Low	High	Med.	High	
	Establishment of Waiver documents	3d;	Low	High	Low	Med.	
	Management of ACP submission	14d; 2h	Low	high	low	med	
	CAP management	3d;4h	low	high	med	high	
	Establishment of PO		Low	high	med	High	
Follow-up with service providers		Med.	high	med	high		
Etc.							
Programme Assurance							

Volume and number of donor contributions to be managed							
Volume and Number of contacts to key national partners (Government, Civil Society) to be maintained							
Volume of reporting required							
Volume and Number of contacts to key international partners (Governments, Civil Society, development actors) to be maintained							
Etc.							
Programme Execution							
Volume of equipment to be managed and/or overseen							
Budget volume to be managed (planning, programming)							
Etc.							

## Mission schedule

The mission members will meet all relevant UNDP units the first week (Governance Unit, Operations, Service Centre, projects). With respect to some of the more specific meetings to consider programme and operational capacity (e.g. with project staff), we can choose to split the team in two to enable us to cover more ground. Mission members will then seek specific information individually (as per agreed distribution of tasks) the second week.

Week One: 5 to 10 February

time	Subject	Products	Participants
Day 0 - Sunday: 4/02/07			
?	Arrival in Kinshasa	Mission ready to begin.	Mission members
Day 1 - Monday: 5/02/07			
9.30	Arrival at UNDP	Mission members meet	Mission members
10.00	SMM Briefing	UNDP SMM Vision clarified	UNDP Senior Management, Mission members
11.00	Governance Briefing	Contact with Governance Unit established and approach discussed	UNDP Governance Unit, Mission members
14.30 – 18.00	workshop	Half day workshop on expectations and challenges, risks and opportunities of the Mission	Mission members, UNDP and DFID Kinshasa (see TORs)
Day 2 - Tuesday: 6/02/07 – Governance Unit			
9.00 – 10.00	Briefing Meeting with Governance Unit	Presentation of mission, discussion of information needs	Mission members, Governance Unit
10.00 – 18.00	Individual Meetings with Governance Unit staff	Analysis of Programme Structure and lessons learned	Mission members, Individual Gov staff
18.00	Day debrief	Review of the day and of next day's programme	Mission members, DPA/P
Day 3 - Wednesday: 7/02/07 – UNDP Operations			
9.00 – 10.00	Briefing Meeting with UNDP Operations	Presentation of mission, discussion of information needs	Mission members, Boureima, Marie-Helene, Leon
10.00 – 18.00	Individual Meetings with Operations staff	Analysis of Operations structure and lessons learned	Mission members, Individual Ops staff
18.00	Day debrief	Review of the day and of next day's programme	Mission members, DPA/P

Day 4 - Thursday: 8/02/07 – Service Centre			
9.00 – 10.00	Briefing Meeting with Service Centre	Presentation of mission, discussion of information needs	Mission members, Gael, Michel Vogt, Georgina
10.00 – 18.00	Individual Meetings with Service Centre staff	Analysis of Service Centre Structure and Lessons Learned	Mission members, Individual CdS staff
18.00	Day debrief	Review of the day and of next day's programme	Mission members, DPA/P
Day 5 - Friday: 9/02/07 – UNDP projects			
7.30	Common Breakfast at GH	Team building continuous ... ☺	Mission members
8.30	AIT	Experiences and Lessons learned	Mission members, AIT staff
10.00	APEC	Experiences and Lessons learned	Mission members, APEC staff
11.30	SPEC	Experiences and Lessons learned	Mission members, SPEC staff
14.30	Contentieux	Experiences and Lessons learned	Mission members, ACE staff
16.00	MRR	Experiences and Lessons learned	Mission members, MRR staff
17.30	Global Fund	Experiences and Lessons learned	Mission members, FM staff
19.00	Day debrief	Review of the week and of next week's programme	Mission members, DPA/P
Day 6 - Saturday: 10/02/07 – Capturing of Ideas			
	Capturing of Ideas	First written paragraphs on lessons learned, needs, existing structures and proposal for change.	Mission members