

Programme formulation and project control



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Programme formulation and project control

7.1 Introduction

1. The assessment of needs, immediate response, implementing arrangements and programme formulation are all very closely related. Some aspects treated separately in this handbook may be indivisible in practice, and there is no single correct order or way in which an emergency programme should be formulated. The UNHCR actions in an emergency must, however, conform to the established procedures governing project submission and control, some of which have been specifically developed for use in emergencies.

2. The purpose of this chapter is to explain the procedural framework for emergency assistance and how this relates to the UNHCR Project Management System (PMS). The PMS Handbook (PCS/335/Rev.1 of March 1981) is essential complementary reading.

3. The availability of funds is a prerequisite for any UNHCR emergency action. Under the terms of the UNHCR Financial Rules, the Emergency Fund is established to provide "financial assistance to refugees and displaced persons in emergency situations for which there is no provision in the programmes approved by the Executive Committee" (6.4(a)), and to meet additional administrative expenditure resulting from those emergencies. "The High Commissioner may allocate from the Emergency Fund up to \$ 10,000,000 annually, provided that the amount made available for one single emergency shall not exceed \$ 4,000,000 in any one year." (6.5)

4. The initial funding in an emergency for both project and programme support expenditure is therefore likely to be allocated by the High Commissioner from the Emergency Fund. If an emergency develops in an existing operation, immediate funds may be available from those already foreseen for that operation or, if appropriate, from the Programme Reserve. Depending on the scale of further needs, and also on the time of year when the emergency occurs, further funding could either be

proposed to the Executive Committee as a new current year project or as a new project for the coming year, or could be the subject of a special appeal by the High Commissioner.

7.2 Programme formulation

The Emergency Letter of Instruction (ELOI)

1. The text of the standard ELOI is given in the annex to this chapter. Its purpose is to make funds immediately available to the Representative and to allow him or her flexibility in meeting priority needs as soon as they are identified. The ELOI is not intended to cover the whole emergency phase but rather to permit a rapid response pending the formulation of an emergency programme in the light of a detailed needs assessment. Thus, the ELOI requires the Representative not only to inform Headquarters as soon as possible of the allocations made by budget headings for the funds authorized by the ELOI, but also to draw up and propose to Headquarters an appropriate emergency programme for further assistance once these funds are exhausted or the ELOI project terminated.

2. In certain circumstances the ELOI may not be necessary, as it will be possible to use an existing authority or to formulate an emergency project submission from the start. For example, in an emergency in a country where UNHCR was not previously represented, the needs assessment team might draw up the emergency project submission at the same time.

3. Even when an emergency project has been approved without the need to use the ELOI, the ELOI may still provide a useful mechanism for expediting authorization of the funds. The authority activating the ELOI could simply substitute an outline of the emergency project, including budget allocations, for the standard text in paragraph 3 of the ELOI.

The emergency programme

4. The programme should cover the total needs from the start of the emergency, including programme support, that would have had to be met by UNHCR if no other resources were available. In other words, the departure point is the overall needs from all sources. The programme must thus include any immediate UNHCR response already funded under an ELOI or through other arrangements. A further explanation, including of types of material assistance normally funded by UNHCR, is given in 27.2 and 27.3 (Supplies and logistics).

5. The assumptions used to determine needs, and particularly the numbers of refugees on which they are based, must be clear. Where some of these needs have already been met - or will be met - by other organizations, this should be stated, and the UNHCR portion of the budget adjusted accordingly in a way that is self-evident. Such a comprehensive approach will also help to reduce problems caused by the inevitable delay between the needs assessment on which the programme is based and its launching, during which time more refugees may arrive or bilateral contributions be declared.

6. More than one organization may appeal for or deliver different types of assistance for the same refugee emergency. For example, in addition to UNHCR, the LRCS might appeal for support for the national Red Cross or Red Crescent Society, particularly where the national society had borne the brunt of immediate assistance. It is, therefore, essential that the UNHCR programme makes it clear how co-ordination with all parties is assured and sets out which needs are being met by UNHCR and which by other organizations. A particular example would be the food component, where confusion might otherwise arise between UNHCR's and WFP's responsibilities.

7. This comprehensive emergency programme would, therefore, be the framework for the overall emergency action plan, while that part of the programme to be financed by UNHCR would

be the subject of an emergency project submission. UNHCR programme support expenditure is covered in chapter 8 (Administration).

Emergency project submission

8. Submissions should be made in accordance with the PMS Handbook, using the standard format in Section IV, pages 20-24. The submission must make clear how the proposed emergency project relates to any funds already authorized under an ELOI. The needs assessment would provide the background and baseline information for Part B.1 - situation of refugee group. The characteristics of the caseload should be given in Part C.2 - description of beneficiaries. Their immediate needs would be the core of Part C.3 - description of assistance. Implementing arrangements should be covered under both Parts B.4 and C.4.

9. A budget must be attached to the submission, detailing the estimated costs of the emergency assistance and explaining the basis for these calculations (quantity, unit cost on local market, estimated cost of outside procurement, etc.). The budget chapters should be presented in the same order as in Part C.3 - description of assistance. A time chart should be attached, if possible, as this will help in planning follow-up after the emergency phase and will facilitate project management and control.

An appeal

10. Preparation of a UNHCR appeal for contributions to meet the needs of the emergency is a particular aspect of programme formulation. Detailed arrangements would be made between the field and Headquarters in light of the circumstances and in consultation with the government. Exactly the same considerations with regard to the comprehensive nature of the programme and co-ordination with other organizations, and especially any other appeals, obtain in the formulation of a UNHCR appeal, which should also cover any initial expenditure from the

Emergency Fund. The needs assessment discussed in chapter 4 should, provided the information is available in sufficient detail, serve both programme formulation and fund-raising purposes to equal advantage.

11. The funding of the programme, particularly if by an appeal, can be a potential source of confusion when the government is UNHCR's operational partner. The budget will, of course, cover UNHCR's direct expenditure, such as for any overseas procurement and programme support, but the total target can be misunderstood locally as being entirely intended for expenditure in the country. Clarity on this point from the start, for example in any local press release or comment, can avoid embarrassment later.

7.3 Project control

1. Control of UNHCR project funds by the UNHCR field office and operational partners should be on project control cards in accordance with the PMS Handbook, Section V.C., pages 77-97, and paragraph 10 of the ELOI.

2. Careful and close monitoring of the implementation of the project is essential. The wider management aspects and importance of this are discussed in chapter 6. Whatever the implementing arrangements, a UNHCR presence at, or at least frequent visits by the same person to, the site of the refugees will be required. Regular reports should be made by the operational partner to the Representative, and by the field to Headquarters. A suggested format is given in annex 3 to chapter 6. The reports of an operational partner forwarded to Headquarters must always be accompanied by an analysis and comments from the Representative.

3. A year-end self-evaluation is required in accordance with the PMS Handbook, Section V. annex VI on page 75. Of particular importance to improving UNHCR's response in emergencies will be the lessons learned (point 4(d)). Certain emergency programmes may also be the subject of a specific evaluation.

4. Contributions in kind may be made towards needs foreseen under the emergency programme. Whether these are made bilaterally or through UNHCR, their value (generally assessed on the same basis as foreseen in the budget costing) will normally be credited against the appropriate budget item, and the cash requirements through UNHCR for that item reduced accordingly. This mechanism may need to be carefully explained to the government and operational partner.

5. For all contributions in kind made through UNHCR, an "In-kind LOI" will be established by Headquarters for the value of the contribution. The project symbol will end with "K" as its miscellaneous identifier. This LOI will be addressed to the Regional Section Chief, who is required to ensure reports from the field to Headquarters on the arrival and distribution of the contribution.

AnnexStandard Emergency Letter of Instruction

To: (primo) ...

(Project title) Emergency Assistance for (secundo) ...

(Project symbol) (tertio) ...

1. This Emergency Letter of Instruction (ELOI) will become valid only upon receipt of specific cabled or written authority from the Director of Assistance filling the blanks (primo) through (sexto) herein. Such authority must be attached to this ELOI, of which it is considered to form an integral part.

2. You are hereby authorized to obligate funds and to make payments up to an amount of US\$ (quarto) ..., or the equivalent in local currency at the UN rate of exchange prevailing at the time of payment, for essential assistance in order to meet the emergency needs of (secundo)

3. You are to inform UNHCR Headquarters as soon as possible of the budget allocations you have made for these funds, giving a breakdown by main sector headings (health, food, shelter, transport, etc.) and indicating the period it is estimated these funds will cover. At the earliest opportunity, you are to draw up and propose to Headquarters an appropriate programme for further assistance to the beneficiaries once the funds made available herein are exhausted or this project has terminated.

4. You will ensure that the procurement by you of goods and services under this project is undertaken in a manner which safeguards the principle of purchases being made only after an assessment of competitive quotations or bids. Unless emergency local procurement procedures have been authorized, you must obtain Headquarters prior approval before obligations are entered into either for an individual or for a series of related purchases or contracts which individually or in total amount to US\$ 20,000 or more. In such cases, formal quotations and all relevant information related to the proposed transaction, together with your recommendations, should be forwarded to Headquarters so that a formal submission can be made to the UNHCR Contracts Committee for its decision. If necessary, this information should be conveyed by cable in summary form.

5. Implementation of all or part of this project may be sub-contracted by you to one or more implementing agencies. In such cases separate agreements bearing the above project symbol suffixed with an identifying letter should be concluded with each agency. Sub-agreements must include the "Mandatory Clauses" as detailed on attachment 1 and other standard clauses, including those covering non-expendable equipment, as applicable (see attachment 2). A Project Description and Budget must be annexed to each sub-agreement.

6. If the needs of the emergency require immediate action by an implementing agency before the conclusion of a sub-agreement is possible, you may exceptionally obligate funds after recording a mutual intent to conclude such an agreement. An example of the minimum requirement is given as attachment 3.

7. Should the government or international organizations be willing immediately to advance relief supplies or essential goods from their own resources, you may enter a written commitment to reimburse in cash or kind provided the maximum US\$ obligation on UNHCR is specified and does not exceed unobligated funds available under this ELOI. Any such obligations shall be immediately reported to Headquarters.

8. In respect of each disbursement made by you, a voucher shall be established showing the name of the payee, the amount, the purpose and date of disbursement. The voucher should be signed by the payee or supported by receipted bills. These vouchers, clearly marked with the project symbol, shall be forwarded to UNHCR Headquarters together with your office's monthly accounts.

9. The project shall commence on (quinto) ... and shall terminate on (sexto) Any funds allocated in paragraph 2 above not disbursed or firmly obligated by you upon termination of the project, and obligations not disbursed within two months following termination shall be cancelled.

10. To ensure adequate control, all obligations and payments under this project shall be recorded on a UNHCR Project Card (HCR.121/Rev.1) and as appropriate on UNHCR Sub-Project Cards (HCR.124). The following reports are required:

- (1) a photocopy, duly certified, of the UNHCR Project Card (form HCR.121/Rev.1), and where applicable of the UNHCR Sub-Project Card(s) (Form HCR.124), shall be forwarded to Headquarters with your monthly accounts for the month in which the project terminates;
- (2) a narrative report, together with an "Analysis of Project Expenditure" (Form HCR.126), shall be forwarded to Headquarters not later than two months after completion of the project.

Attachment 1Mandatory ClausesA. Inspection and Audit clause

"The Agency/Government agrees to and will facilitate inspection and audit of the project on behalf of the United Nations. Should they at any time wish to do so, the United Nations Board of Auditors may carry out an audit of the project."

B. Accounting clause

"The Agency/Government shall collect and keep readily accessible information and documentation on the progress and implementation of the project and the use made of the High Commissioner's contribution. To this end the Agency/Government shall maintain separate accounts recording all receipts and expenditures under this Project relating to the High Commissioner's contribution and ensure that any obligations entered into and all disbursements made are satisfactorily documented and supported by vouchers, receipted invoices, contracts, etc."

C. Exclusion clauses

"The High Commissioner:

- (a) shall not be liable to indemnify any third party in respect of any claim, debt, damage, or demand arising out of the implementation of this agreement and which may be made against the Agency/Government;
- (b) will not accept liability for compensation for the death, disability or other hazards which may be suffered by employees of the Agency/Government as a result of their employment on work which is the subject matter of this agreement."

Attachment 2Other Standard ClausesA. Ownership, Insurance, Use and Disposal clauses

"The Agency/Government shall:

- (a) assume ownership of all non-expendable property, including vehicles, purchased out of the High Commissioner's contribution and ensure that such property is properly maintained and kept in good condition. Non-expendable property is defined as any item of property or equipment which has a purchase price of US\$...^{1/} or more or the equivalent in local currency at the official UN rate of exchange, and with an anticipated serviceable life of at least five years;
- (b) ensure that all non-expendable property, including vehicles, is fully insured with an insurance company of repute against risks including damage, theft and loss and where appropriate, third party liability. Insurance costs may be charged to the project under the appropriate budget item;
- (c) report to the High Commissioner in writing in cases where such non-expendable property is damaged or lost including the steps taken to repair or replace the property. The report shall be submitted within a reasonable time after such damage or loss has occurred. Cost of repairs or replacement will not be charged to the project without prior written authority from the High Commissioner;
- (d) ensure that all non-expendable property purchased out of the High Commissioner's contribution is used exclusively for the purpose of the project governed by this Agreement. The future use of any non-expendable property which is no longer required within the project shall be decided by written agreement between the parties to this Agreement;
- (e) ensure that all vehicles supplied by the UNHCR under this Agreement are clearly marked in bold letters "DONATED BY UNHCR".

B. Inventory clause

"The Agency shall maintain an inventory in accordance with the attached model^{2/}, of all non-expendable property and shall submit a copy to the High Commissioner together with the narrative and financial reports requested in this Agreement."

C. Procurement and Procedures for Awarding Contracts Clauses

"The Agency/Government shall:

- (a) be responsible for the procurement of all items of assistance under this project, unless by agreement procurement is undertaken by the High Commissioner;
- (b) ensure that its procedures for awarding contracts and for the purchase or hire of goods, equipment, other commodities and services under the present Agreement safeguard the principle of awards being made on an assessment of competitive quotations or bids;

^{1/} To be determined by you for each project in light of local conditions; as a guide + US\$300.

^{2/} The model should be in tabular form with headings: date of purchase, inventory number, quantity, description (model, reg. no. etc.), purchase price per unit (local and US\$), utilized for, operating conditions and general remarks.

Attachment 3Mutual Intent to Conclude an Agreement

(sample text)

I should like to refer to our exchanges (add details as appropriate) concerning the implementation by (implementing agency) on behalf of the United Nations High Commissioner for Refugees of a programme of emergency assistance to

It is my understanding that it is our mutual intention to conclude and sign as soon as possible an Agreement covering our co-operation in the above-mentioned programme. This Agreement will incorporate inter alia the attached clauses^{3/} and will require (implementing agency) to report in financial and narrative form on the use of all contributions received from the High Commissioner. The conclusion of an agreement embodying these requirements is mandatory under the Financial Rules of UNHCR whenever funds are made available by UNHCR.

I should be grateful if you would confirm in writing below that this understanding is correct, and your agreement that the use of the sum of , that the High Commissioner intends to make available to (implementing agency) on receipt of this confirmation, will be considered as subject to the terms of the Agreement, once concluded and signed.

(signature and title of addressee of ELOI (primo))

I confirm that the understanding set out above is that of (implementing agency), which agrees that the use of the sum of will be considered as subject to the terms of the Agreement, once concluded and signed.

(signature and title of addressee of letter above, and date)

^{3/} Attachment 1 to ELOI

8

Administration



Administration

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Administration

8.1 Introduction

1. The purpose of this chapter is to provide general guidance on UNHCR's basic administrative procedures and actions in an emergency. Nothing in this chapter should be read as altering any existing rules, regulations and instructions, including in particular the Branch Office Administrative and Financial Instruction (BAFI).

2. The chapter considers particularly the opening of a new office in an emergency, but may also be helpful when expanding an existing office or establishing sub or field offices.

3. The status of an established UNHCR office is governed by an agreement between the host government and UNHCR. Where such an agreement, often referred to as the "Branch Office Agreement" or "Accord de siège", needs to be concluded, special instructions and a model text will be provided by Headquarters. This is unlikely to be a priority in the emergency phase. The Convention on the Privileges and Immunities of the United Nations is in any case applicable to UNHCR and covers such matters as the inviolability of United Nations premises, the right to operate foreign currency accounts, exemption from direct taxes and from customs duties on articles for official use and facilities and immunities for communications. Specific considerations in respect of the emergency operation, for example regarding the handling of relief supplies, would be set out in the exchange of communications concerning the government's request for material assistance and in the project agreement.

8.2 Budget and finance

1. Authority to incur expenditure. There are two distinct types of expenditure: administrative support expenditure and project expenditure. Authority to enter into obligations for administrative support expenditure is given by an administrative allotment advice, covering routine administrative expenditure (office running expenses, etc.), a travel authorization (PT8), or

a Miscellaneous Obligation Document (MOD), covering the purchase of non-expendable property (purchase of office vehicles, etc.) and any other specific expenditure not covered in the allotment advice. Details of how authority for additional administrative support expenditure might be given to an existing field office in an emergency are contained in annex 1. When an emergency occurs in a country where UNHCR is not already represented, a special emergency administrative allotment advice will be issued. Control of expenditure against funds allotted is by an allotment control sheet (ACS).

2. Authority to enter into obligations for project expenditure is given by a letter of instruction. In an emergency this may take the form of a standardized emergency letter of instruction (ELOI). Chapter 7 discusses this and other procedures.

3. Transfer of funds. Once authority has been given to enter into obligations, the actual funds will be released by Headquarters on the basis of fortnightly or monthly requirements. Advance notice of cash requirements must always be given, preferably through regular telexes predicting cash requirements by type of expenditure, in order to ensure that funds reach the field office in time for any transfers to operational partners under agreements, or to meet other authorized expenses. Care should be exercised that funds are called forward as close as possible to the date of their utilization to avoid unnecessarily high bank balances over prolonged periods.

4. Disbursements for both administrative and project expenses are made in the field either from a local UNHCR bank account or, pending the opening of such an account, through UNDP. In the latter case UNHCR Headquarters will arrange with UNDP Headquarters for the local UNDP office to receive the necessary authority to incur expenditure on behalf of UNHCR. Settlement with UNDP will normally take place through the common Inter Office Voucher (IOV) system or through a special transfer of funds to UNDP New

York. As a rule disbursements exceeding the equivalent of US\$ 50 should be made by cheque; whenever local circumstances require frequent cash payments in excess of this limit, Headquarters approval must be obtained.

5. Opening of UNHCR bank account. A local UNHCR bank account is always opened by authority from Headquarters, who will determine the terms and conditions under which the account is to be operated and designate the authorized bank signatories. Joint signatories are normally required to operate UNHCR bank accounts. Particular care must be taken to ensure cheque book security: cheques must bear UNHCR in full, be consecutively numbered, verified on receipt, and kept under key, in a safe if possible, by a staff member designated by the Representative. Cheques should always bear the name of the payee and should be crossed unless there is an overriding reason why this is not practicable. Under no circumstances should a bank signatory pre-sign either a blank cheque or one which is only partially completed.

6. Field offices will normally maintain one non-resident local currency bank account; circumstances may however also require the opening of a non-resident US dollar account and perhaps even a resident local currency account. Where problems of exchange control regulations are encountered, Headquarters should be informed immediately. Field offices should ensure that the most favourable conditions are obtained for the transfer and conversion of UNHCR funds.

7. Exchange rates. If there is a significant discrepancy between the actual market rates and the prevailing UN rate of exchange, this should be reported to Headquarters, with a summary of the variations over the previous 60 days.

8. Accounting procedures. Whenever a field office operates its own bank account(s), it must account for and report to Headquarters monthly for each bank account on all transactions under a procedure which is the same for both administrative and project expenditure.

Most importantly, a properly supported payment voucher (F.10/Rev.3 (HCR)) has to be completed and immediately entered on a bank journal (HCR/3/Rev.2) whenever a payment is made. It is essential that the voucher quotes the authority for payment (LOI, allotment advice, PT8, MOD). A special mini-voucher book has been developed for use in emergencies, particularly by outposted field officers. Similarly, an official UNHCR receipt voucher has to be issued and entered on the bank journal for any receipts other than replenishments from Headquarters. Payments from an authorized petty cash have to be accounted for on a petty cash journal (HCR/4). It is imperative that all vouchers and journal entries list the correct account code, as indicated in the allotment advice and key to account codes, Headquarters PT8 or MOD, or the project symbol to which the transaction is to be debited/credited.

9. The accounts to be sent to Headquarters monthly will normally consist of:

- ☐ duly certified originals (plus one copy in the case of administrative expenditure) of all payment and receipt vouchers (bank and petty cash) together with all supporting documentation;
- ☐ original plus one copy of the bank journal HCR/3/Rev.2 (one for each bank account operated by the field office), and the original of the petty cash journal HCR/4;
- ☐ original plus one copy of the Monthly Accounts Sheet HCR/2/Rev.2, which summarizes all transactions by account codes and project symbols;
- ☐ a bank reconciliation form HCR/1, together with the original bank statement for the month;
- ☐ the Allotment Control Sheet when due (indicated at the bottom of the sheet);
- ☐ non-expendable property form PT107, when applicable.

10. Whatever the pressures of the emergency, accounts must be kept up-to-date, and the monthly closure done on time. Experience has shown that failure to do so will not only delay the replenishment of the bank account but will also result in far more work than would originally have been required.

8.3 Office premises

1. The order of priority for obtaining offices is: rent-free from the government; in common UN premises; government-provided offices against reimbursement by UNHCR, and commercial rent. Interim arrangements may be necessary, but the early establishment of the UNHCR presence in a convenient location will be of obvious importance to the success of the operation.

2. Details of procedures are given in BAFI and special attention is drawn to the instructions about leases. Office space per person should not exceed about 14 sqm, but the premises should also allow a reception area, interviewing room, meeting room, and services area (filing, telex, copier, etc.) as appropriate to the scale of the operation.

3. Considerations in selecting office premises include location (distances from ministries, implementing partners, bank, post office, airport, etc.) security (both for authorized access - individual refugees, UNHCR staff 24 hours a day - and prevention of unauthorized access and physical security of offices, files, etc.), parking facilities, utilities (electricity, water, heating, air-conditioning, wires for telephone/telex, location of any aerial, toilets, simple kitchen facilities, drinks, storage room, etc.), the physical layout and orientation of the building and its condition. The use of residential accommodation (e.g. a villa) as an office may be an option.

4. If it is clear that special arrangements will be required, for example, standby generator, material alterations, special security measures, air-conditioners, Headquarters should be informed at once.

5. Once the office premises have been selected, the government, diplomatic community and others concerned should be informed accordingly, and the relevant information for the UNHCR Directory must be cabled to Headquarters.

6. In the emergency phase of an operation in a country where UNHCR was not previously present, international staff will be on mission status, and will generally be accommodated in hotels. Should the daily subsistence allowance (DSA) not cover the basic cost of adequate hotel accommodation, Headquarters should be informed at once and all hotel receipts retained. Conversely, DSA is reduced if official accommodation is provided. If it is already clear that special arrangements will be required for personal accommodation once staff are assigned to that duty station, in other words, cease receiving DSA, Headquarters should be informed, with details of local UN practice.

8.4 Non-expendable property

1. Vehicles. Mobility for UNHCR staff, particularly outside the capital, will be essential and action to ensure enough of the right type of official vehicles will be a high priority. A specific authority must be obtained from Headquarters for the purchase of vehicles. Initially, possibilities may include borrowing from other UN organizations (UNDP may have spare 4-wheel drive project vehicles), short-term hire or purchasing locally or in neighbouring countries. Authority to hire will be given in the emergency administrative allotment advice. It may also be possible to borrow from or purchase through neighbouring UNHCR offices.

2. The appropriate official vehicle establishment will vary with each emergency. As an example, it might include:

4-door saloon for the Representative;

small saloon for other official travel, mail deliveries, messages, etc.;

robust station-wagon/4-WD vehicle based in capital for field trips;

one 4-WD vehicle per out-of-capital field office or per itinerant field officer.

3. Requests to Headquarters for the purchase of vehicles should give full details (make, type of body, number of doors, long/short wheelbase, left/right hand drive, petrol/diesel, special options: sand tyres, extra fuel tanks, air-conditioning, heater, anti-theft device, etc.). The duty-free, on-the-road price and delivery time must be given if local purchase is requested.

4. In many countries duty-free fuel may be available for official UN vehicles. Details of procedures should be obtained from the government and other UN organizations, and followed from the start: retroactive reimbursement is often impossible.

5. Mileage control sheets should be introduced from the day the official vehicle becomes operational and these should be designed in such a way as to show the daily mileage of each vehicle and the purpose of each trip. The monthly vehicle control sheet (HCR/5) is insufficient for effective control of the use made of the official vehicles. Each journey must be entered and the mileage regularly checked against the purchase of fuel for that vehicle.

Other non-expendable property

6. Authority to purchase office furniture and equipment will be given in the emergency administrative allotment advice, conditional on the Representative immediately informing Headquarters of the exact cost and description of purchases made, so that MODs may be issued. Where not locally available, supply of the required equipment should be requested from Headquarters, with an indication of any known regional availability and costs.

Accounting for non-expendable property

7. A non-expendable property form (PT 107) must be completed and forwarded to Headquarters in duplicate for all

non-expendable property for which UNHCR retains ownership, whether purchase is funded from the administrative budget or operational projects. Attach copies of the invoices and indicate serial numbers, for example of engine and chassis for vehicles.

8.5 Office supplies

1. Annex 2 lists the contents of the emergency office kit, which weighs approximately 30 kg. Three such kits are kept on standby in Geneva, one of which would be intended for use where French was the UNHCR working language. One would be dispatched to assist in opening a new office. Representatives should request a kit by telex, for example for a new field or sub-office. Please indicate whether the typewriter and/or calculator are required and note that on receipt they too must be recorded and reported on a non-expendable property form (PT 107). In order to improve the kits, recipients are requested to inform the Emergency Unit on their usefulness, what was missed, not needed, etc.

2. A normal stationery demand (Form GEN.G.S./9/Rev.6) should be submitted as soon as possible; the emergency office kits are not intended for re-supply, even in emergencies. It should be noted that official stationery is normally printed in Geneva. The first normal re-supply after receipt of the emergency kit will generally be made by air freight.

3. Once the office address, PO box, telephone and telex numbers are known, a rubber stamp may be cut locally and used to endorse the Headquarters stationery pending receipt of specially printed stationery.

4. In an emergency, existing field offices might wish copies of any of the further references listed in annex 2 that they do not already hold. Dispatch may be requested by cable marked "Attention Emergency Unit".

5. A special mention should be made of maps. Maps giving small scale (1:1,000,000) overall coverage of most regions where a refugee emergency might

occur are held at Headquarters. Other maps are available through Headquarters, but the local maps are likely to be much more useful. Early action is recommended to obtain at least large scale government survey maps of the area where the refugees are located, and also wider coverage showing national administrative boundaries and the main communications route. (Charge administrative allotment object of expenditure code 531). Even before the site can be visited, much will be learned by studying the largest scale map available. Maps are generally also printed in gridded versions and gridded maps - or at least maps showing latitude and longitude - may be helpful in locating unfamiliar names.

8.6 Organization of the office

1. A suitable filing system and registry controls should be set up as soon as possible. It is unlikely that the filing system can or should simply mirror the Headquarters system, but a cross reference to the Headquarters file should be given on all correspondence addressed to Headquarters in order to speed handling on receipt in Geneva. Annex 3 gives some guidance as to what might be required and how classification could be organized.

2. A rubber stamp to show date of receipt, file, action officer/remarks will be very useful. The practice of putting a chronological number on every out-going communication is strongly recommended and will be particularly helpful in the confused early days. That on cables would be for internal control only, the cable being identified externally by its HCR/ sequential number. In this way, everything would be on the chron. out file.

3. While project symbols or individual case files must always be quoted in full, for other files it may be better not to list the chron. number and a long file symbol but rather allocate each file a single letter or two digit number which would follow the chron. number. For example, a formal letter to the government about a protection problem might simply have as a reference 078/G, where 078 was the

overall chron. number and 'G' the letter allocated to the protection file. This is also more discreet: avoid sending out correspondence bearing a reference that may be unnecessarily explicit, like "Corruption".

Communications

4. Communications needs are discussed in chapter 10. A simple check-list is given below; the order will not necessarily be the priority, for example (4) and (5) can be done even before an office is available.

(1) Obtain immediate access to a telephone and telex and tell Headquarters (and neighbouring UNHCR offices if appropriate) the numbers and where they are located;

(2) Set up the controls and registers for incoming and outgoing communications from the start;

(3) Consider communications needs in selecting office premises;

(4) Register "Hicomref (name of town)" as a telegram address;

(5) Obtain a PO Box number and tell Headquarters (and local authorities etc.) the number;

(6) Take early action as indicated in the annex to chapter 10 if a UNHCR radio system is required;

(7) Once UNHCR telephones and telex have been installed, inform government, UNHCR Headquarters, neighbouring UNHCR offices, diplomatic corps and others, and ensure correct listing in national telephone and telex directories, in the local UN and diplomatic lists, and in the UNHCR directory.

8.7 Personnel administration

1. Details are given in the Staff Rules and in BAFI. Particular attention must be paid to proper supervision and encouragement of the UNHCR staff, and especially newly recruited local staff, in an emergency. Often the Representative and other international

staff are extremely busy, out at meetings or in the field, and the other staff, who may know little about UNHCR and less about the operation, lack guidance and a sense of involvement. Some of the general information and PI material in the emergency office kit may be useful for briefing newly recruited local staff. Other personnel management considerations are discussed in chapter 6.

2. Careful attention must be paid to the administration of outposted field staff. A convenient way of administering field officers, at least initially, is to issue a local PT8 to cover internal travel and DSA on a monthly basis, giving an advance in the normal way. Any original PT8 authorizing the mission to the country would initially be retained in the main office. At the same time, a separate advance would be given for all other official expenses foreseen for the month. This advance should be charged to the suspense general ledger account (HA 306-12-01). At the end of each month, the field officer submits both the local travel claim and the vouchers justifying all other expenditure, plus a reconciliation showing any balance of the advance still held. At the main office, the suspense account is then cleared by charging the appropriate allotment account/project through the monthly accounts and the local travel claim is settled in the normal way.

3. Particular care must be taken to ensure the proper administration of outposted local staff, for example, field officers' drivers. It should be noted here that while Representatives are recommended to authorize outposted staff to drive official vehicles on official travel in accordance with BAFI 8.3 (c), as in an emergency this is likely to be necessary, every effort should be made to provide field officers with local drivers from the start. They can be of great help to field officers in a variety of ways.

4. All outposted local staff must have contracts, understand their terms of employment and benefits, including the cost and benefits of the UN sickness insurance scheme, receive their salary

regularly and work reasonable hours, with due leave. They should all have job descriptions and understand them. Obvious as these requirements are, they can be difficult to meet in an emergency, for example when the local staff is recruited away from the capital, as may often be the case for field drivers when the refugees are located far from the main office.

5. UNDP may be able to help in determining conditions of service, and even in identifying local field staff, if they have project experts based outside the capital. However, there may be important extra demands on UNHCR drivers, both beyond simple driving and also as a result of their working for itinerant field officers and thus spending considerable time away from home. These factors must be taken into account.

Identification

6. A visual identification of UNHCR staff may be very useful, particularly outside the capital. The emergency office kit contains UNHCR arm bands and pocket badges, but consideration should also be given to adapting the trilingual UNHCR identity card so that it can be worn as a pocket badge, with a photograph visible. Arrangements should of course be made as soon as possible for UNHCR staff to receive any diplomatic identity card issued by the government. Pending that, an official attestation in the local language could probably be quickly obtained for each outposted field officer from UNHCR's government counterpart, and might be very useful.

8.8 Protection of personnel and property

1. The organizations of the United Nations system have agreed on arrangements for the protection of UN staff, their dependants and their property in emergency situations including natural disasters. Details are given in IOM/BCM/5/81/Rev.1 of 29 July 1981, which covers inter alia arrangements for the evacuation of staff members and/or their dependants in grave emergencies and for compensation for loss of, or damage to, personal effects.

2. Each organization appoints a Headquarters Field Security Co-ordinator and an alternate. UNHCR has appointed the Chief and Deputy Chief of the Budget and Management Section. In the field, an official, normally the UNDP Resident Representative, is designated by the United Nations Secretary-General. This designated official, acting in consultation with the representative or senior official of each other organization in the country, maintains liaison with the government of the host country on matters concerning the security and protection of the organizations' personnel and property.

3. Field offices of UNHCR and other United Nations organizations which are in areas exposed to security risks may be protected with fencing, special lighting, window bars, burglar alarms and guards. Where circumstances justify it, staff members' residences may also be protected. Normally organizations will adopt a uniform policy at a given duty station as regards paying for the cost of such protective measures. Representatives should request authorization from Headquarters to cover the cost of protective measures for offices or staff residences where they consider this necessary.

4. The nature of UNHCR's work may require measures to protect UNHCR field offices that are not necessary for other organizations. The particular problem of the occupation of a UNHCR field office by refugees is discussed in chapter 2.

Annex 1Emergency Administrative Expenditure:

Amendment number
to allotment advice letter dated

To (primo)

1. This amendment will become valid only upon receipt of a specific cabled or written authority from the Chief, Budget and Management Section filling in the blanks (primo) through (octo) herein. Such authority must be attached to this amendment, of which it is considered to form an integral part.
2. Administrative expenditure incurred under this authority must be directly related to the provision of emergency assistance for (secundo)
3. You are hereby authorized to exceed your existing administrative allotment by a total maximum amount of US\$ (tertio)
4. This amount includes provision for local recruitment of General Service staff on temporary assistance up to US\$ (quarto) pending the approval of additional posts required to meet this emergency. This authority does not cover emergency local recruitment of staff at the professional level, for which separate authorization would be given if appropriate. All recruitment under this authority must comply with the Emergency Local Recruitment Procedures set out in the annex to chapter 5.
5. You are further authorized to purchase additional office furniture and equipment up to a total maximum of US\$ (quinto) charging account (sexto) against objects of expenditure 611 and 612 respectively. You are to inform the Chief, Budget and Management Section immediately of the exact cost and description of purchases made under this authority in order that the relevant MODs may be issued.
6. Requests to purchase administrative vehicles should be made by cable to UNHCR Headquarters indicating make, model, detailed specifications, local availability, service facilities and price if available.
7. As soon as possible you are to submit a budget giving by objects of expenditure your detailed administrative requirements directly related to this emergency for the period (septio) through (octo)
8. After receipt of this information a further amendment to your present allotment advice will be issued. This will incorporate the initial additional amount (tertio) authorized in paragraph 3 above. Your proposals should therefore be comprehensive, covering the whole period and including but not identifying separately the use made of this amount.

Annex 2Contents of Emergency Kits for Opening new UNHCR Offices1. Stationery

<u>Code No.</u> (as in catalogue)	<u>Quantity</u>	<u>Designation</u> UNOG common catalogue of standard office equipment and stationery supplies	<u>Observations</u>
1030	1	Stapler	
1250	1	Scissors	
1295	1	Staple remover	
1675	2	Car flags	with flag poles
1722	1	Punch	standard 8 cm
1921	1	Pencil sharpener	
2050	1	Office diary	
2090	3	Boxes staples	
2194	2	Rolls adhesive tape	
2445	5	Blocks - notepad	A4 ruled
2451	5	Blocks - notepad	A5 plain
2458	5	Shorthand notepad	ruled spiral binding
2634	2	Boxes black carbon paper	
2661	2	Notebooks	with alphabet
2850	5	Files	"Federal"
2853	10	Files	"Viria"
2889	5	Typists correction fluid	
2965	12	Pencils	No. 2
2980	2	Pens, felt-tipped	blue
2981	2	Pens, felt-tipped	black
2982	2	Pens, felt-tipped	red
3060	6	File folders	various colours
3351	1	Packet rubber bands	
3623	1	Box signal pins	various colours
4000	3	Erasers	pencil
4021	3	Erasers	typewriter
5670	4	Reinforcement eyelets	
6074	1	Ream white paper	A4 typewriter
6084	1	Ream white paper	A4 flimsy
6097	1	Ream pink paper	A4 flimsy
6415	1	Register for circulation of files	spiral binding
6451	2	Rulers	30cm
6545	5	Typewriter ribbons	
6600	10 sets	Sheet, divisional	5 per set
6881	5	Ballpoint pens	blue
6882	5	Ballpoint pens	black
6883	5	Ballpoint pens	red
6930	1	Pad stamp	blue
6950/1	1	Date stamp	English/French
6971	2	Boxes paper clips (100)	small
6972	2	Boxes paper clips (100)	large

UNHCR Headquarters printed bilingual English/French stationery

<u>Code No.</u> (as in catalogue)	<u>Quantity</u>	<u>Designation</u> (UNOG common catalogue of standard office equipment and stationery supplies)	<u>Observations</u>
43441	50	Envelopes - airmail	C6
43443	50	Envelopes - airmail	C6/5
43445	50	Envelopes - airmail	C5
43480	50	Envelopes - ordinary	C6
43481	50	Envelopes - ordinary	C6/5
43482	50	Envelopes - ordinary	C5/buff
43484	50	Envelopes - ordinary	C4/buff
46041	1 ream	Memorandum - airmail	A4
46042	1 ream	Letterhead - airmail	A4
46043	1 ream	Continuation page - airmail	A4
46071	1 ream	Memorandum - ordinary	A4
46072	1 ream	Letterhead - ordinary	A4
46073	1 ream	Continuation page - ordinary	A4
	50	Compliments slips	
GEN/GS/9	1 block	Stationery order form	
	1 block	UN telegram forms	

2. Administrative forms

<u>Code No.</u>	<u>Quantity</u>	<u>Designation</u>
JMS 1/E	4	Entry medical examination
P24/Rev.1	4	Oath of office
	10	Short term appointment ^{1/}
	10	PT8
	10	Travel claims
PT.107	10	Non-expendable property forms
	5	Mileage control sheets
HCR/1	10	Bank reconciliation
HCR/2	10	Monthly accounts sheet
HCR/3/Rev.2	10	Bank Journal
HCR/4	10	Petty Cash Journal
HCR/5	10	Monthly control (vehicles)
HCR/6	5	Separation forms
HCR/7	5	Request for overtime
F.10/Rev.3 (HCR)	30	Payment voucher
HCR/121	5	Project cards
HCR/124	5	Sub-project cards
HCR/125	5	Project implementation cards
HCR.126	5	Analysis and project expenditure
AM/18	10	Sickness claims
P11	20	Personal History
P/58	20	Reference statement
P/27.A	5	Attendance sheets
GS/45	5	Property Survey Board
GS/46	5	Vehicle accident report
GS/33	10	Leave request
GS/34	20	Sick leave request

^{1/} Use photocopies of form in BAFI

3. Office and miscellaneous equipment

<u>Quantity</u>	<u>Designation</u>
6	UNHCR decals
6	UNHCR armbands
6	UNHCR badges
3	Budget forms
2	Receipt books ^{2/}
1	Allotment account codes
1	FMS PCS 335/Rev.1
1	Planning rural Settlements for refugees PCS 336
1	BAFI
1	UNHCR Directory
1 each	Headquarters and field private address list, Headquarters and UN internal telephone list
1	Subject files of the UNHCR Central Registry
1	UNHCR wall poster calendar
	Portable typewriter Olympia SM9 ^{2/}
1	Calculator Canon P.10 - D ^{2/} + 5 rolls
1	UNHCR official stamp ^{2/}

4. Basic references

UNHCR Handbook for Emergencies
 Collection of essential IOM/BOMS
 Collection of International Instruments Concerning Refugees (2nd edition, 1979)
 UN Resolutions and Decisions relating to UNHCR (HCR/INF/48/Rev.2)
 Handbook on Procedures and Criteria for Determining Refugee Status
 Dates of Accessions and Ratifications to the Convention and Protocol and Declarations and Reservations made by parties
 Convention on the Privileges and Immunities of the UN
 Financial regulations and rules (ST/SGR/Rev.2/78)
 Financial rules for voluntary funds administered by the High Commissioner (A/AC/96/503/Rev.2)

5. Further references

The Management of Nutritional Emergencies in Large Populations (WHO 1978)
 A Guide to Food and Health Relief Operations for Disasters (UN NY 1977)
 Guide to Sanitation in Natural Disasters (WHO 1971)
 Guide to Simple Sanitary Measures for the Control of Enteric Diseases (WHO 1974)
 Small Excreta Disposal Systems (Ross bulletin 8/78)
 Small Water Supplies (Ross bulletin 10/78)
 Plastic sheeting (Oxfam Technical guide 1981)
 Safe Drinking Water (Oxfam Technical guide 1981)
 The Selection of Essential Drugs (WHO/1979 Technical Report Series 641)

^{2/} Issued against signature.

Annex 3Suggestions for a field filing system

1. What files are needed will depend on the emergency. Initially, a few files with the contents separated by divider boards may be the most convenient solution, to be expanded into separate files as necessary later.

2. Two types of files should always bear a standard format reference or symbol, whether maintained in Headquarters or the field: individual case (IC) files and project files. The latter symbol is always allocated by Headquarters.

An individual case file bears:

IC FAMILY NAME Given Names/RUR (country of residence)/RUR (country of origin)

A project file bears:

Year/source of funds/country/type of assistance/serial no.

Thus an ELOI project might bear "81/EF/RUR/EM/1".

Separate project files must be maintained for each project; they are subject to audit.

3. An indication of other files which might be required is given below. Possible internal separations are given in brackets and the corresponding Headquarters classification is shown where applicable.

4. Please let the Emergency Unit have any comments, additions or changes in light of your experience which you feel might improve the list.

<u>Subject</u>	<u>Likely HQs classification</u>
<u>(1) General</u>	
Overall relations with government	010 RUR
Relations with local embassies	010 RUR
Situation reports	022 RUR
Overall operation planning file	110 RUR
Admin. relations with government (Accreditations, privileges, immunities)	203
EXCOM	310/session in Roman numerals
Relations within UN system	321, 322/Organization
Relations with NGO/national organizations	410/430 plus indicator
Material assistance (either by sector, sub-divided by location of refugees, vice-versa or both)	500/sector or location
Protection	600 series
Tracing/family reunion	612 RUR/RUR (origin/place of reunion)
Fund-raising (appeal, contributions cash/kind, action forms, etc.)	700 series (specific reference may be allocated to emergency)
Public information	800 series

(2) Administrative

Missions, visitors and meetings (office staff/other UNHCR/non UNHCR meetings)	001 (229.5 UNHCR meetings)
Premises (lease/maintenance contracts/utilities contracts/ exchanges with Headquarters/landlord/ government/security)	205
Vehicles - one overall, one per vehicle if necessary (documentation: importation, registration, etc./ insurance/maintenance & servicing/accident reports and repairs including GS45/46 forms/fuel records/ monthly vehicle control sheets (HCR 5)/ authorization to use memoranda)	205
Expendable supplies and subscriptions (demands/receipts/ exchanges with Headquarters/local suppliers)	205
Accounts by month (copy of documentation sent to Geneva each month/exchanges with Headquarters on accounts)	205
Administrative budget (submission and work papers/ allotment advice and amendments/allotment control record)	211.RUR
Personnel (general: staff lists, addresses, office hours, holidays, etc.)	220 series
Staffing table (proposed/authorized/exchanges)	220
Attendance and leave (including P.27/A sheets)	225
Personnel - one file per staff member ¹ / (containing as applicable personal history form, references, contracts/performance evaluation reports/PT8s and travel claims, payment vouchers for salary, overtime, bonus, DSA, etc./correspondence)	PER/IND/NAME Initials
Applications for appointment (by name)	PER/APP (name)
Finance (correspondance with bank, list of signatories/predicted cash requirements/ exchange control/UN exchange rates and running analysis of local commercial rate)	230
Non-expendable property (Inventory/MODs/PT107 forms/ exchanges with Headquarters/with suppliers)	236

¹/These must be kept in a secure stowage - suspended files in a lockable cabinet are often used - with access restricted to the staff member(s) nominated as responsible for personnel administration by the Representative. Staff should be allowed to consult their personal files on request, but may not see their references.

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Communications (local PTT general: telephone, telex, 250 series
PO box, cable address/radio or telex/pouch)

BCM file

Routine circulars file(s)

(3) Control files/registers

Chron correspondence out and register

Chron cables out and register (by Geneva, other common addressees, miscellaneous)

Chron cables in and register (to control sequential numbering)

Incoming correspondence register and record of action officer. (This can be a manuscript register or a photocopy chron, which can then be arranged by date of document.)

Long distance telephone logs (outgoing essential to control telephone bill and required by Headquarters monthly, incoming very useful and should either be kept individually or centrally: who calling, when, what about).